

FREE UNIVERSITY OF VARNA

# Globalization, the State and the Individual

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# **Globalization, the State and the Individual**

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## Peculiarities of the israeli public-sector employment and hrm management

## Особенности израильского общественно-сектора занятости и управления хрем

**Abstract:** This article defines the public-sector in Israel, clarifies the term of 'tenure' in the public-sector, with reference to advantages and disadvantages, both from the perspective of the worker and from the perspective of the organization. The article presents the profile of the worker in the public-sector. This profile of employment cannot be ignoring when the organization's aim is to get effectiveness. The profile can also provide understanding of the degree of the workers' ambition, motivation at work, and desire for personal development. This has special implications in the context of human resources management.

**Keywords:** public-sector, public-service, civil-service, hrm management, motivation, tenur

**Резюме:** Данная статья определяет государственный сектор в Израиле, уточняет термин «владение жильем» в государственном секторе со ссылкой на преимущества и недостатки как с точки зрения рабочего, так и с точки зрения организации. В статье представлен профиль работника в государственном секторе. Этот профиль занятости не может игнорироваться, когда целью организации является получение эффективности. Профиль может также обеспечить понимание степени амбиций рабочих, мотивации на работе и стремления к личностному развитию. Это имеет особые последствия в контексте управления людскими ресурсами.

**Ключевые слова:** государственное обслуживание, государственное обслуживание, гражданская служба, управление, мотивация, tenur

*In Israel, like in many other countries, 'tenure' at work is considered almost complete protection against the termination of employment. The concept of 'tenure' in the workplace addresses places of work organized under a collective contract, whose provisions arrange the institution of 'tenure' in a way that is different from the 'temporary' worker. For the most part, 'tenure', as it exists in collective agreements, is intended to protect the worker from the arbitrariness and changing considerations of employers and to ensure the worker's place at work. Research studies characterize the public-sector workers as less competitive people, who are interested in occupational stability and tenure at work, preferring to avoid risks and willing in return to give up the more generous remuneration that they could have obtained in the private sector.*

## Definition of the Public-Sector in Israel

The public sector is the sector contrasting the 'private service'. However, the scope of this sector is not clear and uniform and the verbal distinction, according to which all that is not 'private' is 'public', is simplistic (Gurevich, 2008). Generally the intention is to the part in the economy that is not private, in other words, the governmental offices, local authorities, national institutions and non-profit institutions, which receive most of the funding from the government (such as, for example, healthcare systems and universities).

The attempt to obtain a response to the question, which is supposedly simple, of what is the public-sector in Israel encounters many answers. Beyond the basic definition, "organizations that operate for the public on behalf of the country", in Israel there is no clear and agreed-upon definition regarding the sector that manages the residents' lives. The difficulty in the definition of the sector also makes it difficult to define the number of workers in it (Heruti-Sober, 2012).

According to the Central Bureau of Statistics in Israel, the public-sector, which is defined in the tables of the Central Bureau of Statistics as a 'governmental sector', includes a tremendous number of organizations and positions (more than 600 thousand). The definition of the Central Bureau of Statistics includes all the governmental offices, the National Insurance Institute, governmental companies (the Electric Company, *Mekorot*- Israel's National Water Company), national institutions, local authorities, universities, health care systems, urban corporations, and institutions such as the Jewish National Fund, the United Israel Appeal, the World Zionist Organization, the Joint, and the State of Israel Bonds (public non-profit institutions) (Central Bureau of Statistics, 2014).

The list of the Central Bureau of Statistics does not include the security and defense system (standing military and career soldiers). With the addition of the workers of the security and defense system to the list of the Central Bureau of Statistics, the public sector consists of more than eight hundred thousand people. In other words, one of every five workers in Israel belongs to the public sector, and

this emphasizes the tremendous urgency of the efficient and effective first sector (the second sector is the business sector and the third sector is the associations and non-profit organizations) that is based on the values of excellence and joins the economic growth engines of the economy in Israel.

The Ministry of Finance in Israel addresses the core workers of the public-sector - the government offices, and the definition of the public sector addresses only about 370,000 workers. While this is about one half of the number presented by the Central Bureau of Statistics, according to the limited definition one of every nine to ten workers in Israel has the definition of a civil servant.

The third definition is that of the Civil Service Commission. The commission is only responsible for the government workers, which can be called the 'civil service', and thus addresses the public sector as constituting only 64,000 people. (This definition does not include the workers in the Ministry of Defense, policemen, prison guards, and teachers - who are considered workers of the state, since they receive their salaries from the State of Israel and are not under the definition of the commission.)

