

Results Management and Modernization of Local Governments, A Literary Review

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Abstracts: Results-based management has become an important tool for public management, whose main characteristic is to generate better public policies, based on efficient and effective methods of planning, budgeting, project management, monitoring and evaluation. The purpose of this study was to analyze results-based management and modernization of local governments. It was based on a qualitative approach, following a narrative theoretical perspective, under the criteria of origin, language and temporality of the bibliographic compilation. The main search engines such as Scielo, Latindex, Dialnet and Scopus were used to select 15 publications referring to the keywords related to management by results and modernization. Thus, concluding that implementing such management and modernization within local governments is essential to achieve the goals of each of the institutions, which contributes to improving quality, in addition to being efficient and effective in the execution of their work.

Keywords: Results-based, Management, Government management, Modernization of governments, Engagement.

1. INTRODUCTION

Results-based management has become a fundamental topic for Latin America as a whole, since it has generated an endless amount of literary research. However, these have not been discussed or reviewed for a long time, since results-based management has been modified in each region of the continent (De la Parra and Figueroa, 2022).

As is well known, results-based management is born as a tool of modern public management, which is characterized by the creation of improvements in public policy changes, being a central axis for proper planning, national budget, project/program management and an adequate monitoring and evaluation strategy, which are executed with ethical and moral values as a principle, as well as efficiency and effectiveness. Similarly, it is observed that the effectiveness of reform policies and especially of modernization, the State suggests the application of strategies and tools in order to reinvent forms of public management, decentralization and deregulations (Cañari-Otero and Hanco-Bustanza, 2021).

On the other hand, results management is vital in public entities, since its postulates must be applied in an appropriate manner, which will generate an achievement and will allow linking a framework of efficiency in the execution of activities both inside and outside public entities, as well as obtaining correct information on the performance of officials, which will be useful for improving the decisions of managers (Flores and Delgado, 2020).

According to the HEGEL Institute of Science (2021), the correct use of the public budget to have a positive impact on each individual is the main objective of results-based management, which is how such an approach is useful for public entities to make better use of their resources, and in turn lead to the improvement of the population's conditions.

Alarcón et al. (2020a) have mentioned that local governments are focused on the modernization that infers public administration and with it, the evaluation of the results generated, being characterized by the public value chain.

Similarly, Martínez et al. (2020) comments that results-based management entails managing public institutions focused on evaluating the fulfillment of strategies and actions, which are defined by the government plan. Thus, due to the low level of coordination that normally coexists between operational management and senior management, it is necessary and vital to make an effort to modernize, and to provide an updated form to be linked between the two.

Chura (2021), has mentioned that this model motivated an energetic concentration with respect to deciding on management for public administration, which responds to social requests efficiently without neglecting the ethics of management. This decongestion is supported by the strategic plan formulated between the financial link of the agency, in addition, it emphasizes measurable guidelines and a reasoned method of incentives.

