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**PERSONNEL EVALUATION: ORGANIZATIONAL,
METHODOLOGICAL AND PRACTICAL ASPECTS**

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Abstract

In the course of the study, the authors compared the main parameters of personnel certification and business evaluation, which are carried out in state and large commercial organizations. The authors propose a comprehensive method for analyzing the effectiveness of the personnel evaluation system, which involves its element-by-element analysis. Based on an expert survey of employees of HR services and representatives of top management of organizations of various profiles located in Irkutsk Region, the weaknesses of this method were identified. The article presents the results of a survey of experts, as well as a comparative analysis of the features of personnel evaluation in state and commercial organizations in terms of goals, functions of personnel evaluation, regulatory documentation, types and levels of personnel evaluation, subject, methods, subject and evaluation criteria, as well as management decisions made based on the evaluation results. In addition, the authors analyzed the existing judicial practice in cases of reinstatement of persons dismissed as a result of personnel certification, and identified a number of errors made by employers when conducting personnel certification. In the article, along with this, the main difficulties faced by employees of personnel management services in the practical conduct of personnel assessment are identified. In conclusion, the article offers recommendations for improving the effectiveness of personnel evaluation in commercial organizations and certification of personnel in government agencies.

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Keywords: Personnel evaluation, elements, methodology, system, error



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1. Introduction

Changes that occur under the influence of scientific and technological progress in the organization of production and management technologies are placing ever higher demands on the quality of the workforce and the qualifications of employees. Modern employers, assessing the professional qualifications of employees, are guided by the requirements of professional standards developed within the framework of the national qualifications system. This requires the introduction of business assessment procedures that allow employers to identify the level of compliance with the requirements of professional standards and workplace requirements, detect deficiencies in professional competencies and build further work with staff on this basis. Achieving compliance of the professional and qualification structure of personnel with the structure of jobs is the main task of the company's personnel support.

2. Problem Statement

Regular business evaluation of personnel provides employers with a number of advantages, including making more effective management decisions related to recruitment and selection, training of personnel, their motivation and remuneration, professional promotion and release.

There may be some difficulties in organizing and conducting staff evaluations. First, such difficulties are related to the choice of evaluation methods that correspond to the strategic guidelines of the organization. Despite the existence of a large number of methods of business evaluation of personnel used in domestic and foreign practice, not all of them are universally applicable. In addition, they have different degrees of effectiveness and objectivity of the obtained results. In the scientific literature, researchers sometimes express diametrically opposite points of view regarding the expediency and validity of using certain methods of business evaluation of personnel. Secondly, the development of an assessment methodology is a rather complex problem in the field of personnel management, which requires a qualified approach. It can be stated that this problem remains insufficiently studied.

However, despite these difficulties associated with the procedures, the methodology and practical application of evaluation in personnel management, it should be noted that still better business periodically conduct evaluation of staff than it is to abandon its holding in the organization.

3. Research Questions

3.1. Personnel evaluation: the concept, principles, functions

Personnel evaluation plays an important role in the organization's personnel management system. It interacts with such subsystems as recruitment and selection of personnel, adaptation of personnel, placement of personnel within the organization, formation of a personnel reserve, career planning, training and development of personnel, motivation and stimulation of work. For example, making decisions about bonus payments involves evaluating staff, which should be done fairly frequently.

In the scientific literature on this topic, you can find not only the concept of "personnel assessment", but also "personnel performance assessment" (Mitrofanova & Ivanovskaya, 2015), "labor efficiency

assessment". Therefore, it is important to understand how the concept of "personnel assessment" differs from other concepts.

Personnel evaluation involves determining the value of an employee (Toropov & Lebedeva, 2018). In turn, the value of an employee is related to the level of their qualifications, performance and compliance of professionally important qualities with the requirements of the workplace. Therefore, the subject of evaluation can be the labor process and its effectiveness, which depends on the level of employee competence (Bylkov, 2014), as well as personal and professional qualities of employees.

The main principles of personnel assessment are: objectivity, systematic approach, complexity, reliability, transparency, efficiency or effectiveness, efficiency.