According to Gabai, formerly the person in charge of the state's revenues (in Heruti-Sober, 2014), the number of workers who enjoy 'tenure' cannot be found in any official publication and this is a datum that no factor in Israel tries to collect. Yet it is clear that most of the workers who have 'tenure' are employed in the public-sector.

It is important to understand the concept of tenure, since it can sometimes influence the ambitions at work, the will to get high performances, accept feedback on performances and the motivation to improve in the context of work.

## **The Concept of 'Tenure' at Work**

Hundreds of thousands of workers in the Israeli economy enjoy 'tenure' at work, when a decisive majority of them are found in the public sector, in the local authorities, and in the public and private monopolies. This 'tenure' has influence on the organizational culture, the management, and sometimes the productivity and effectiveness of the organization.

The form of employment prevalent today in the public-sector and in the government offices is through a standard that makes the worker into a 'tenured' worker in the organization after a certain period of experience and after his suitability has been examined. This employment is protected according to collective work agreements that give the worker occupational protection and ensure continued occupational security over the years. According to Levin (2013), the institution of 'tenure' is the 'calling card' of the worker union.

In Israel, like in many other countries, 'tenure' at work is considered almost complete protection against the termination of employment. The concept of 'tenure' in the workplace addresses places of work organized under a collective contract,



whose provisions arrange the institution of 'tenure' in a way that is different from the 'temporary' worker. For the most part, 'tenure', as it exists in collective agreements, is intended to protect the worker from the arbitrariness and changing considerations of employers and to ensure the worker's place at work (Davidov & Eshet, 2013).

According to Davidov and Eshet (2013), 'tenure' is generally composed of the integration of essential protection (including prohibition of termination of employment without adequate cause) and procedural protection (a rule that obligates the consent of the worker union to the termination or at least a process composed of the involvement of the worker organization for the purpose of the decision whether the reason is 'adequate' or not). Such arrangements are called 'occupational security arrangements' and they appear in collective contracts alongside provisions in legislation (that determine the rule of 'adequate cause' for the termination of a public employee) and one-sided collective agreements that certain employers assume upon themselves (Davidov & Eshet, 2013).

The term 'tenure' itself does not have a definition in law or in the professional literature. However, it is clear that the intention is especially strong security and occupational arrangements, which make it extremely difficult to fire a worker. Alongside the legal provisions that limit employment termination, the practice or organizational culture has been created that causes the managers in the public sector to almost completely avoid the attempts to fire 'tenured' workers (Davidov & Eshet, 2013).

Davidov and Eshet (2013) further note that the very fact that 'tenure' is a tool that almost completely prevents employment termination is perceived by workers and the worker unions that represent them as an important achievement, which prevents arbitrary termination and ensures a stable livelihood. (In essence it ensures employment for an almost unlimited period of time, for the most part until retirement.).

In parallel, tenure is sharply criticized by employers and managers in the public service, since it prevents them from terminating the employment of workers with poor performance, a fact that obviously essentially harms effectiveness (Davidov & Eshet, 2013). Even in situations of fraud it is difficult today to fire a worker with 'tenure' and the system does not allow this (Heruti-Sober, 2014).

The concept of 'tenure' has advantages and disadvantages. It is possible to see this both from the perspectives of the organization and from the perspectives of the worker. It is important to examine these advantages and disadvantages, since they are relevant to the examination of the worker appraisal in the dimension of the desire for personal development or drive or an obstacle to the motivation to improve performances at work.

## **Advantages and Disadvantages of 'Tenure' at Work - for the Worker and for the Organization**

The advantages innate in this form of employment include the great sense of occupational security for the worker and the considerable difficulty with firing him. However, sometimes the occupational security and tenure have two sides: what is perceived as an advantage for the worker sometimes becomes a disadvantage for the organization. A worker is in the workplace for many years and in essence is protected intensively, and sometimes the result is that he is not effective, his quality of performance declines, his performances are poor, and his motivation is detrimentally influenced (Heruti-Sober, 2014).

Additional shortcomings are that there is no relation between the quality of the performance and the concomitant compensation and there are no differential benefits for workers. This for the most part derives from the fact that the employment is, as aforementioned, according to collective contracts and the system is fundamentally bureaucratic and related to ranking, ranks, periods of time in the position, etc. and is not differential for each and every worker on the basis of level of performance and quality of performances (Heruti-Sober, 2014).

According to Levin (2013), it is a product of an outdated salary structure that repressed performances. Mazar (2010) shows that the workers of the highest quality tend to leave the public service in favor of the private sector and that the less quality workers tend to move in the opposite direction.

