

Implementation of performance management and its relationship with the civil servants perception of a public entity framed in Law No. 30057

[Implementación de la gestión del rendimiento y su relación con la percepción de los servidores civiles de una entidad pública enmarcada en la ley N° 30057]

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Resumen

El presente artículo científico tiene como objetivo averiguar si existe relación con la percepción de los servidores civiles de una entidad pública enmarcada en la Ley N° 30057 y su implementación de la Gestión de Rendimiento. La investigación es de tipo no experimental y descriptivo, se realizaron diferentes tipos de recolección de datos, entre ellos entrevista a profundidad al Jefe de la Unidad de Recursos Humanos y al 50% de los servidores que fueron evaluados en la implementación de la Gestión de Rendimiento de dicha Entidad; y como análisis documental se revisó la siguiente documentación: La Ley del Servicio Civil -Ley N° 30057, el Sistema Administrativo de Gestión de Recursos Humanos de SERVIR, en lo que respecta el subsistema de Gestión del Rendimiento y la implementación del mismo en un Entidad del Sector Público. El resultado de la investigación fue percepción negativa por parte de los servidores a la implementación de la Gestión de Rendimiento bajo el marco de la Ley del Servicio Civil, esto se puede ver reflejado en los resultados de la entrevista a profundidad realizada a los servidores civiles de la Entidad. Se concluye y recomienda propuesta de mejora e impactos que contempla documentación validada por la Autoridad Nacional del Servicio Civil -SERVIR, la cual se debe emplear de manera eficiente en todas las entidades del sector público como parte de ingreso a la Ley del Servicio Civil, asimismo, los beneficios e impactos que tendrá en la gestión de personas, entidad y social.

Palabras clave: Gestión de rendimiento, evaluación de desempeño, servidores civiles.

Abstract

The objective of this scientific article is to find out if there is a relationship with the perception of civil servants of a public entity framed in Law No. 30057 and its implementation of Performance Management. The research is of a non-experimental and descriptive type, different types of data collection were carried out, including an in-depth interview with the Head of the Human Resources Unit and 50% of the servers that were evaluated in the implementation of Performance Management. of said Entity; and as a documentary analysis, the following documentation was reviewed: The Civil Service Law - Law No. 30057, the SERVIR Human Resources Management Administrative System, regarding the Performance Management subsystem and its implementation in an Entity of the Public Sector. The result of the investigation was a negative perception on the part of the servers of the implementation of Performance Management under the framework of the Civil Service Law, this can be seen reflected in the results of the in-depth interview carried out with the civil servants of the Entity. A proposal for improvement and impacts is concluded and recommended, which includes documentation validated by the National Civil

Service Authority -SERVIR, which must be used efficiently in all public sector entities as part of the entry into the Civil Service Law, as well, the benefits and impacts that it will have on people, entity and social management.

Keywords: Performance management, performance evaluation, civil servants.

1. Introduction

Performance Management is a recurring process over time, whose purpose is to measure the job performance of each member of the organization by hierarchical levels, based on the activities carried out daily, the institutional goals set during a determined period of time. and the result that the server must achieve in the organization. This performance can be defined as the aptitude and attitude towards the different roles and/or situations in which he is involved during his daily work activity, an evaluation that also allows determining with an organizational management instrument, the performance problem, gaps in relation to labor competencies and work environment, among others, as elements to manage for the achievement of the objectives and organizational goals of a server in his work center.

The epistemological and theoretical dimension of all human knowledge is fundamental and in this context they include the organizations and people that make it up. It is in this sense, that various national and international authors have stated that the collaborators of an Entity are a key and fundamental factor and that the achievement of established institutional objectives and goals depends on them, in addition to the fact that their behaviors constitute the ultimate cause of the effectiveness and efficiency, as well as the effectiveness of activities and actions. That is why trying to approach the epistemological meaning of evaluation is not an easy task, however, as a guide, according to various authors, its history dates back to ancient times and is associated with the advancement of scientific knowledge.