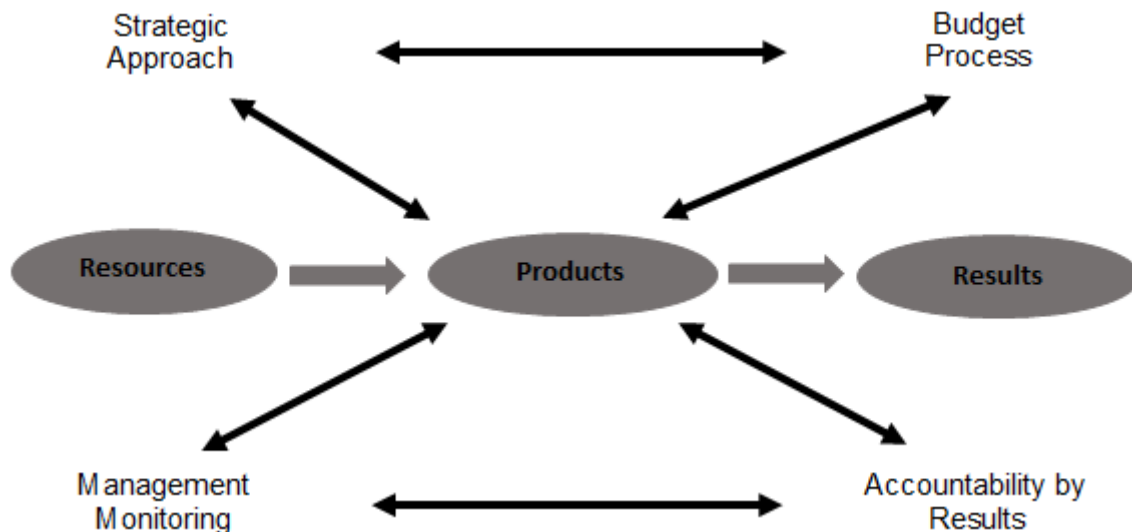


Figure 1. Results-based Management Process (Jordán, 2022).

In Peru, over the years, actions have been carried out to promote innovation, development and implementation of digital technology in various fields of social and citizen policies, which are reflected in the use of social media and digital platforms, thus achieving a correct results-based management in their work performance (Aspillaga et al., 2020).

Similarly, there has been a growing attention in recent years to the recognition of employees and their environment, in which they develop in a transcendental way and have a significant impact on the progress and development of the organization; however, most of the studies regarding the type of variable have been carried out within cultural environments (Anchelia et al., 2021).

La pandemia en el Estado chileno puso the pandemic in the Chilean state highlighted the central government's decisions on the weak fiscal autonomy of municipalities, since the COVID-19 crisis negatively affected metropolitan municipalities by decreasing their economic income, which had an abrupt impact, which was more noticeable in municipalities located below the poverty line (Aquino et al., 2021).

The relationship between human resource management (HRMP) practices and proximal, attitudinal and behavioral outcomes are mainly based on social exchange theory. If employees' perceptions of their organization or work are positive, they correspond to higher engagement, satisfaction, loyalty and productivity (Pires and Nunes, 2018).

Making an implementation plan for the PNMSM mentions that results-based management attempts to implement initiatives to improve organizations, since, although this is voluntary, this style is imminent for public entities (Calderón et al., 2022).

Similarly, the participatory budget turns out to be a management tool, since it has been important for local governments, as it must comply with transparency, democratization of public management, democracy of the country, capital construction and citizen participation (Clarke et al., 2020).

Therefore, within the business context, it has been possible to study the engagement variable, and several research have tried to establish a relationship between engagement and academic performance, it is vital for

organizations to generate this environment from very early on in order to improve modernization in local governments (Cajas et al. 2020).

The content of this review article arises from the research need to know the influence of results-based management and modernization in local governments, at the same time this research bases its justification under the criteria proposed by Hernández et al. (2016), who mentions that all research must be justified in a theoretical, methodological and practical way; thus, this article justifies its elaboration because there are no current reports on how results-based management has been influencing in our country, likewise its creation aims to promote to the scientific community the research on results-based management in local governments throughout the country in order to evaluate the progress and changes arising from such implementation, results and conclusions. In accordance with the above, the objective of this study is to analyze results-based management and modernization in local governments; likewise, the specific objective is to analyze the impact of the implementation of results-based management and modernization in local governments in Peru, based on the studies already carried out in our country.

1.1. Results-based Management

According to Capillo (2021), results-based management encompasses the task of facilitating integral management for the State and its institutions, so that it can embrace various processes that allow adding value to it; the purpose of such a model is to improve and enhance management with better competencies, being efficient and effective in the development of the activities of each collaborator, achieving the objectives set and thus, the change of this entity.

Several authors also mention that the action of managing refers to a set of tools that generate important results for management. In this sense, results-based management requires that due importance be given to the fulfillment of the objectives set, both in general and specifically within the administration of government funds (Contreras, 2018; Alarcón et al., 2020b).

The fulfillment of results and their control are measurable thanks to various standards such as effectiveness, efficiency, quality of work and economy. It is necessary to comply with such standards, which are specified by the actions of the management area collaborators (Tejada, 2022). Taking into consideration all of the above, these theories are basic for an adequate process of change in the organizational culture of the public sector, being the replacement of a managerial structure that prioritizes the standard procedures established by other entities, with a focus on the fulfillment of results (Díaz et al., 2018).