Among the functions of the evaluation system, we can distinguish:

- an orienting function (allows you to correlate the self-assessment of the employee's personal qualities and the results of their work with the assessment by the direct Manager, the head of the organization and other evaluation subjects and outline prospects for further development);
- a motivational function (encourages the employee to move in the chosen direction);
- an administrative function.

Therefore, the problem of correct use of terms is relevant, as it allows you to avoid many errors that occur during the evaluation of personnel, which are called "terminological" errors. These errors are often caused by difficulties in translating different concepts from one language to another, and as a result, different procedures are mixed up.

3.2. Analysis of the effectiveness of the evaluation system in the context of its individual elements in organizations of various profiles

Recently, there have been many publications that offer and test different methods for staff (Bratishchenko & Keshikov, 2016; Turenko & Turenko, 2016, 2018). At the same time, it can be stated that there is no universal methodology for analyzing the effectiveness of the current system for evaluating the organization's personnel. Difficulties in developing such a methodology are caused by the problems of determining the economic results from the implementation of various personnel measures.

In our opinion, in order to conduct a full analysis of the effectiveness of the personnel evaluation system, it is necessary to consider each of the elements of the personnel evaluation system separately (Balashova, 2001). It should be emphasized that the system of personnel assessment in organizations of different ownership forms and different profiles will have its own specific features and be unique. Therefore, it will be of particular interest for our research to identify this specificity.

4. Purpose of the Study

The purpose of the study is to identify the features of the organization and conduct of personnel evaluation in state and commercial organizations from the standpoint of goals, functions, documentation, types, levels and subjects, methods, subject, indicators and criteria for personnel evaluation. This includes research in practice of analyzing the effectiveness of the personnel evaluation system based on a survey of personnel services employees and top management representatives of organizations in Irkutsk Region;

based on the results of the analysis of judicial practice in cases of reinstatement, a description of typical mistakes made by employers during certification in order to prevent them.

5. Research Methods

The main research methods were the analysis of scientific literature on the problems of personnel evaluation and certification; analysis of judicial practice in cases of reinstatement at work; expert survey conducted in organizations of various profiles located in Irkutsk Region. Employees of such organizations as state civil registration authorities, Treasury, state employment service, tax service, correctional colony, general education schools in Irkutsk and Shelekhov, as well as employees of commercial organizations were in the field of trade and employees of industrial enterprises. 41 people took part in the expert survey.

6. Findings

6.1. Organizational aspect

In organizations, staff evaluation can be performed in different ways. But in practice, it happened that in large commercial and state organizations, personnel certification is carried out. In small commercial organizations there is personnel evaluation. Or, as it is also called, business evaluation of personnel is held (table 1).

Table 1. Comparison of the main parameters of personnel certification and evaluation*

Points of comparison	Personnel certification	Personnel evaluation
Evaluation purpose	Administrative Motivational Informational	More rational construction of the organizational structure. Development of new and improvement of existing systems of moral and material incentives. Referral for staff training. Creating of the personnel reserve. Employee career planning. Assessment of labor productivity and staff performance.
Functions	Administrative Motivational Informational	Control Analytical (diagnostic) Constructive (optimization) Coordination (regulatory) Communication (coordination of interests) Motivational (mobilizing) Integrative (system-forming) Value-normative function Human capital formation function