Postmodernity and technological progress, as well as the dynamic nature of organizations, suggest that evaluating today is essential for any process, especially when it comes to changes and transformations, in a globalized and highly competitive world, based on its historical philosophy, it has its bases in the achievement of an efficient management of organizations based on the effectiveness and efficiency for the benefit of the worker himself and the utility for the organization, in addition to those obtained by society as a whole. Likewise, it allows building evidence on its incidence in the evaluation processes of people, for their individual and social transformation, both of itself and its reflection in organizations, and within this, society as a whole, within an intentionality preset".

The public sector in our country has a governing body that covers all the national and regional Human Resources Offices, which is the National Civil Service Authority, from now on it will be called SERVIR; It is the public entity attached to the Presidency of the Council of Minister whose purpose is the management of people at the service of the State. Said Entity was created in 2008 and established, among others, the Human Resources Management Administrative System.

SERVIR in Law No. 30057 promulgated on July 4, 2013, classifies civil servants of public entities into the following groups: Public Official, Public Manager, Civil Career Server and Complementary Activities Server.

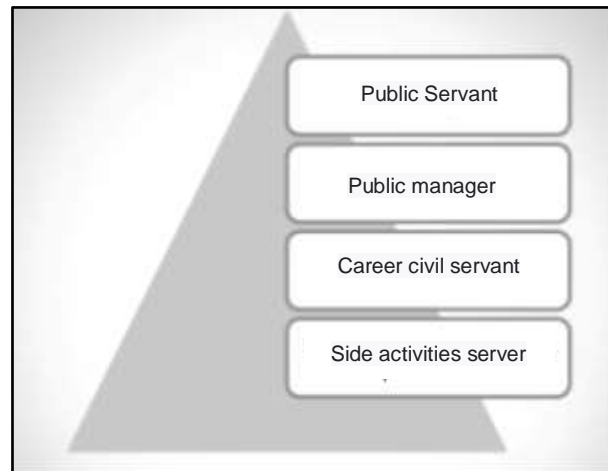


Figure 1: Group of civil servants

In 2014, the Civil Service Law Regulations and the Civil Service Law Compensation Regulations were published, important regulations that complement and contribute to the progress of the reform, and in 2018 Legislative Decree No. 1450 was published. that modified the D.L. N° 1023 that creates SERVIR and the Civil Service Law, to strengthen the Human Resources Administrative System and make viable the implementation of the Civil Service regime.

It is important to highlight the work of SERVIR as a governing body, since it is in charge of the Administrative System for Human Resources Management, and is, in turn, the set of standards, principles, resources, methods, procedures, and techniques used by all entities that form the public sector in the management of human resources.

Likewise, it comprises seven subsystems provided for in Legislative Decree No. 1023: Policy planning, Work organization and its distribution, Employment management, Performance management, Compensation management, Development and training management, and Human Relations Management and Social.

