

IMPROVING THE PUBLIC MANAGEMENT CAREER

**REPORT FOR THE
MINISTRY OF PLANNING, BUDGETING & MANAGEMENT,
FEDERAL GOVERNMENT OF BRAZIL**

MAIN REPORT

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PART I. INTRODUCTION

1. TERMS OF REFERENCE

1.1 Purpose & objectives

This report sets out the findings and recommendations of a review of the Public Management Career (EPPGG) undertaken between 5 and 9 January 2009. The purpose of the review was to clarify EPPGG's role, functions and profile, and to develop proposals for improving its effectiveness and management, taking account of the context within which such improvements would have to be implemented. Specific objectives were to examine a number of human resources management (HRM) aspects of the career in the light of international practice, including recruitment; initial education; professional development; performance evaluation; deployment; mobility and networking.

1.2 Conduct of the review

The review was carried out by a Working Group of the Ministry of Planning, Budgeting & Management, and facilitated by Diana Goldsworthy, a public sector management consultant. **Annex A** lists members of the Working Group and other contributors. The Working Group's findings and recommendations were presented to the Secretary, SEGES, on 9 January.

2. CONTEXT

2.1 General context

Understanding the context in which EPPGG operates is essential in order to develop realistic conclusions and recommendations. First, there is the general context, which affects not only EPPGG but also the civil service more widely.

The political environment is a major factor: radical change would be difficult at this point in the political cycle - the final years of a 2-term Presidency. At the same time, improving management in government seems likely to feature on the campaign agenda in the forthcoming Presidential campaign, so now may be a good time to develop ideas, recognising

that achieving meaningful and enduring change in the public service is a long-term undertaking that requires attention beyond the life of any one government.

Another factor with more direct impact is that appointments to management (DAS) positions are subject to political decision; or, more precisely, to the personal decisions of politicians and, at lower levels, officials who have themselves been politically appointed. However a Bill before Congress to reserve a proportion of DAS positions for civil servants could, if enacted, open the way for a more transparent and merit-based process (and thus improved career paths) for EPPGG and other careers¹.

The Federal Civil Service is divided into separate cadres (careers), each of which has its own entry and promotion requirements. Careers are virtually watertight: transfer from one to another is only possible by successfully passing through another recruitment competition. The approach, which was developed in order to professionalise and regularise the core functions of the Federal Administration, is unlikely to be abandoned in the foreseeable future.

Manpower planning is generally weak government-wide. Manpower ceilings for each career are legally fixed at periodic intervals, and there is no systematic process for regularly adjusting employee numbers or placements in line with changing work requirements and financial resources. Moreover “people management” tends to be more about personnel administration, and several important aspects of good human resources management practice, such as performance management, mobility, and career management, are underdeveloped if not wholly absent.

The principle of equal access to government jobs is enshrined in the Constitution, and the courts are fiercely protective of the written entrance examination which is regarded as the safeguard for objective selection. Changes to recruitment & selection methodologies which are perceived to undermine the role of the examination are therefore unlikely to be accepted.

2.2 EPPGG-specific context

In addition to the general context, there are several factors related specifically to EPPGG which must be taken into account in framing its future organisation and functions. EPPGG was designed as an elite group to undertake high-level public policy and management functions along of the lines of the French ENA-trained ‘grands corps’. It is mandated to take a global view of public policy, and to make the strategic link between policy, resource

¹ The Bill would introduce a system (known as FCPE) whereby 2.477 DAS positions would be reserved for professional civil servants (46 DAS 5, 165 DAS 4, 396 DAS 3, 933 DAS 2 and 937 DAS 1)

management and institutional aspects of government business. In this role EPPGG is intended to facilitate the interface between political and administrative levels of government.

EPPGG's broadly defined generalist role has advantages and drawbacks. On the one hand EPPGG is one of the most well-qualified and most diverse careers. EPPGG personnel occupy positions throughout government (see **Annex B** for current distribution), and have greater opportunity than other careers for moving between government institutions. On the other hand, the lack of precision about its functions means that EPPGG personnel are often assigned to tasks that are inappropriate to their intended role.

The Ministry of Planning, Budget & Management (MP) is legally responsible for EPPGG management, and decides on initial deployment, but political constraints and the lack of effective manpower management processes limits its ability to influence, still less actively manage subsequent moves. In practice there is a quasi market for DAS positions which works to some extent, but academic background and previous experience tends to determine the jobs individuals do and, therefore, their eventual career paths.

EPPGG salaries are paid by MP, so there is constant pressure from Ministries to obtain this 'free good' which they can use as they choose. At the same time, due to their lack of specialised manpower, some Ministries seem to prefer a less generalist role for EPPGG's, and are increasingly calling for more sector-based public policy specialists; and MP may face pressure accede to the creation of new sector-based policy careers unless their demands are met.

Finally, there are many qualified and experienced professionals who are already working for the Federal Executive Branch but are not part of the permanent workforce, and are working on an outsourced basis, or on contracts involving international organizations etc. These people who already know the public service would make good EPPGG members, but they do not have time to study for the exams, because they work full-time, so other ways of bringing them on board will be needed.

PART II. DEFINING THE EPPGG CAREER

3. EPPGG ROLE, FUNCTIONS & PROFILE

3.1 Introduction

As discussed in paragraph 2.2, EPPGG is unique in having a generalist role, and there is strong support among senior EPPGG members for retaining it, in the sense of a role which operates government-wide, and facilitates coordinated public policy formulation and strategic management. Many public administrations world-wide employ a group which fulfils this role, sometimes formally designated as the senior civil service. On the other hand, a sizeable number, particularly in Ministries, would like to see the career be assigned more specialist functions or, at the least, to have greater precision about its functions. The current lack of precision is certainly unhelpful: not only are EPPGG personnel being used inappropriately, but also, arguably, the career's intended strategic role is misunderstood, and is perhaps going by default in some areas.

It would be preferable to avoid the terms “generalist” and “specialist” and instead develop an accurate and readily communicable description of EPPGG's role and functions. This, together with effective arrangements for employing and utilising EPPGG personnel should help to overcome the present uncertainty. The Working Group therefore offers the following suggestions for EPPGG's role, functions and profile.