1.2. Dimensions of the Results-based Management Model

Economic Commission for Latin America and the Caribbean (ECLAC, 2018) the results-based management model frames five major dimensions being these.

Budgeting for results, which mentions that, currently, it is the management strategy that is most and directly linked to the designation of financial, human and material resources, in the same way, with objectively measurable and statistically symbolized goods with the purpose of optimizing the visibility of what has been elaborated. This is implemented through various budgetary programs.

Financial management, according to Cienfuegos (2019), this is described as a conglomerate of administrative tasks that promote the training of resources, based on the objectives set and goals to be achieved, in compliance with the rules, resources and principles of all the systems designated by the public sector, which have an impact on the management, control and programming of needs.

Project and program management, which, according to Ruvalcaba (2020), is presented as a means by which the governmental State is responsible for developing goods and services in order to achieve the ideals established and expressed in an institutional document.

Monitoring and evaluation, which is presented as a transcendental process in the life of the institution, since it uses tools such as reflection and observation of what has been executed during the period, either by managers, collaborators or heads of state, in order to bring to light the strengths and limitations and encompassing them in a plan for monitoring and decision making through an optimal evaluation.

According to Shack and Rivera (2017), they mention that there are pillars, formally called "*Pillars of the management cycle*" which are public elements, which are made up of various components that describe the capabilities to guide management towards the achievement of results. Such indicators are disaggregated into fundamental requirements that point to the conditions and characteristics that systems have in a results-based management environment.

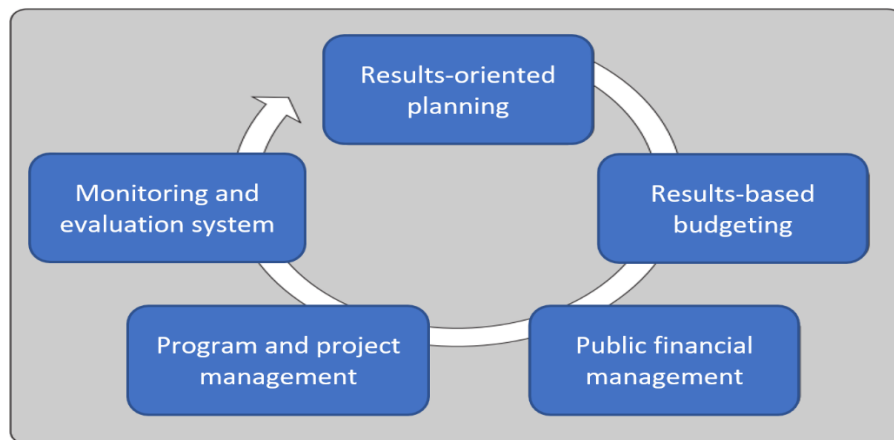


Figure 2. Pillars of Results-based Management (Shack & Rivera, 2017).

1.3. Modernization of Local Governments

According to the National Civil Service Authority (SERVIR 2021), through Legislative Decree 1026, which establishes a special optional regime for local and regional governments, within the framework of the process of making the legal framework more flexible and decentralization of governments, allowing each company to mold its staff to the needs of a new organization.

However, the same entity mentions that the needs of local and regional governments are different from those of the central government, since the first two have special characteristics that require special and different regulations, in this sense it is important to prioritize and guarantee the modernization of these governments in order to ensure optimum quality in the provision of services.

The USAID/Peru Project (2011, cited in Cordero, 2018) comments that the modern administrative reform of the State is a technical and political matter of metamorphosis with respect to the qualities and strengthening of capacities, agile processes, simplifying processes, the relationship between administrative structures and functional and administrative systematization.

It is for such reason that the modernization of the State implies, the realization of certain significant changes within the administrative distributions of the organs that compose the strata of the Government, then that the modernization of this contributes in an additional semblance of the reforms of the State learning thus the processing such as the simplification of the same ones, the use of the computer tools in the performance of the functions of the State and consequently, the improvement of what every citizen perceives related to an optimal service offered by the government.