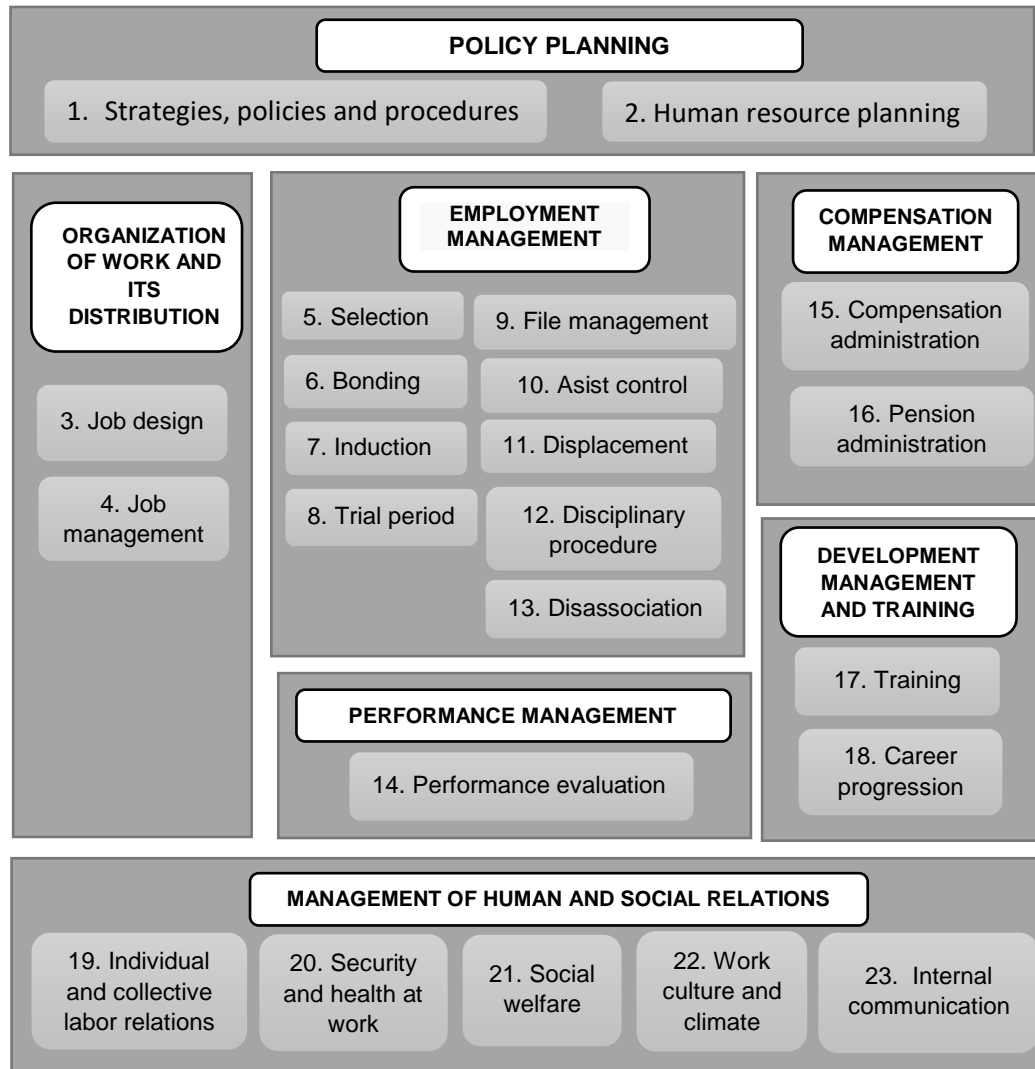


Figure 2: Human Resources Management Administrative System – SERVIR

One of the sub-systems is Performance Management, which according to SERVIR, defines it as a continuous and systematic process of human resources management, based on valid and reliable technical instruments, as well as on a verifiable methodology. Likewise, the contribution of civil servants to institutional objectives and goals is identified and recognized. Through this subsystem, the needs of civil servants are evidenced to improve performance in their positions, and as a consequence of this, of the entity. The process of this subsystem is the Performance Evaluation.

In the Performance Management Subsystem Directive, approved with Resolution No. 068-2020-SERVIR-PE, the actors that are those who participate or influence in some way in the implementation of the Performance Management Subsystem and comply with responsibilities are indicated. which would be:

- SERVE, as governing body.
- The Head of the Entity, as the person most responsible for the operation of the Performance Management System in their respective entity.
- The Human Resources Office, as the entity's manager of the performance management process.
- Public officials, public managers, heads or area managers and, in general, whoever has assigned servers under supervision, act as evaluators within the System and are responsible for planning, establishing goals and commitments, monitoring performance, evaluating the performance and provide feedback to the servers in charge.
- The Institutional Evaluation Committee confirms the training.
- Civil servants must actively, permanently and constructively participate in the different stages of performance management.

On the other hand, Performance Management is a continuous cycle within an entity and contemplates the following stages, which are developed by SERVIR in the Guide for the implementation of the Performance Management Subsystem, approved by Executive Presidency Resolution No. 000076 -2021-SERVIR-PE:



Figure 3: Annual Performance Management Cycle - SERVIR

Planning Stage: With this stage the Performance Management Cycle begins. In the first year, the head of the entity issues a resolution that provides for the implementation of the subsystem. For each cycle, the head of the entity approves, through a resolution, the Implementation Schedule. The establishment of evaluation factors is executed in this stage after the notification of the qualification of the immediately previous cycle. The Evaluator sets the evaluation factors and formalizes them in a meeting with the Evaluate, prior notification and according to the schedule established in the Implementation Schedule. If the Evaluate disagrees with the established evaluation factors, they can request their review.