Legal documentation	Regulations on certification	Regulations for conducting business evaluation of personnel.
	Dignities: the main stages, criteria, and decisions are documented. Disadvantages: it is difficult to make changes	Dignities: relationship with the organization's strategy. Disadvantages: complexity of conducting.
Types of personnel evaluation	Next certification; Extraordinary (the local regulations shall specify the reasons for the meeting. For example, non-fulfillment of production tasks, failure to meet deadlines or stages of work, reduced product quality, or systematic violation of labor discipline). Certification at the end of the trial period. Certification when transferring to another structural division.	Next certification. Extraordinary. Certification at the end of the trial period. Certification when transferring to another structural division.
The levels of personnel evaluation	Periodic evaluation (every three years)	Daily assessment of professional activity (strengths and weaknesses). Periodic assessment of performance of duties. Capacity assessment.
Subject of evaluation: direct supervisor		Advantages: It has a complete picture of the job and the employee. Getting feedback. Disadvantages: subjective influence of the appraiser, which can be reflected in both overestimation and underestimation of estimates.
Subject of evaluation: colleague		Dignities: colleagues have a clearer understanding of how the evaluators perform. Disadvantages: a colleague can pursue their own goals when evaluating.
Subject of evaluation: expert		Advantages: objectivity. Disadvantages: does not have a full understanding of the reasons for non-performance of work. The assessment is based on information provided by the direct supervisor (from the review).
Subject of assessment: self-assessment		Advantages: helps to avoid subjective attitude of appraisers If used as part of a system, comparing the results of the self-assessment and the Manager's assessment can be the starting point of the certification interview. Disadvantages: rare use due to the possibility of overestimation or inadequate perception
Evaluation method	Certification Testing	MBO, KPI, "Secret buyer" method, evaluation centers, "360 degrees" method, etc.
Subject of evaluation	Assessment of employee's professional qualities	Assessment of employee's personal qualities Evaluation of the results of work
Evaluation indicators	Competences	Evaluation of work Competences Result of activity
Evaluation criterion	Not spelled out in the documents for the certification	Known in advance

* Source: compiled by the authors based on the analysis of educational materials

6.2. Methodical aspect

The authors proposed a comprehensive methodology for analyzing the effectiveness of the personnel evaluation system (Nosyreva & Balashova, 2019).

The method proposed by the authors has been tested in state organizations, educational structures, commercial trade structures, and industrial associations.

Evaluation purpose. Since certification is a mandatory procedure in state structures, the experts noted that they have accumulated a lot of experience in conducting personnel evaluations. However, all the goals that the experts noted can be attributed to administrative goals of personnel management. The trade organizations noted that the personnel assessment is aimed at creating or changing financial incentive systems, as well as the assessment is carried out to monitor the effectiveness of staff work. It was difficult to assess this parameter in educational structures, since the goals set are often not quantifiable. Employees of production associations noted that the assessment can be carried out for various purposes.

Regulatory and legal documentation. The procedure for evaluating personnel in most organizations (86%) is regulated by law: regulations on personnel evaluation (Or regulations on personnel certification) have been developed. With this approach, the evaluation procedure is mandatory for all employees. In trade organizations, evaluation is more often informal. At the same time, there were no disputes about the correctness of personnel certification.

Types of personnel evaluation. Mostly regular certification is carried out, but sometimes certification is possible for promotion (state structures – 30%, in education – 23%).

Subject of assessment. As a rule, direct managers act as the subject of evaluation in organizations. In some cases, experts are involved. This becomes mandatory if the expert's membership in the Commission is stipulated in the certification Regulations. During the survey, representatives of industrial associations and educational institutions gave a negative assessment.

Evaluation method. To date, quite a large number of methods for evaluating personnel are known. We decided to consider this element from the point of view of determining the degree of objectivity. The use of attestation as an effective way to conduct quality assessment in the public sector, in industrial associations. Employees of the trade sector mark the MBO method as the most effective and objective.

Entity of evaluation. When conducting certification, the emphasis is placed on the assessment of professional qualities. And such an indicator as "achievement of the goals set for the estimated period" can only be evaluated if these goals have been defined.

When analyzing the results of the survey, a fairly high level of achievement of goals was noted in the public sector and in trade organizations (80-100%). In public sector organizations – significantly lower. But it is marked at a very low level in educational organizations and industrial enterprises.

Evaluation criterion. In our opinion, it is very important that the indicators and criteria for evaluating personnel correspond to the work performed. The experts evaluated it as follows (table 2).

Table 2. Distribution of expert responses on the question of compliance of indicators and criteria for the executed work*

Answer choice	State establishments	Education	Trade	Production
Indicators and criteria correspond to the performed work	43%	88%	75%	100%

* Source: compiled by the authors based on the survey results

We evaluated also the question about the number of employees who have passed the assessment. The indicator was at a high level, which indicates that the certification is not conducted for the purpose of determining applicants for dismissal. But it is based on the results of certification that dismissal is possible. However, no such cases were recorded in the organizations surveyed.