2. METHOD

The theoretical review is based on a qualitative approach, which is defined by Hernández et al. (2016), who comment that this approach is based on the analysis and collection of theories and bibliographic articles. Similarly, the present study is proposed under a non-experimental perspective of a narrative theoretical type, which is defined as research that focuses its contextualization on the facts, theories, stories and scientific contributions during the last years.

For the development of this work, the origin and language of each of the works collected for the contrast of results were taken into consideration; in the same order, certain key words such as "management by results", "government management", "government modernization" and "engagement" were taken into account, which allowed the correct and precise collection of information in the following scientific databases: Scielo, Dialnet, Latindex and Scopus.

At the same time, the following inclusion criteria were taken into account: 1) publications between 2019 and 2023, 2) research in the Peruvian setting, 3) review and original works, 4) articles in Spanish and English, and 5) studies that examine the topic raised with open access. As for the exclusion criteria, those works that do not address the research topic and do not meet the inclusion criteria were automatically disqualified (books, book chapters, thesis dissertations, restricted articles, among others).

As shown in Table 1, the information selection process for the study took into consideration the key words (search engine) and the application of filters in the different databases. Likewise, 76 articles were identified without filters and 15 by applying the corresponding filters. Finally, fifteen articles (N=15) were selected after applying the search criteria.

Table 1. Search Criteria and Selected Articles.

| Database | Search engine | Filters used | Articles selected | |
|--------------|---------------------------|---|-------------------|-------------|
| | | | No filter | With filter |
| Scielo | Results-based management, | | 11 | 1 |
| Scopus | Government management, | Year 2019-2023. | 18 | 2 |
| Dialnet | Engagement, | Language: English, Spanish. Open Access | 16 | 2 |
| Latindex | Government modernization. | | 31 | 10 |
| Total | | | 76 | 15 |

Table 2 shows the distribution of the selected articles according to the year of publication and the database. It is evident that most of the articles (6 documents) were published in the year 2021, while the database with the most publications was Latindex (10 documents), followed by Scopus (2) and Dialnet (2).

Table 2. Distribution of Articles by Year of Publication and Database.

| Database | Years of publication | | | | | Total |
|--------------|----------------------|----------|----------|----------|----------|-----------|
| | 2019 | 2020 | 2021 | 2022 | 2023 | |
| Scielo | 0 | 1 | 0 | 0 | 0 | 1 |
| Scopus | 0 | 0 | 1 | 1 | 0 | 2 |
| Dialnet | 1 | 0 | 1 | 0 | 0 | 2 |
| Latindex | 1 | 1 | 4 | 4 | 0 | 10 |
| Total | 2 | 2 | 6 | 5 | 0 | 15 |

3. RESULTS AND DISCUSSION

Table 3 shows the results of the theoretical background review (applying inclusion and exclusion criteria) and its relevance to the objective of the study. As a result, a total of n=15 articles on results-based management and modernization in local governments in Peru were obtained.

The authors of the research, year of publication, title, main findings, journal and database were also taken into consideration. In order to facilitate reading and comprehension, to compare and discuss the selected articles and to broaden the analytical point of view, the following information was included.

Table 3. Peruvian Antecedents on Results-Based Management and Modernization of the State.