Follow-up Stage: This stage begins after the evaluation factors have been formalized. The Evaluator (a) provides continuous guidance, motivation and support to the Evaluated (b) for the achievement of the established evaluation factors. Follow-up meetings are formally held at least once within this stage, prior notification and according to the schedule established in the Implementation Schedule. In the follow-up meetings, the Evaluator (a) collects and records, using the tool provided by SERVIR, the corrective actions and recommendations for compliance with the evaluation factors, and the identification of proposals for improvement, if applicable. case. The Monitoring Stage has a minimum duration of six months for its development.

Evaluation Stage: In this stage the Evaluator assesses the performance of the Evaluated server after reviewing, as a whole, the results achieved in compliance with the established evaluation factors, based on the follow-up carried out and the evidence or evidences that have been presented. The valuation is applied according to the procedure and methodology developed in the technical instrument issued by SERVIR and is input for granting the qualification, which is notified to the Evaluated by the Evaluator and is included in his personal file.

The improvements implemented, for the purposes of the Distinguished Performance qualification, are communicated by the Evaluator to the human resources office or the one that acts as such until before the notification of the qualification, according to the Implementation Schedule.

Subsequently, within a maximum period of ten business days after notification of the rating, the Evaluator formally convenes by notification, a meeting in which he provides final feedback regarding the entire cycle, using the evidence or evidences as inputs. presented by the Evaluate (a) as well as the information recorded in the Follow-up Stage. The meeting concludes with the registration and signing of the Improvement Plan of the server (a) Evaluated (a). After the meeting, if the server (a) Evaluated (a) is not satisfied with the qualification, you can request confirmation of said qualification before the Institutional Evaluation Committee (IEC).

Due to the above, the investigation raised the general problem: What is the relationship between the implementation of Performance Management with the perception of the Entity's civil servants? Likewise, the specific problems were raised: (a) Is the implementation of Performance Management within an Entity adequate? And (b) Is the perception of the Entity's civil servants positive about the current implementation of Performance Management?

The General Objective was established to evaluate the implementation of Performance Management and its relationship with the perception of the Entity's civil servants. Also as specific objectives: (a) Evaluate the servers that are in the implementation of Performance Management; and (b) Evaluate the perception that civil servants have about the implementation of Performance Management.

Also as specific hypotheses: (a) The current implementation of Performance Management is efficiently fulfilling its function; and (b) The civil servants who work in the Entity have a positive perception of the current implementation of Performance Management.

Obtaining as results of the hypothesis that the implementation of Performance Management in the evaluated Entity is not being fulfilled efficiently. Likewise, the servers have a negative perception of the implementation of Performance Management within the framework of Law No. 30057 – Civil Service Law.

2. Materials and Methods

This research is non-experimental and descriptive. The unit of analysis of this investigation is: The Civil Service Law -Law No. 30057, the SERVIR Human Resources Management Administrative System, with regard to the Performance Management subsystem and its implementation in a State Entity. Public Sector and interview with the Head of the Human Resources Unit and some employees who were evaluated in the implementation of the Performance Management (PM).

For its realization, official documents, current legal regulations of the public sector on the subject investigated, among other similar ones, have been consulted. Likewise, the need to verify the way in which public entities are carrying out Performance Management is considered, in accordance with the directives issued by the National Civil Service Authority (SERVIR). For this, an entity has been selected of the public sector that to date is implementing or in a pilot plan of Performance Management under the SERVIR regulations.

The investigation was carried out at a Public Sector Entity, in this case it was one that corresponded to the justice sector, in which the Civil Service Authority included in its pilot plan of Performance Management for the period 2021. Said Entity began with the implementation of Performance Management with eighteen (18) evaluated servers that belonged to three (3) organic units of the Entity.