3.2 Role

EPPGG has a government-wide role and is a corporate resource responsible for:

Public policy formulation

EPPGG facilitates and supports public policy formulation by ensuring that decision-makers receive well-formulated policy proposals and advice in all sectors of government;

Public Policy implementation

EPPGG supports decision-makers by ensuring policies are implemented efficiently, and effectively, and are accurately monitored and evaluated;

Government efficiency

EPPGG develops and implements policies and programs to improve the organisation and functioning of the government machine at macro and individual institution level.

3.3 Functions

Overview of public policy functions

EPPGG is one of five careers which form the so-called Public Policy Management cycle group². The others are Planning & Budgeting, Finance & Control and Foreign Trade. The group is so-called because each of the component careers plays a role in the cycle of steps required to formulate and implement public policy, illustrated in **Figure 1** below. In order to ensure the overall efficiency and effectiveness of the process, responsibility should be assigned for defining the process, guiding those who operate it, and measuring its effectiveness. At present there is no-one designated to undertake these functions, but they are most appropriate to EPPGG, and it is recommended that they be so assigned, as follows:

As custodian of the overall public policy cycle process, EPPGG:

- Develops and communicates guidelines on how to operate the public policy cycle process;
- Ensures that the public policy cycle process is implemented efficiently and effectively throughout government;
- Reviews and continuously improves the public policy cycle process.

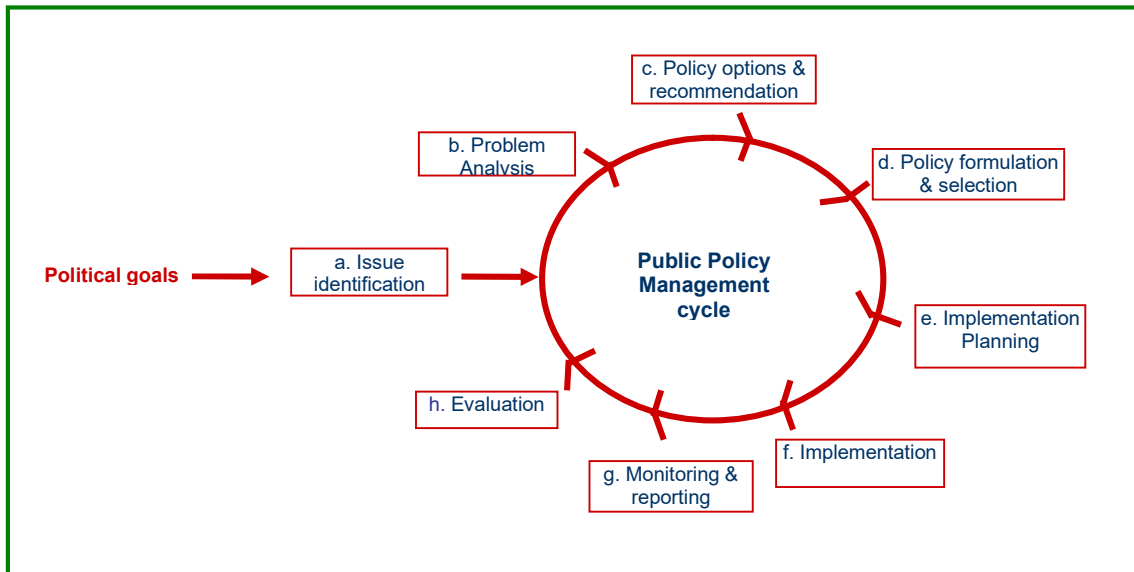
Within the public policy management cycle the EPPGG career is also responsible for specific functions, which can be exercised in one of three ways, dependent on the circumstances:

- initiating or carrying out one of the steps;
- supervising or managing steps undertaken by others; or
- guiding and advising others on how to carry out the steps

The following paragraphs set out how EPPGG carries out these functions at each step in the public policy management cycle, under the broad headings of policy formulation and policy implementation.

² Established under Law 10180 of 6/2/01

Figure 1. The Public Policy Management cycle



Public policy formulation functions

a. Issues identification

- Identify issues
- Promote & coordinate effective identification of issues by other role players
- Advise & guide other role players on how to identify issues

b. Problem analysis

- Analyse problems
- Facilitate & support effective problem analysis by other role players
- Advise and guide other role players on how to analyse problems

c. Public policy options & analysis

- Develop and assess public policy options
- Facilitate & support development & assessment of public policy options by other role players
- Advise and guide other role players on how to develop & assess public policy options

d. Public policy formulation & selection

- Prepare and present written and oral proposals for decision-makers' approval
- Facilitate and support presentation of written and oral proposals by other role players
- Advise and guide other role players on preparing written and oral policy proposals

Public policy implementation functions

e. Implementation Planning

- Prepare strategic plans (linking outcomes with resources) to implement selected public policies
- Facilitate & coordinate preparation of public policy implementation plans and budgets by other role players
- Advise other role players on preparation of public policy implementation plans and budgets

f. Implementation

- Manage the implementation of selected public policies
- Facilitate and coordinate the management of public policy implementation by other role players
- Advise other role players on management of public policy implementation

g. Monitoring

- Manage and ensure monitoring and reporting on implementation of selected public policies
- Facilitate and coordinate the monitoring & reporting on public policy implementation by other role players
- Advise and guide other role players on managing, monitoring & reporting on public policy implementation

h. Evaluation

- Evaluate, or manage evaluation of any or all aspects of the public policy and its implementation
- Facilitate and support evaluation of a public policy by other role players
- Advise and guide other role players on public policy evaluation
- Functions: Improving the Government machine

Government efficiency functions

EPPGG exercises its role in promoting and ensuring government efficiency through the following functions:

a. Government improvement initiatives

- Initiate proposals for improving efficiency and effectiveness of government at macro and individual institutional levels

- Manage implementation of government improvement initiatives at macro and individual institutional level
- b. Institutional development*
- Develop institutional architecture for government, and provide guidelines and expert advice on its application at macro and individual institution level
 - Manage implementation of institutional architecture at macro and individual institution level
- c. Management efficiency*
- Develop and provide guidance on tools and techniques for improving management efficiency and effectiveness
 - Develop and manage implementation of programs to improve management efficiency at macro and individual institution level
- d. Service excellence*
- Develop and provide guidance on implementing service excellence models and techniques
 - Develop and manage implementation of programs to improve service excellence at macro and individual institution level
- e. Administrative systems*
- Review and advise on improving cross-cutting and institution-specific administrative processes
 - Develop and manage implementation of programs to improve administrative processes
- f. Knowledge management*
- Develop proposals for, and support implementation of improved systems and techniques for collecting, organising, sharing, disseminating and updating knowledge within government

3.4 EPPGG profile

The functions described in paragraph 3.3 are generic (equally applicable to all sectors of government), and they call for a generic set of competencies which EPPGG personnel should be expected to possess (although the skill-mix may vary from individual to individual). Over and above this profile, EPPGG personnel who work in particular sectors of government may

require specialised knowledge or experience which will be defined case by case. The profile is composed of knowledge; skills and experience; and personal aptitudes, as follows.