| N° | Author Year | Title | Finding/Result | Journal | Database |
|----|--------------------------------------|---|--|--|----------|
| 1 | Melgar (2019) | The normative framework of results-based management and the health reform of the Ministry of Health. | The RBM policy framework has a significant influence on health reform in the MOH. | LEX Revista de la Facultad de Derecho y Ciencia Política | Dialnet |
| 2 | Blas et al. (2022) | Modernization of the State in public management: Systematic review | The findings showed that modernization facilitates an efficient state, restores people's trust in government, and reduces bureaucratic procedures. | Revista de Ciencias Sociales | Scopus |
| 3 | Calero (2021) | Public management by results and public procurement processes: a case study. | It shows that there is a positive relationship between contracting processes related to programming, selection and execution of contracts, which are improved if a results-based management approach is used. | Gaceta Científica | Latindex |
| 4 | Huanca-Isidro (2019) | Results-based budget management and its influence on the quality of public spending in the district municipality of Chaglla - Pachite | It shows that the majority of workers point out that quality spending implies judiciously allocating public resources to goods and services that improve the standard of living of citizens. | Gaceta Científica | Latindex |
| 5 | Vargas & Zavaleta (2020) | Budget management by results and the quality of spending in local governments. | Significant progress was made in determining the quality of spending through management by results that guide the improvement of the population's standard of living, especially in the areas of health and education. | Revista Científica Visión de Futuro | Scielo |
| 6 | Vílchez (2021) | Management of the budget for results and quality of spending in the provincial municipality of Satipo, 2020. | A direct and significant relationship was determined between management by results budgeting and the quality of spending. | Ciencia Latina Revista Multidisciplinar | Latindex |
| 7 | Cañari-Otero & Hanco-Bustanza (2021) | Influence of results-based management on the effectiveness of State reform and modernization policies. | Changes in current public management are immediately influenced by results-based management due to its close relationship with the effectiveness of improvements in State reform and modernization initiatives. | Polo del Conocimiento | Latindex |
| 8 | Rodríguez (2022) | Effectiveness of results-based management in the framework of reform and modernization of the State. | The effectiveness of results-based management in the context of state reform and modernization depends on establishing channels for citizen participation and setting goals in response to needs identified during the strategic planning process. | Ciencia Latina Revista Multidisciplinar | Latindex |
| 9 | Flores & Delgado | Results-based management to improve the quality of care in | The improvement of current government management is facilitated | Ciencia Latina Revista Multidisciplinar | Latindex |

| | | | | | |
|----|-------------------------|---|---|--|----------|
| | (2020) | public entities. | by the use of results-based management in a public agency, which demonstrates the effectiveness and usefulness of this tool in the numerous operations programmed. | | |
| 10 | Carrasco et al. (2021) | Results-based management of a full-day school, UGEL 01 RED 11 de Lima, 2019. | The analysis of the views of education administrators on results-based management revealed its fundamental importance for the proper functioning of schools operating with a full school day. | 593 Digital Publisher | Dialnet |
| 11 | Carazas et al. (2022) | Results-based budget management and its impact on social programs in a local municipality. | A positive and significant association was found between performance budgeting and social initiatives in a local government. | Revista Balance's | Latindex |
| 12 | Flores & Núñez (2021) | Management by processes in the framework of the Modernization of Public Management in Peru. | The model is laborious and effective but public entities do not apply it in accordance with current regulations, leaving a gap in management. | Revista de Investigación Científica y Tecnológica Alpha Centauri | Scopus |
| 13 | Yunching (2022) | Modernization of public management to democratize the State. | The local governments of Central Lima benefit from the innovation and democratization of the State thanks to compliance with the law for the modernization of public management. | Ciencia Latina Revista Multidisciplinar | Latindex |
| 14 | Dávila & Sánchez (2021) | Management of budgeting for results to improve the quality of public spending in the local educational management unit San Martin - Tarapoto. | Performance budget management fosters effective and decentralized educational management by emphasizing the professional learning community and the delivery of educational services; this is achieved through a participatory approach involving society, families and citizens. | Ciencia Latina Revista Multidisciplinar | Latindex |
| 15 | Delgado (2022) | Modernization of public management and its influence on the attention of citizens from local governments. | As a state policy, the modernization of public administration involves all levels of government, political institutions, autonomous groups and citizens in general. Public management influences the attention to citizens from local governments. | Ciencia Latina Revista Multidisciplinar | Latindex |

As we can see in Table 3, in the selected study period (2019-2023), several research studies have been developed in our country regarding results-based management and government modernization. The study conducted by Blas et al. (2022) stands out, stating that the most practical alternatives to modernize the Peruvian State and democratize power, as well as to have a better informed and more committed citizenry, include greater transparency, open government, accountability, access to information and electronic government. Consequently, modernization helps the state to function more efficiently, restores citizens' faith in government and streamlines administrative procedures.