The following stages of the PM process were carried out:

In the Planning stage, the Entity carried out the following activities:

- Implementation coordination meeting with the entity's Senior Management.
- Coordination meeting with the specialist assigned to the institution for the implementation of the Performance Management Subsystem.
- Factors identified in this activity that affect the development of the implementation in the entity, which has been detected at this stage with the Office of Planning and Technical Cooperation.

In the Monitoring stage, the Entity carried out the following activities:

- Informative talks on the follow-up stage directed by both the evaluated and the evaluators.
- The evaluators and their evaluators delivered their evidence, reviewed and provided feedback on the evidence presented.
- Follow-up meetings between those evaluated with their evaluators.
- Finally, the Human Resources Unit team is carrying out the necessary actions for the formation of the Institutional Evaluation Committee (IEC) accompanied by advice from SERVIR.

In the Evaluation stage, the Entity carried out the following activities:

- The evaluators qualified those evaluated according to the evidence submitted by them, which complied with the indicator, the goal and the established term.
- Finally, they make the final feedback and improvement plan for each evaluator.
- The Human Resources Unit sends a final report to SERVIR with the qualifications of each evaluator.

On the other hand, the Head of the Human Resources Unit was interviewed, the specialist who carried out the function of implementing Performance Management in the Entity and 9 employees who were evaluated, representing 50% of the universe of evaluated, in order to know in more detail what have been the factors identified in this activity that affect the development of the implementation and its perception.

3. Results

The results obtained were the following:

By the Entity:

They were asked how they have carried out performance management in the Entity and what difficulties they have encountered when implementing it:

In this regard, the Head of the Unit and Human Resources specialist of the Entity who stated the following:

- They obtained the support of SERVIR, assigning them a sectorist to support them in carrying out the implementation successfully.
- Said sector worker, accompanied by personnel from the Human Resources Unit, gave an induction talk to the servers, so that they know what the performance management process would be, framed in the Civil Service Law.
- The Chief of Staff called a meeting for all the chiefs who were going to participate in the implementation.
- The difficulties they encountered when implementing were that it was not possible to evaluate two servers from the three organic units because in the management documents, in this case the Manual of Organization and Function of the Entity, the profiles of the posts were not found. the servers, because they were rotated to other organic units. Therefore, it was suggested that said servers be returned to their places of origin so that they fulfill the functions for which they were hired and thus in the future they can be evaluated in the PM.
- The little collaboration of both the evaluators (immediate bosses) and those evaluated (civil servants) in attending informative talks carried out by the Human Resources Unit with the SERVIR sector worker.
- In the scenario when a server obtains a personal qualification of "Performance subject to observation", he must have the right and priority to job training, that is, training considering his improvement plan.
- The Institutional Evaluation Committee (IEC) was not formed.
- It was not possible to culminate according to the schedule approved with the Resolution of the General Directorate, because the bosses do not give importance to what Performance Management really means.
- The immediate bosses were reiterated with a document that they had to comply with the feedback to all their servers, in order to send the final report to SERVIR.

By the Servers:

The following questions were asked:

1. Do you consider that carrying out Performance Management in the Entity is important?
2. Do you agree that performance evaluation be carried out under the Civil Service Law?
3. Do you consider that the goals are clearly defined in the "Performance Management Format" by your immediate superiors?
4. Do you consider that the goals set by your immediate boss and by you in the "Performance Management Format" are real goals that you execute in your work?
5. Do you consider that the deadlines are well defined in the "Performance Management Format" by your immediate bosses?
6. Do you consider that the indicators are well defined in the "Performance Management Format" by your immediate bosses?
7. Do you consider that the performance management procedure is simple and clear?

8. Do you consider that performance management in the Entity has been carried out efficiently?
9. Would you consider that the feedback from your immediate boss and advice from the Human Resources Unit was easily available at the time of performing the performance evaluation?
10. Do you consider that it is important to make a claim to the performance evaluation?
11. Do you think that the claim should be reviewed jointly with the worker?
12. Do you consider that the results of the performance evaluation in the Entity have been transparent?
13. Do you think that the evaluation should be carried out by a team outside the institution?