Knowledge

- Government: international and Brazil
- Management (including the management of resources, human resources & projects)
- Public policy cycle
- Strategic planning
- Economics
- Public Law
- Political science

Skills & experience

- Leadership & team management
- Management (including the management of resources, human resources & projects)
- Critical thinking & analytical skills
- Communication: oral & written
- Negotiating, problem solving
- Effective interaction with political levels
- Languages: English, Spanish

Personal aptitudes

- Strategic vision; 'big thinking'; global viewpoint; innovative thinking
- Proactive: can make things happen
- Capacity to learn rapidly, absorb & synthesise information
- Team-worker; net-worker
- Outgoing, communicative
- Trouble-shooter; problem solver
- Ethical behaviour

3.5 Role, functions and profile: implementation

If the proposals in the foregoing paragraphs are adopted, MP should take the following steps to implement them:

1. Prepare guidelines on the EPPGG role, functions and profile
2. Communicate them to EPPGG members and decision-makers in Ministries & institutions
3. Use the guidelines to begin defining EPPGG jobs more precisely

PART III. EPPGG HUMAN RESOURCES MANAGEMENT

4. EPPGG RECRUITMENT & SELECTION

The Working Group examined a number of human resources management (HRM) policies and procedures which govern the employment of EPPGG personnel, starting with recruitment and selection. In suggesting improvements, the Group bore in mind not only the constraints of the contextual issues highlighted in Section 2, but also the fact that the HRM arrangements for EPPGG should be broadly consistent with those of other careers in the public policy management cycle and, indeed, with the civil service more generally. The following paragraphs set out the main issues and the Working Group's recommendations for improvement.

4.1 Issues

The first step to entering the EPPGG career is a written examination held every year or so. The examination is designed by an external institution to SEGES's requirements (for the last few years [ESAF](#), the [Escola Nacional de Administração Fazendária](#), which also [prepares personnel of the Finance Ministry](#)). The examination is open and objective: anyone may apply; applicants are not identified by name or gender; they all sit the same examination; and those who cannot afford it are exempted from the entry fee. It is also rigorous, demanding a high standard of academic knowledge and cognitive reasoning.

However there are concerns that the examination is too academic, being primarily aimed at young undergraduates wishing to make a career in the public service, and that it is not linked closely enough to the EPPGG profile, in terms of content and relevance. Moreover, there is currently no process for testing skills or personal aptitudes, or for assessing the value of previous practical experience, all of which are important components of the EPPGG profile, and are particularly relevant when selecting mature entrants and those on temporary contracts whose services government wishes to attract and retain.

4.2 Recommendations

The Working Group suggests that a number of short- and medium-term steps to improve the EPPGG entry process, as follows.

Short-term

The content and relevance of the EPPGG written recruitment examination should be reviewed and revised to align it more closely with the EPPGG profile described in paragraph 3.4.

In addition, the examination should be augmented with practical methods for test skills and aptitudes, and for assessing previous experience more meaningfully, for example through oral examinations.

Medium-term

In the medium-term, a new professional level entry test should be specifically designed to facilitate the lateral entry of sector experts, including those already serving on temporary contracts. Such testing is common in public administrations world-wide and concerns about objectivity might be assuaged by examining selected international practice, including the Assessment Centre approach. As described in **Box 1** below, Assessment Centres are a method of rigorously testing a wide range of skills and attributes, especially those which cannot be assessed through written examinations. They are most often used for selecting top management or special entry candidates.

Box 1. Assessment Centres

Assessment Centres evaluate skills and attributes that cannot be fully tested by conventional recruitment methods. Typically, they are operated by independent specialist HR recruitment professionals,

The process varies, depending on the type and combination of qualities being tested, but usually includes some or all of the following:

- Written and oral intelligence tests
- Psychometric tests to gauge mental traits, capacities and processes
- Written and oral exercises to test analytical, linguistic and numeric skills
- Practical tests to examine the application of IT skills
- Practical exercises to demonstrate interpersonal skills, leadership qualities, team management, decision-making and problem solving capabilities
- In-depth interviews to explore motivation, drive and commitment

5. INITIAL EDUCATION

5.1 Issues

Those who are successful in the EPPGG recruitment examination are required to undergo an initial education course. The course is integral to the entry process: formal appointment to the civil service takes place only when the course is successfully completed (there are few, if any failures). Performance on the course is important, alongside examination marks, in determining the new entrants' overall rating. Those with high ratings theoretically have more choice over where they are initially deployed, and are more eagerly sought by Ministries and government institutions.

The course was originally 18 months long (in line with the French ENA model) but is currently of around 5 months duration, and there are ongoing differences of view about its purpose, content and length. Those who would like to see a longer course stress its importance in terms of building esprit de corps and imbuing new entrants with a public service ethos, but others would prefer a shift towards more on-the-job training. Other concerns highlighted by the Working Group include the fact that the course is wholly classroom-based and does not make use of modern adult education methodologies. In some areas the course content appears to cover the same ground as the recruitment exam. More critically, the course design is not based on an objective assessment of the competencies required by EPPGG new entrants, and the single, one-size-fits-all curriculum takes no account of the differing needs of different types of recruit, e.g. new graduates and those with significant previous experience. Finally, induction is not linked to the probation process: employing Ministries are not advised of individual new entrants' strengths and weaknesses, or expected to monitor their progress during the first few years of service.