As is well known, planning is the first phase of the entire results-based management cycle, being basic to achieve the objectives of an institution, since, as Rodriguez (2022) mentions, the effectiveness of the results-based management approach is demonstrated by establishing and achieving objectives through strategic planning that includes citizen input and is transparent to citizens, as well as holding public officials accountable for their actions. Likewise, Flores and Delgado (2020) agree that the effectiveness of care provided by government entities improves significantly with the results-based management strategy, achieving the development of an efficient quality management system.

On the other hand, Carrasco et al. (2021) have stated that results-based management can improve school management in each of the educational institutions in Peru, since, as this author states, school management has an empirical character, and it is here where results-based management helps to solve and face difficulties in a more

effective and efficient way. In addition, Dávila and Sánchez (2021) point out that managing the budget for results contributes to improving institutional conditions by prioritizing the public good and government efficiency in educational programs and policies, i.e., well-designed and executed public spending can contribute to educational growth and provide a better service for children and youth, optimizing results to address pressing problems.

Likewise, in his research Melgar (2019), mentions that management by results is significantly related in the health reforms provided by the Ministry of Health in our country; in other words, both public policy, the results-based approach and budgeting have a significant influence on health reforms. However, its implementation is not feasible for short-term objectives, but rather for medium- and long-term objectives.

In this vein, the results of Vílchez (2021) show that in order to maximize the efficiency of public spending, it is advisable that the budget design prioritizes budgetary programs that help close the gaps through a careful allocation of public funds, evidencing a correspondence between public spending and performance budget management in local governments. Similarly, Huanca-Isidro (2019) agrees that the quality of spending in Peruvian municipalities has increased thanks to the implementation of performance budget management, favoring the standard of living and quality of life of citizens. Likewise, Carazas et al. (2022) agrees that there is a strong connection between results-based budget management and social programs, since it is evident that this method helps municipal employees, who are responsible for carrying out social programs, to perform their work more effectively.

Calero (2021) states that government workers understand results-based management well enough to make good contracting decisions that help achieve the desired results. Likewise, Vargas and Zavaleta (2020) agree that there are significant advances in the areas of health and education, based on the close relationship between local government spending and performance budget management.

In addition, according to Flores and Núñez (2021), there is increasing knowledge and experience in the application of management by processes in the State. Consequently, the need to modernize public management has increased the importance of processes in the deployment of innovative technology aimed at improving the provision of public services. Similarly, Yunching (2022), notes that when a government agency conforms to the National Public Management Modernization Act, transformation and innovation can be managed within a process-by-results approach, leading to greater success and increased societal satisfaction. This law also serves as a recommendation to strengthen management within a comprehensive systemic approach, meritocracy, ethics and citizen participation.

Thus, Delgado (2022) agrees that the modernization of public management is being adopted as a policy by local governments as a means of distinguishing themselves as organizations committed to promoting sound corporate governance practices. Likewise, the study by Cañari-Otero and Hanco-Bustinza (2021), agrees that state reform and modernization policies are influenced by results-based management directly, as this type of management applies the ideals of efficiency and effectiveness to the workplace in order to produce favorable results for citizens.

In general, it can be noted that Peru has made some progress in results-based public management, as evidenced by the moderately advanced implementation of digital platforms, the recognition of the importance of employees in management and organization, and the establishment of governance for citizen satisfaction and institutional autonomy through legislation (Yunching, 2022; Flores and Delgado, 2020).

Finally, according to the findings obtained, it is necessary to research, implement and optimize many aspects of results-based management, such as planning from a territorial approach, especially at the regional and local levels; improving filters for access to political positions to ensure competent administration; simplifying bureaucracy to provide faster service to the public; using a knowledge management system to avoid making previous mistakes again; increasing citizen participation in government operations; and strengthening cooperation between different levels of government to create more effective public policy.

4. CONCLUSIONS

Implementing results-based management within local governments is important for the fulfillment of the delimited of each of the institutions, these will help the efficient and effective execution of the work. Likewise, in Peru, the implementation of results-based management in the modernization of local governments is necessary because, as has already been seen in each of the government institutions that have implemented it, improvements have been observed in the quality of service and it has allowed to favor the growth of each of these entities and to correctly confront various difficulties presented throughout the management.

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