Integration with other HR management subsystems. Such element as "integration with other subsystems of personnel management" in our methodology included seven different performance indicators of the evaluation system. Let's present the main ones.

It was proposed to estimate the proportion of employees enrolled in the organization's personnel reserve based on the results of certification. Respondents noted that the majority of employees who successfully passed the assessment are enrolled in the personnel reserve – in industrial associations and educational structures (75% and 82%, respectively). This relation is almost completely absent from the sphere.

The indicator "proportion of employees who received promotion in professional development" was at a high level in the public sector (43%). Respondents from other organizations also noted this indicator at an unsatisfactory level.

According to the indicator "the share of employees who are sent for training based on the results of evaluation" in public sector organizations, 80% indicated that there was a relationship, and in educational structures and organizations in the trade sector, no one was sent for training. Respondents of industrial enterprises (50%) noted that this is possible with planned financing.

A comparison of personnel evaluation in different organizations is presented in table 03.

Table 3. The comparison of the evaluation of personnel in various organizations*

Points of comparison	Educational, industrial, and state establishments	Trade organization
Evaluation purpose	Encouraging targeted, continuous improvement of employees' skills. Improving the efficiency and quality of teaching work. Identification of prospects for using potential opportunities of employees.	Formation (change) of financial incentive systems for employees. Control of the efficiency of the staff Getting information for making management decisions.
Functions	Administrative	Control Motivational (mobilizing)
Legal documentation	The rules are strictly regulated (for example, in educational structures: Order of the Ministry of education and science of the Russian Federation No. 276 of 07.04.2014 "on approval of the procedure for certification of teachers engaged in educational activities)" (Order of the Ministry..., 2014).	The rules are regulated by local acts that do not contradict the current labor legislation (for example, this Regulation on conducting a business assessment of personnel, an order for the organization).

	The main document is the regulation on passing the certification.	
Types of personnel evaluation	Certification is carried out once every five years. Unscheduled certification. It is carried out at the request of the employee.	Regular certification (at least once every five years). Certification at the end of the probation period (set before the end of the probation period). Re-certification is assigned based on the result of the last certification, when the employee was made comments and the deadline for their correction is determined.
The levels of assessment of personnel	Periodic assessment (every three years).	Periodic assessment of performance of duties.
Subject of evaluation	Immediate supervisor Colleague Expert Self-assessment	Immediate supervisor Buyers
Evaluation method	Certification Testing The "360 degree" method»	MBO, the "Secret buyer" method»
Entity of evaluation	Assessment of employee's professional qualities	Assessment of employee's personal qualities. Evaluation of the results of work Known in advance
Evaluation criterion	Not spelled out in the documents for the certification	
Decisions made based on the results of certification	Corresponds to the current position. Does not correspond to the position held.	Corresponds to the current position. Does not correspond to the position held. Making decisions related to changes in the compensation package: changes in wages. Application of the punishment system.
Points of comparison	Educational, industrial, and state establishments	Trade organization
Evaluation purpose	Encouraging targeted, continuous improvement of employees' skills. Improving the efficiency and quality of teaching work. Identification of prospects for using potential opportunities of employees.	Formation (change) of financial incentive systems for employees. Control the efficiency of the staff Getting information for making management decisions.
Functions	Administrative	Control Motivational (mobilizing)

* Source: compiled by the authors based on the analysis of regulatory documents regulating certification in various organizations

6.3. Practical aspect

After analyzing the judicial practice on dismissed employees based on the results of certification, we can conclude that employers make mistakes, mainly in the certification procedure. And, as a result, employees are restored to work.

According to the normative documents regulating personnel certification, namely the Labour Code of the Russian Federation, article 81 of the TC RF (part 2 of article 81 of the labour code) States that the

procedure for certification shall be established by normative legal and local acts. Based on the summary of the results of the reviewed court cases, we have compiled a table 04 that presents the grounds for reinstating an employee in the workplace who was dismissed based on the results of certification.