In this regard, most of the servers responded as follows:

- They consider that it is important that they carry out Performance Management efficiently in the Entity because it is a tool that will allow them to know what they should improve and to obtain optimal performance, as well as not having it, they should be trained in what they really need. and not on other issues that are not within its competence.
- To date, it has not brought them any benefit that the Entity is in the Civil Service Law, which is why they have a negative perception of what comes from SERVIR, because they argue that the only thing that SERVIR wants to achieve with the PM poorly implemented is to collaborate with the Entity so that appointed personnel can open an administrative disciplinary process and be able to dismiss them, for a qualification of "Performance Subject to Evaluation".
- Consider that the goals established in the "Performance Management Format" are not clearly defined by their immediate bosses, and that some employees indicate that they have not been the real goals that they execute in their work, indicating that their The immediate boss says that the sector worker states that it should be like this, but has a negative perception because they have been forced to sign a format of established goals when they are not correct.
- Likewise, some state that the goals are well established but the "indicator", "target value" and "deadlines" set by their immediate bosses are not consistent with the reality of the server, which in reality is unlikely to be possible. complete them according to the dates established in the start schedule.
- The servers indicate that the "Performance Management Format" is not simple or clear because they cannot define the final score well because the formula for the calculation is wrong in Excel, and their bosses cannot sign it.
- The little follow-up in the implementation argues that the Human Resources Unit only contacts them to ask them to quickly deliver their forms, but they do not teach them how to fill it out in a clearer way to the talks they give and that the Feedback was not given in many cases by their immediate superiors due to the pressure of time.
- The servants state that they have explained to them the procedure to make a claim for the qualification obtained and the formation of the Committee for claims, they argue that their bosses state that this implementation is only a pilot plan that will not yet be sanctioned for get low rating and you should be in conjunction with them.
- Some of the servers do not know what their final qualification has been, they indicate that they only signed the form because the Human Resources Unit had to make its final report and send the results to SERVIR.
- They prefer that external personnel come to carry out performance management, and that it be carried out in a more objective manner, reviewing case by case, correctly defining the goals, carrying out an impeccable implementation as it should and according to SERVIR parameters.
- Finally, the negative perception of the evaluation of the Performance Management (PM), stating that the vision that was held with the traditional evaluation carried out in the Entity has not changed, it continues to be evaluated subjectively and not objectively.

4. Conclusions

- The erroneous perception that the servers have of the implementation of Performance Management framed under Law No. 30057 – Civil Service Law, due to the fact that the immediate bosses are not correctly identifying the indicators, goals, values and deadlines. for the execution of the same by the servers.
- The negative perception of being an evaluator for fear of being dismissed by the Entity for not executing the unattainable goals proposed by their immediate bosses.
- The little participation of the interested parties in the training meetings that are in charge of assigning the goals of each evaluator, so that they can give them the guidelines and recommendations for the definition of goals in Performance Management with the assigned SERVIR sector representative or trained personnel from each Entity.
- The perception of little availability that SERVIR provides with all the personnel of the Human Resources Unit of the Public Entities, so that said personnel can train the personnel within each Entity to which they belong.
- Before carrying out the implementation of Performance Management (PM), the management documents should be updated, if applicable, so that all servers can be evaluated in the same period, and not discard the servers. for not having their profile in the management documents. The Entities must carry out an ordering of personnel according to the servers in the Provisional CAP, if they have been rotated they must return to their place of origin in order to carry out the functions for which they have been hired and thus they can be evaluated in the PM of each Entity.
- With the information, it is possible to appreciate the misuse of the methodology proposed by the governing body SERVIR for the implementation of Performance Management in the Public Sector, whose mission is to demonstrate the needs required to improve the individual and institutional performance of each server.
- Request an improvement proposal from the PM to SERVIR, among others so that they can implement a single platform so that all Entities can have an application to make their Performance Management formats, can upload their evidence of their goals, among others.
- Finally, the SERVIR governing body must supervise the implementation of the Performance Management subsystem in the Entities, so that they can see the deficiencies that they may be having for the proper implementation of the PM.

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