From an organizational perspective, the issue of the tenure connects to the disadvantage of the lack of management flexibility that accompanies tenure (Levin, 2013). Occupational security is like a reward in salary, which the public service can grant its workers more than can a firm in the private sector, when its survival depends on profits and performances. A situation in which employers cannot terminate the employment of their tenured workers except through lengthy and exhausting processes or through the labor courts and arduous legal proceedings is an extreme situation that harms the level of service of the public sector and even scares off workers and potential managers who thus prefer to remain in the private sector (Levin, 2013).

According to Levin (2013), the erosion of the institution of 'tenure' will harm the very right of existence of the collective agreements and the worker union. The institution of tenure of workers in their workplace has become enrooted in the public service also because of the essential differences between the public sector and the private sector and it is not unique to the public service in Israel. Workers in the public service are public officials, and in a situation of occupational security they can express without fear their outlooks that represent the public. However, a situation in which it is impossible to fire a tenured worker, since the economic and managerial costs of the employment termination are very high, is an unhealthy situation, which represses all effort on the part of the workers and all creativity on

the part of the employers and harms the ongoing performance of the organization. However, tenure prevents arbitrary termination of employment and the insertion of politicians' followers. In addition, it enables professionalization and accumulation of knowledge and experience. Without this mechanism and regardless of the Worker Union, every government minister, from the moment his appointment would go into effect, would fire a large group of workers and bring in his own people. In such a case, the level of the public service would certainly be harmed.

In general, tenure has advantages but a radicalization has been created since it is impossible to fire a person because of the lack of trust. The lack of trust also has led to the situation in which the workers have demanded and received the right to intervene in management to protect themselves from 'tricks' that have the goal of causing them to quit. It is important to add the problem of the lack of continuity in time, which is primarily the phenomenon of workers who are found in the system for a long period of time and the political level and CEOs, who come to a certain office and a certain position for a short period of time and therefore are willing to compromise on structural topics and on struggles about salary in return for industrial peace. (Levin, 2013).

When the issue of tenure is presented to the workers, the immediate response, for the most part, is support, especially on the background of the tremendous erosion that has occurred in recent years in the status of workers in the world in general and in Israel in particular. "If only all workers had tenure" is an accepted reaction (Rolnik, 2013).

However, Rolnik (2013) notes that when the question arises of 'will you be willing to pay the price of this tenure as a taxpayer and a receiver of services or alternatively will you be willing to provide such a benefit to workers in your private business?' then the approach changes. It becomes clear that the great attractiveness of the idea of tenure lies in the fact that somebody else, an anonymous person, pays its cost. In most cases, this is, of course, the taxpayer, the service receiver, or the client of the monopoly.

According to Bachar (2009), the public-sector is composed of monopolistic organizations (government offices, public companies, and local authorities) whose survival is ensured, since they rely on secure budgets, have no competitors, and for the most part do not operate under a high level of existential uncertainty. In addition, the public-sector organizations are characterized by a high level of organizational politics, an administrative system exposed to political influences, unprofessionalism, and lack of relevance (Vigoda & Yuval, 2001).

Another two important characteristics of the public-sector is about the level of abilities, skills and level of professional abilities of the workers - Sometimes, the level of skills is not high, which also related to their permanence and motivation at work. The other characteristic, is Lack of payment for performance. In the public-sector in Israel the payment to the worker is no related to his performances in work. In addition, the managers in the public sector do not have the ability to reward the workers or to terminate them (because of Tenure).

It is important to also examine the profile of the workers of the public sector, since this can provide understanding of the degree of the workers' ambition, motivation, and desire for personal development.

## Profile of the Worker in the Public-Sector

Complex theories that address the management of human resources have attempted for decades to decipher the contribution of the workers to their environment. Unlike in the private sector, in the public systems this is not only economic contribution to the balance statement of the organization but also, and primarily, the added value to the company, its character, and the citizens of the country, since the workers of the public sector are the display window of the state (Vigoda-Gadot, 2012).

The primary resource in the public service is the workers. The workers give the services that the main and local government needs to provide to the citizens and they are the face of the public-service (Levin, 2013). Different research studies (in Vigoda-Gadot, 2012) examine the characteristics of the public worker, attempt to create for him a **'profile'**, and wonder who are the types of workers who work in the public-service and even influence the everyday lives of each one of the citizens.

These research studies characterize the public-sector workers as less competitive people, who are interested in occupational stability and tenure at work, preferring to avoid risks and willing in return to give up the more generous remuneration that they could have obtained in the private sector. They are interested in a long-term and secure career and are willing to be exposed to the problems entailed by the appointments and tenders in the public service that are often marked by political and nonprofessional interventions.

These are also workers for whom satisfaction at work, providing service to others, and concern for others and for society are more important. They are motivated by a considerable sense of responsibility, compassion towards others, willingness to sacrifice the self, and the drive to influence the making of decisions related to public matters.