5.2 Recommendations

An effective induction process ensures that new entrants get a good start in their civil service careers, and that they make a useful contribution from the beginning. It should therefore be closely linked to the EPPGG profile, and should be as much about skill-building and familiarisation with civil service processes, norms and standards as it is about acquiring additional knowledge. That said, it is appropriate to use the induction period to impart specialist knowledge of a particular sector where this is necessary for new entrants to perform their designated duties effectively.

Short-term

The Working Group identified several ways in which the current induction process could be improved. First and foremost it could be re-titled "induction", to emphasise that the purpose

is not primarily to remedy educational gaps or provide continued academic learning, but rather to equip new entrants with the competencies they need to function effectively in the work-place.

The current course could be made more relevant by, first, aligning the curriculum more closely to the competencies which new entrants are expected to have achieved at the end of the induction period (derived from the EPPGG role, functions and profile); and then by introducing more appropriate methodologies to help them acquire these (e.g. on-the-job training, work placements, mentoring/coaching, distance learning, networking events and seminars). Additional sector-specific induction modules could also be added for recruits who require specialist knowledge before commencing work. In principle, these should be designed and funded by the relevant Ministries.

The induction process could also be rendered more valuable by linking it to probation, by means of induction appraisal reports which would be sent to the new entrant's employing Ministry, highlighting the strengths and weaknesses which should be monitored and addressed during the probation period. Such reports would, of course, be shared with the individual.

Medium-term

In the medium-term, consideration should be given to the possibility of separating initial induction from recruitment. The very low failure rate³ suggests that the key to entry is the examination, not the initial education course, and there are several drawbacks to combining them. One is the lengthy start-to-finish time for bringing a new entrant on board (currently up to 18 months), which undermines the prospects for rapid and responsive manpower planning processes. Another is cost: potential new entrants are paid at half-salary rates throughout their initial education - money wasted if the recruit fails the course (admittedly a rare event) or, more frequently, decides not to join.

This does not mean discarding the course, but rather reconfiguring it, and augmenting it with practical training which is more closely linked to the work-place. For example, modular induction courses might be undertaken at periodic intervals throughout the first 1-2 years of service and, as appropriate, linked to probation appraisal points. This approach might meet the requirements both of new entrants and their employing Ministries more satisfactorily.

6. PROFESSIONAL DEVELOPMENT & PROMOTION

6.1 Issues

In common with other public policy management cycle careers, the EPPGG career consists of 4 professional levels: A (lowest), B, C, and S (highest). Progression from one level to the next is known as promotion, and is achieved by successfully taking a series of professional courses and serving a specified length of time (typically 3 years) at each level. The hours of study are prescribed at each level but not the course content: EPPGG members may choose from a range of courses which can be taken at any level (i.e. courses do not become more demanding at the higher levels). EPPGG members' study preferences largely determine their career paths and they receive no direction as to which courses they should follow. There is no further professional development beyond 'S' level.

The incentive for professional development is financial, since salaries increase at each level. Until recently no limits were imposed on numbers at each level, with the result that, over time, most people ended up at 'S' level. That will change, however, under a new ruling which will limit number at each level with the aim of restoring a more conventional, triangular-shaped structure to the EPPGG career.

As with all other careers in the Brazilian public service, an EPPGG member's position on the professional ladder bears no relationship to his or her place in the management structure, which is determined by the DAS hierarchy. Graded from 1 (low) to 6 (high), a DAS appointment brings not only additional financial rewards but also increased status and authority. In contrast to the relative rigour and openness of professional progression, however, the DAS promotion process is somewhat opaque: decisions are made by Ministers and senior managers behind closed doors and on the basis of unknown criteria. This lack of transparency leads to a perception - justified or not - that advancement is more dependent on political and personal connections than on merit.

These arrangements - the separation between professional and managerial progression, and the lack of a process for managerial promotion - mean that the usual career development dynamics do not really operate, since neither professional competence nor management performance determine whether or not a person progresses or not. However the proposed FCPE arrangements, if adopted, could provide the opportunity to develop a more transparent and performance-based promotion process.

³ In two recent courses there were no failures, but around 10% of participants dropped out during or on completion

6.2 Recommendations

The Working Group considers that it would be desirable to establish more transparent and performance-related promotion arrangements; but the current system applies government-wide, so any major changes would have to be addressed by a wider study. That does not mean, however, that nothing can be done.

Short-term

In the short-term, it is recommended that the competencies at each professional level of the EPPGG career should be clearly defined, so that there is a clear distinction between each professional level. These should be derived from the EPPGG profile. The professional development courses should be redesigned to align with the competencies, and to include modern training & development methodologies (e.g. on-the-job training; placements & secondments; comparative studies (in Brazil and overseas); field studies; distance learning). A new Senior Professional Program should be developed for 'S' level EPPGG personnel to ensure their professional skills remain up-to-date.

Medium-term

In the medium-term, the EPPGG perspective should be articulated and fed into the development of FCPE, in particular the EPPGG view on matters such as the need for performance-based promotion; and the desirability and feasibility of establishing a link between professional and managerial promotion. The Working Group suggests that comparative international practice is included in framing the EPPGG view.

7. DEPLOYMENT & MOBILITY

7.1 Issues

MP is responsible for initial deployment of EPPGG personnel, although new entrants are able to express preferences for the Ministries to which they would like to be assigned (and those who have achieved the highest ratings in the recruitment competition are accorded greater choices). Ministries may also identify particular individuals whom they would like to employ, but there is no objective, systematic process to match new entrants to jobs on the basis of their profiles.

of the course, most of them to take up jobs elsewhere in the public service.

One assigned to a Ministry, transfers from one job to another are a matter for the Ministry, but moves from one Ministry to another require MP approval. This approval is, however, something of a rubber-stamping exercise: in practice a quasi-market operates, in which individuals identify the jobs or locations they would like, and seek appointments by personal contact with key role-players. MP does not actively intervene in the process. The 'market' is perceived to operate relatively successfully for DAS positions, less so for others; but it is informal: there is no laid down process, no attempt to regulate competition, and no criteria for whether or how people are assigned to jobs. There are also no tools to support the process, such as a jobs database - indeed there are no job descriptions or formal designation of jobs at a particular professional or managerial level.