Table 4. Grounds for reinstating an employee in the workplace*

Errors in the certification procedure	
The order of carrying out certification	The order does not provide everything: it does not reflect the schedule of certification, the date of submission of documents for evaluating employees, and the composition of the certification Commission is not specified). Employees are not familiar with the order. The list of certified employees includes persons who are not subject to certification.
Schedule of certification	There is no signature of the certified person when reading the schedule. Terms of familiarization with the certification schedule were violated.
Deadline for submitting documents	Documents (review or characteristic) are not submitted on time. There is no signature of the employee when reviewing the documents.
Composition of the attestation Commission	The local act does not specify: - specialists who are authorized to be responsible for evaluating certain employees; - the possibility of creating several certification commissions is not reflected; - the conditions for attracting employees of other organizations to the Commission are not specified; - a representative of a trade Union organization is not included in the membership.
The documents required to examine the employee before certification	The employee is not familiar with the documents. The employee is familiar with the documents with violation of deadlines. If you refuse to sign the document review sheet, there is no report (that important information was not provided).
Errors in the certification process	
Filling out documents during certification (certification sheet, Protocol)	The certification sheet does not contain information that allows you to assess the professionalism and qualifications of the employee. There is no list of indicators.
Conducting a certification interview	The Commission entered incorrect responses from the employee in the report. There is no confirmation of the employee's non-compliance with the position or work performed due to insufficient qualifications.
Taking decision	The decision was made without conducting a certification interview. There is no quorum when making decisions (2/3 of the total number of members of the attestation Commission must vote for the decision).
Dismissal of an employee based on the results of certification	The employer must prove that it is impossible to use the employee in the previous job. The employer must provide evidence that reliably indicates that it is not possible to employ the employee within the enterprise. The employee must not be a person whose dismissal is considered inadmissible by law.

* Source: compiled by the authors based on the materials of judicial practice

Along with the analysis of judicial practice, the authors of the article analyzed other practical aspects of the organization and conduct of personnel evaluation at enterprises, the generalization of which allowed us to formulate the following difficulties:

- Complexity of formalizing and measuring the results of work of specialists and managers for personnel evaluation.
- Difficulty in assessing the contribution of each individual employee to the overall end results.;
- The presence of a time interval between the adoption of management decisions by the evaluated employees and the appearance of a measurable result of this decision.
- Discrepancy between the level of qualification of employees, confirmed by documents on the assignment of qualifications, and the qualification requirements prescribed in the professional standard.
- Subjective nature of personnel assessment.
- Pursuit by the organization's management, in addition to the stated goals of personnel evaluation, goals to get rid of unwanted employees.
- The presence of socio-psychological problems in the evaluated employees (fear of being caught in incompetence, fear of being dismissed based on the results of certification and, as a result, an increase in staff turnover on the eve of the certification or personnel evaluation procedure).

Consequently, when evaluating personnel in organizations in practice, it is necessary to take into account the possible difficulties and far-reaching consequences associated with legal actions.

7. Conclusion

The results of the study allowed us to formulate a number of recommendations for improving the effectiveness of personnel evaluation. Since the personnel assessment procedure is more regulated in state organizations (Khokhlova, 2013), the authors suggest using the following stages of its implementation in order to improve the effectiveness of personnel assessment in commercial structures:

1. Description of the work functions performed.
2. The definition of requirements for competences.
3. The evaluation of a particular employee on a selected criteria.
4. Determining the employee's performance.
5. Comparison with the requirements of a professional standard.
6. Comprehensive assessment of the employee's compliance with the requirements.
7. Establishing feedback with the evaluated employee, discussing the results of the evaluation with him.

In addition, in order to prevent employees from contacting the labor inspectorate and the judicial authorities, it is necessary to prepare more carefully the documents accompanying the certification of personnel. In particular, when serving a notice of transfer to another job due to non-compliance of the employee's qualifications with the requirements of professional standards, explain to employees the reasons for this transfer. Implementation of the proposed recommendations will improve the efficiency of personnel certification and reduce the number of labor disputes between employees and employers.

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