Job tenure is legally a minimum of two years, but there is no maximum. In practice, moves are possible in less than two years, and people can, and do remain in their jobs indefinitely. Thus, moves are more likely to be triggered for personal reasons by individuals and their managers, than in response to changing work requirements.

7.2 Recommendations

The Working Group suggests that a number of steps could be taken to improve the way mobility applies to the EPPGG career, and that a more active role could be played by MP to achieve this. These should be seen alongside the career management improvements discussed in Section 10.

Short-term

Short-term, MP might consider introducing periodic (+/- 4 years) reviews of all EPPGG assignments, to assess whether a move would be desirable from the individual's and/or the employing Ministry's point of view. MP should also identify priority areas of work for EPPGG personnel. This will eventually be a standard part of a fully-fledged manpower planning process, but initially, a one-off exercise will be needed to establish Ministries' requirements in the light of the available information about the Government's political priorities and strategic objectives. Armed with these two pieces of information - individuals' mobility requirements, and priority areas of work - MP should work closely with Ministries to facilitate career moves for EPPGG members that serve both the interests of the organisation and the individual.

Medium-term

In the medium-term, effective mobility arrangements should form part of a fully-fledged manpower planning system (see next Section).

8. MANPOWER PLANNING

8.1 Issues

As already mentioned in discussing the wider context, manpower planning is weak throughout federal government. Ceiling numbers for each career are set from time to time by Law, and recruitment takes place within these as and when the 'owner' Ministry for each career⁴ determines that additional personnel are needed to meet Ministries' demands, provided there is budget provision. In terms of planning, however, there is no regular, systematic assessment of HR requirements (numbers and skills) against work requirements (government's long-term goals, medium-term objectives and short-term outputs) and financial resources. There is no process for matching people to individual jobs; and no tools to enable such matching to take place, such as a comprehensive workforce database (providing information on demography, skills & qualifications, gender, etc); and a jobs database (containing job descriptions and skill profiles).

8.2 Recommendations

Manpower planning needs to be strengthened government-wide, but in the meantime there are several things MP could do to improve manpower planning for the EPPGG career.

Short-term

In the first instance, MP could carry out a broad brush assessment of the requirement for EPPGG personnel in each Ministry, and allocate ceiling numbers accordingly. The assessment should be based on objective criteria including government's political priorities. The ceiling numbers would provide a framework within which initial deployments and subsequent job-moves would take place, and should provide Ministries with a degree of certainty that their manpower needs will be met, thus encouraging more informed and rational operational management of human resources.

MP should also encourage Ministries to bid intelligently for EPPGG resources, and to make appropriate use of them, by actively communicating EPPGG's role, functions & profile to

⁴ MP is the 'owner' for all public policy management cycle careers except Finance & Control, which is the responsibility of the Ministry of Finance, and Foreign Trade (Ministry of Development, Industry and Foreign Trade)

Ministries, and to EPPGG individuals, and using the periodic checks on EPPGG assignments recommended in paragraph 7.2 to monitor whether this is happening.

Job profiles for EPPGG personnel should be piloted, using a standard format such as that illustrated in **Box 2 below**; and an EPPGG ‘people and jobs’ database should be created, which would eventually form part of a larger database for all public policy management cycle careers.

Box 2. Job Profile: main components

A Job Profile describes the requirements of the job and the jobholder:

The job requirement

- Job title
- Job grade
- Location: institution; department
- Reporting line: who the jobholder reports to
- Purpose: what the job is intended to achieve overall
- Outputs: Key results the jobholder is expected to deliver
- Tasks: main activities required to deliver the required outputs
- Management responsibilities in respect of:
 - Human resources (no. of people reporting to jobholder)
 - Financial resources (capital & operating budget for which the jobholder is responsible)
 - Other resources (e.g. property, equipment)

The jobholder requirement

- Academic & professional qualifications
- Previous experience required
- Skills
 - Technical & professional
 - Managerial
- Personal attributes

Medium-term

In the medium-term, a fully-fledged federal government manpower planning system is needed. Such a system could, perhaps, be developed and piloted initially for the management cycle careers, since they perform core functions and coordination between the two ‘owner’ Ministries (MP and Finance) should be relatively straightforward.

9. PERFORMANCE MANAGEMENT

9.1 Issues

The previous performance management system has now lapsed, and it is not yet known what the main features will be of any new system. However, as has already been noted, the

previous arrangements did not provide a robust link between performance and career progression, which is dependant on success in professional studies and politicised appointments.

9.2 Recommendations

The Working Group considers it desirable that any new performance management system applicable to the EPPGG career should provide for objective assessment of professional and managerial performance in the job, to support the development of more transparent and merit-based promotion processes. (It could - and should - serve other purposes too, including identifying training & development needs; and reviewing career development options.) Whatever the purpose, any performance management system should be transparent and well administered, and should follow well-established practice, highlighted in **Box 3** below.)

It is recommended that the development of a new performance management system should be used as an opportunity to identify the essential requirements for EPPGG performance management, and ensure these are communicated and accepted. Consideration should be given to whether or not the requirements can be incorporated into a government-wide system, or whether there is a need for a stand-alone EPPGG system

Box 3. Main components of a performance management system

Performance management is a continuous cycle in which the employee and the line manager are actively and equally engaged throughout the year. The process consists of three main components:

1. *Setting performance targets.* Using the Job Profile as the baseline, targets are set and agreed between line manager and employee covering all aspects of performance and personal development. These are documented, and expressed in terms of outputs or deliverables, and job targets are linked to the Ministry's strategic goals and objectives;
2. *In-year reviews.* At regular intervals - at least quarterly - the line manager and employee review progress against targets, and agree on (and record) actions required to address problems and issues that may have arisen. Such reviews do not obviate the need for everyday advice, direction and feedback from the line manager;
3. *Annual performance assessment.* The line manager and employee review the employee's performance over the year, and the line manager gives the employee his/her assessment of the extent to which the agreed objectives and targets were achieved. Where performance has fallen short, the line manager tells the employee what improvements are needed, and actions to remedy shortcomings are included in the objectives for the following year.

10. CAREER MANAGEMENT

10.1 Issues

MP is responsible for the EPPGG career (as well as others within the public policy management cycle), but it exercises an administrative rather than career management role, and key career management functions are not currently performed. For example there is no oversight of EPPGG members' performance during probation or subsequently; no advice and guidance on job opportunities, future career paths, or training & professional development; and little or no support for networking among EPPGG members.

10.2 Recommendations

The first step should be to strengthen MP's capacity to take on a more active career management role for EPPGG. The Working Group recommends creating a career management function within SEGES, and equipping it with the necessary people and tools to do the job. This would include:

- Formally creating a unit responsible for career management within the structure of the Secretariat, with corresponding resources
- Creating an EPPGG jobs database, to promote and facilitate a better regulated jobs market
- Appointing designated contact points (career managers) to provide advice and guidance to individual EPPGG members;
- Conducting regular career interviews and assignment reviews (see Section 7.2);
- Developing a dialogue with employing Ministries to promote understanding of the EPPGG career profile and encourage appropriate utilisation of EPPGG members. (The Consultative Committee envisioned in Law 9625 could be one vehicle for such dialogue)
- Creating an active EPPGG network to promote professional standards and foster *esprit de corps* (see Section 13 for more detail).

PART IV. WIDER ISSUES

11. EPPGG/APO CAREER MERGER

The question has been raised of merging the EPPGG and APO careers, and the Working Group was asked to consider the merits of doing so.

Benefits

A merger of the two careers would create a larger group of approximately 1260 personnel, covering a wider range of functions within the public policy management cycle. These would potentially provide enhanced career opportunities for APO members, whose functions are currently confined to planning & budgeting matters (see **Box 4** below).

There might also be cost savings in the creation of a combined career management function within MP, such as a unified people & jobs database, and a single group of career managers.

Box 4. The APO Career

The Budgeting Career was created in 1987⁵, and became known as the Planning & Budgeting Career in 1991/92⁶.

APO is responsible for the budget system: programming, elaborating and monitoring the fiscal, social security and state enterprise (investment) budgets; formulating, monitoring and evaluating plans, programs and budgets; and the execution of socio-economic studies.

It was originally composed of two categories: Planning & Budgeting Analyst (APO) for those with university degrees, and Planning & Budgeting Technician (TPO) for those with a high school certificate. The latter category is now being phased out to provide for an all-graduate career.

⁵ Established by Decree 2347 of 23/7/87; implementation established by Decree 95077 of 22/10/97 and Office of Public Administration's Normative Instruction 202 of 4/11/87

⁶ Law 8270 of 17/12/91 (Art 10); Decree 491 of 9/4/92 (Art 2)

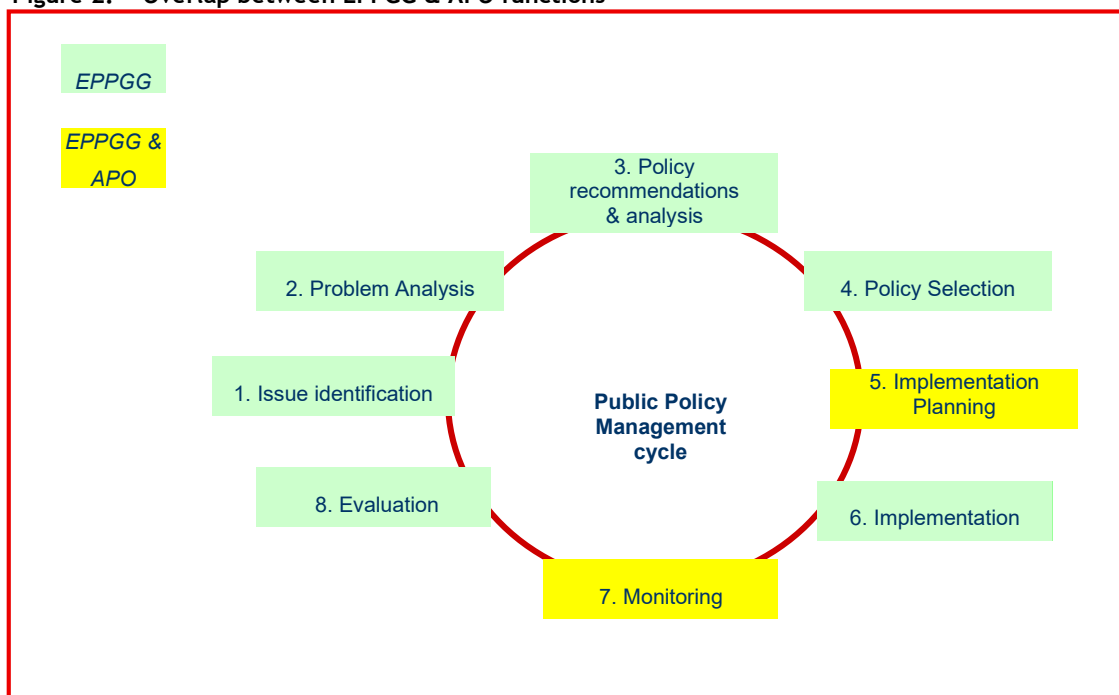
Disadvantages

In practice, however, there is very little overlap between the designated functions of the two careers. As **Figure 2** on the next page illustrates, it is mainly the implementation planning and the monitoring stages of the public policy management cycle which involves both of them, but even here, their activities are different. APO focuses on preparing and allocating budgets, and monitoring outcomes against planned expenditure while, as described in Section 3, EPPGG is concerned with more strategic and managerial aspects. This means that the skill-set of both groups is dissimilar, and it would be difficult, if not impossible to appoint APOs to EPPGG functions, and vice versa, even were they keen to do so, which is doubtful in the case of EPPGG members.

Recommendation

The Working Group considers that a merger of the APO and EPPGG careers now would be impractical, and recommends that they should remain separate for the time being. Further consideration should, however be given to the proposal in the context of any wider review of the career system itself.

Figure 2. Overlap between EPPGG & APO functions



12. EPPGG UNITS IN MINISTRIES

It has been proposed that specialist units should be established within Ministries to undertake EPPGG functions, which would be filled mostly by EPPGG personnel. Typically such units would undertake policy formulation and strategic planning, and would be focal points for government efficiency and other central initiatives.

Benefits

Such units tend to be established where there is a need to strengthen capacity for particular functions within line Ministries, and/or where there is a strong imperative to implement centrally-driven policies and programs. Roughly speaking, it is a way of avoiding or bypassing existing, unreformed and possibly dysfunctional structures, and of injecting high-calibre skills at strategic points in organisation where they can make a real difference.

The advantages of setting up such units would include the ability to prioritise and ring-fence EPPGG functions, making it more likely that matters such as policy formulation, strategic planning and government efficiency are accorded due precedence in every Ministry. It would also provide assured and appropriate positions for EPPGG personnel, and thus facilitate improved manpower planning and career management.

Moreover the use of EPPGG units as outposts through which to drive centrally-initiated programs for management and administrative improvement could result in a significant step-change in the pace of change.

Disadvantages

The obvious attractions of specialised units makes it easy to overlook several important drawbacks. First and foremost, neither the functions nor the staffing of such units could be controlled by MP, so there could be no guarantee that they would only be used for EPPGG work, or filled by EPPGG personnel. Moreover if, as might be the case, the units are used to get round the problem of lack of capacity within the Ministry, then they can become merely a band-aid, masking the longer-term but ultimately more essential task strengthening its organisation, management and skills.

Finally, but crucially, centrally imposed organisational models tend to be resented, especially if they are perceived as central outposts. It is a truism of institutional development that the most effective institutions are those which 'own' their own organisation structures.

Recommendation

The Working Group suggests that, while the ‘EPPGG unit’ proposal has merits, it should not be imposed on line Ministries. Rather, the idea should be fleshed out, highlighting the benefits but not hiding potential problems. A concerted consultation exercise should then take place with line Ministries to identify any which would be willing to pilot the idea, and to work out what support they would need. MP should actively work with Ministries throughout the pilot period to help the initiative succeed - for example, MP might convene regular networking events to enable Ministry EPPGG units to share information and good practice (see Section 13 below). At the end of the pilot period, MP should consult the participant Ministries in assessing the results, before deciding whether and how the initiative should be institutionalised.

Whether or not the ‘EPPGG unit’ idea is adopted, MP has a responsibility and concern for promoting improved institutional arrangements for managing public policy management and government improvement in Ministries. It is therefore recommended that MP should engage with Ministries on this subject during the course of the manpower planning process and, more immediately, through existing channels such as the Consultative Committee established under Law 9625.

Law 9625 empowers Ministry of Planning to manage the EPPGG (and other) careers, and allows for a Consultative Committee of representatives from EPPGG user-institutions. The fact that the Committee has never been set up is a lost opportunity, and the Working Group strongly recommends that this should be remedied as soon as possible.

13. EPPGG NETWORK

Since EPPGG members are dispersed in Ministries across government, one way in which the career’s effectiveness could be improved would be to establish networking mechanisms to enable members to keep in touch with each other, and with their ‘parent’ Ministry, MP. Specific objectives of the network would be to inform members of career management matters, and share information and best practice (in Brazil and internationally), relating to public policy formulation & implementation; and public management. The network would also promote corporate values and public service ethos among EPPGG members.

Networking arrangements could include:

- Electronic & printed publications on professional topics
- An EPPGG Career newsletter
- Seminars, workshops and guest speakers
- Consultation exercises and surveys
- A website

To succeed, the network should be set up and managed centrally, and the Working Group recommends that the task should be undertaken by SEGES, as the focal point for EPPGG career management as a whole.

14. EPPGG REGULATORY FRAMEWORK

The EPPGG career is governed (directly and indirectly) by various regulations. A robust legal framework is helpful to establish principles, policies and practices, but its value rests on how effectively it reflects current realities. If it does not, it will be ignored or bypassed and fall into decay, so it must be regularly reviewed and amended when necessary to ensure that it remains 'fit for purpose'. There has been no systematic review of EPPGG-related laws and regulations for several years, and the Working Group recommends that such a review should now be undertaken, with the following terms of reference:

- a. To assess whether or not the current laws and regulations relating to the EPPGG career constitute an adequate and comprehensive framework for its current and future functions and management; and to identify gaps, anomalies, inconsistencies and any other obstacles to progress; and
- b. To propose amendments and new regulations as necessary to remedy any shortcomings and improve the framework to meet future needs.

PART V. CONCLUSION

15. SUMMARY OF RECOMMENDATIONS

The table below summarises the recommendations in this report.

RECOMMENDATION	
Short-term	Medium-term
EPPGG Role, Functions & Profile	
<ul style="list-style-type: none"> • Prepare guidelines on the EPPGG role, functions and profile • Communicate guidelines to EPPGG members and decision-makers in Ministries & institutions • Use the guidelines to begin defining EPPGG jobs more precisely 	
Recruitment & selection	
<ul style="list-style-type: none"> • Review content and relevance of recruitment examination & align it more closely with the EPPGG profile • Augment the examination with practical methods to test skills and aptitudes and assessing previous experience, for example through oral examinations. 	<ul style="list-style-type: none"> • Design a new professional level entry test to facilitate the lateral entry of sector experts, including those already serving on temporary contracts. • Consider the Assessment Centre approach. For this purpose
Initial education	
<ul style="list-style-type: none"> • Align the current course curriculum more closely to the competencies new entrants are expected to have achieved at the end of the induction period (derived from the EPPGG role, functions and profile) • Introduce new methodologies, e.g. on-the-job training, work placements, mentoring/coaching, distance learning, networking events and seminars • Add sector-specific induction modules for recruits who require specialist knowledge before commencing work. • Link induction more directly to probation, by means of induction appraisal reports sent to the new entrant's employing Ministry, highlighting the strengths & weaknesses to be monitored and addressed during the probation period. 	<ul style="list-style-type: none"> • Consider separating initial education from recruitment and speeding up the time taken to bring new entrants on board by, for example, modularising induction courses and providing them at intervals throughout the first 1-2 years, linked to linked to probation appraisal as appropriate.
Professional development & promotion	
<ul style="list-style-type: none"> • Define competencies at each professional level of the EPPGG career (derived from the EPPGG profile), to provide a clear distinction between each professional level • Redesign the professional development courses to align with the competencies • Introduce modern training & development methodologies (e.g. on-the-job training; placements & secondments; 	<ul style="list-style-type: none"> • Feed the EPPGG perspective on promotion into the development of FCPE, in particular the EPPGG view on matters such as the need for performance-based promotion; and the desirability and feasibility of establishing a link between professional and managerial promotion.

RECOMMENDATION	
Short-term	Medium-term
<p>comparative studies (in Brazil and overseas); field studies; distance learning)</p> <ul style="list-style-type: none"> Develop a new Senior Professional Program for 'S' level EPPGG personnel to ensure their professional skills remain up-to-date. 	
Deployment & mobility	
<ul style="list-style-type: none"> Introduce periodic (+/- 4 years) reviews of all EPPGG assignments, to the need for a move identify priority areas of work for EPPGG personnel, initially through a one-off exercise to establish Ministries' requirements in the light of the Government's political priorities and strategic objectives Work closely with Ministries to facilitate career moves for EPPGG members that serve both the interests of the organisation and the individual. 	<ul style="list-style-type: none"> Build effective mobility arrangements into a fully-fledged manpower planning system
Manpower planning	
<ul style="list-style-type: none"> Carry out a broad brush assessment of the requirement for EPPGG personnel in each Ministry, and allocate ceiling numbers accordingly Encourage Ministries to bid intelligently for EPPGG resources, and to make appropriate use of them, by actively communicating EPPGG's role, functions & profile to Ministries, and to EPPGG individuals, and using the periodic checks on EPPGG assignments to monitor whether this is happening. Pilot job profiles for EPPGG personnel Create an EPPGG 'people and jobs' database (which would eventually form part of a larger database for all public policy management cycle careers). 	<ul style="list-style-type: none"> Develop and pilot a manpower planning system for management cycle careers as the first stage in a government-wide system
Performance management	
<ul style="list-style-type: none"> Identify the essential requirements for EPPGG performance management, and communicate these to those developing the new performance management system Consider whether or not the requirements can be incorporated into a government-wide system, or whether a stand-alone EPPGG system is needed 	
Career management	
<ul style="list-style-type: none"> Strengthen MP's capacity to take on a more active career management role for EPPGG by creating a career management function within SEGES to: <ul style="list-style-type: none"> Create an EPPGG jobs database, to promote and facilitate a better regulated jobs market Appoint designated contact points (career managers) to provide advice and guidance to individual EPPGG members; Conduct regular career interviews and assignment reviews (see paragraph 7.2); Develop a dialogue with employing Ministries to promote understanding of the EPPGG career profile and encourage appropriate utilisation of EPPGG members; Create an active EPPGG network to promote professional standards and foster <i>esprit de corps</i> 	

RECOMMENDATION	
Short-term	Medium-term
EPPGG/APO career merger	
<ul style="list-style-type: none"> The APO and EPPGG careers should remain separate for the time being. Further consideration should, however be given to the proposal in the context of any wider review of the career system itself. 	
EPPGG units in Ministries	
<ul style="list-style-type: none"> EPPGG units should not be imposed on line Ministries, but MP should actively support any Ministries who are willing to pilot the idea At the end of the pilot period, MP should consult the participant Ministries in assessing the results, before deciding whether and how the initiative should be institutionalised. 	
EPPGG network	
<ul style="list-style-type: none"> SEGES should establish EPPGG networking mechanisms to inform members of career management matters, to share information and best practice in public policy and management, and promote corporate values and public service ethos among EPPGG members. Networking arrangements could include: <ul style="list-style-type: none"> Electronic & printed publications on professional topics An EPPGG Career newsletter Seminars, workshops and guest speakers Consultation exercises and surveys A website 	
EPPGG Regulatory Framework	
<ul style="list-style-type: none"> A review of the EPPGG regulatory framework should be undertaken with terms of reference to: <ol style="list-style-type: none"> To assess whether or not the current laws and regulations relating to the EPPGG career constitute an adequate and comprehensive framework for its current and future functions and management; and to identify gaps, anomalies, inconsistencies and any other obstacles to progress; and To propose amendments and new regulations as necessary to remedy any shortcomings and improve the framework to meet future needs. 	

16. NEXT STEPS

The proposals in this report are interlinked: each supports the other. They should be seen as a package, not as a 'pick and mix' menu and, if approved, they should be implemented together, rather than piecemeal. The Working Group therefore recommends that SEGES should develop an implementation program, which prioritises each component; sets out the practical steps to be taken, and their sequence; assigns adequate resources; designates responsibility for implementation to named individuals; and sets target dates for completion.

The Working Group also recommends that a program manager should be appointed to lead the work and report regularly on progress to the Secretary, SEGES.

ANNEX A

LIST OF CONTRIBUTORS

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ANNEX B

DISTRIBUTION OF EPPGG PERSONNEL

FEDERAL GOVERNMENT	Ministry	Agency	TOTAL
Planning, Budget & Management	104	19	123
Presidency	71	16	87
Finance	69	1	70
Justice	32	24	56
Education	44	7	51
Mines & Energy	35	9	44
Culture	25	19	44
Social Development & Fight against Hunger	37	0	37
Health	22	16	38
Environment	16	13	29
Agriculture, Livestock & Food Supply	19	0	19
Agrarian Development	13	4	17
Labour	19	0	19
Communications	12	1	13
Cities	11	0	11
Defence	10	5	15
National Integration	14	0	14
Human Rights	13	0	13
Development, Industry & Foreign Trade	11	0	11
Social Welfare	13	0	13
Transportation	7	1	8
Science & Technology	3	2	5
Special Secretariat Agriculture & Fishery	2	0	2
Tourism	2	0	2
Special Secretariat Ports	1	0	1
Special Secretariat Sports	0	0	0
External Relations	0	0	0
Secretariat for Promotion of Racial Equality	1	0	1
Secretariat for Women's Policies	0	0	0
Vice Presidency	0	0	0
Miscellaneous*	50	0	50
TOTAL FEDERAL GOVERNMENT	565	137	793

* This includes people who are not in exercise in the federal government due to: leave of absence, post graduation, private matters, exercise in other branches of power and other states of the federation