Perry and Wise (1990) examined the motivational basis of the worker in the public service in the United States. According to them, the worsening in the state of the trust of the American public in the public institutions has weighed heavily on the providing of service to the citizen. Politicians were required to strengthen the values related to the providing of service to the citizen, such as self-sacrifice and commitment to the public interest, for the purpose of the translation of these values to efficient and effective bureaucratic service.

The researchers divided the motives for service in the public sector into three categories: (1) rationality, (2) normativity, and (3) emotionality.

Rationality includes motives that come from actions that the individual adopts so as to maximize his benefit, such as, for example, people are attracted to participation in the process of setting policy, since this causes them to feel a sense of

importance. Additional motives are commitment to the public program because of self-identification and protection for a special interest according to which people believe that their choices will serve groups of population with special needs.

Normativity includes motives that address actions that include efforts to act according to the norms customary in society. One of the norms most identified with the people who serve in the public sector is the desire to serve the public interest. In addition, loyalty to commitment and to the government serves as a motive for service in the public sector, since its workers feel they are trustees of the government.

Another motive is social justice, which includes activities for the purpose of preservation of the wellbeing of minorities in the population that do not have economic and political resources.

The category of emotionality includes motives that address the stimuli for the beginning of behavior based on emotional response to different social issues, such as commitment to a program out of the true belief in its social importance. Another motive is 'patriotism of grace', which addresses the encompassing love of people within our political boundaries, which should be protected, and the public workers must maintain their basic rights.

Another two important characteristics of the public-sector is about the level of abilities, skills and level of professional abilities of the workers - Sometimes, the level of skills is not high, which also related to their permanence and motivation at work. The other characteristic, is Lack of payment for performance. In the public-sector in Israel the payment to the worker is no related to his performances in work. In addition, the managers in the public sector do not have the ability to reward the workers or to terminate them (because of Tenure).

According to Vigoda and Yuval (2001), there is agreement that an effective, efficient, and quality public-sector serves as an essential foundation for the assurance of the existence of a modern democratic society. While most of the free democracies cope in a reasonable manner, even with more than a few difficulties, with the requirements of the public for improved services and with increasing needs that characterize developing communities, conversely, most of the non-democratic regimes implement an outdated public sector with deficient performances that make it difficult in the long-term on the ability to govern. Therefore, a public sector with good performances constitutes an essential condition for the existence of a democratic political culture and its normal performance.

## Conclusions

1. The public sector is the sector that contradicts the 'private or business service' but nevertheless it is possible to see that there are different definitions of this sector, and hence different interpretations of its scope and size.
2. The concept of tenure in public service indicates any form of employment in which the worker has considerable occupation security, sometimes for decades, and is protected by different collective agreements.

3. The feeling of occupational security in which there is no relationship between the performance and the actual reward may sabotage and harm the motivation to improve performances.
4. The profile of the worker in the public-sector indicates people who are less competitive, who are interested in occupational stability, in occupational security, and in tenure in the workplace, and who prefer to avoid risks and are even willing to be exposed to problems related to the organizational politics characteristics of the sector.

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## **The current state of the information market of Ukraine**

## **Текущее состояние информационного рынка Украины**

### **Summary:**

The article investigates the main state of the information market and its level of development in Ukraine. The place of information and communication technologies (ICT) in the world market is determined. Research has been carried out on the index of Ukraine's global competitiveness and network preparedness, as well as on the results of a SWOT-analysis of the development of the information society in Ukraine.

В статье исследовано основное состояние информационного рынка и уровень его развития в Украине. Определено место информационно-коммуникационных технологий (ИКТ) на мировом рынке. Проведенные исследования по индексу глобальной конкурентоспособности Украины и сетевой готовности, а также за результатами исследований создан SWOT-анализ развития информационного общества в Украине.

**Keywords:** information and communication technologies, network readiness, information market, economy, information policy.

**Ключевые слова:** информационно-коммуникационные технологии, сетевая готовность, информационный рынок, информация, экономика, информационная политика.



**Introduction.** To date in view of the development of information technology, information is not only a means of production, but also an independent object of market relations. In turn, the information market is formed through the dissemination of information and information technology as a commodity. In the current circumstances, the information market comes to the fore because is one of the sources of supply of the most important resources for the modern stage development of the economy - information, as well as information products, services and communications to work with them<sup>1</sup>. In the Law of Ukraine “On the National Program informatization” among its main tasks is determined by “formation and support the market of information products and services”<sup>2</sup>.

Analysis of latest research where the solution of the problem was initiated. The question of research of the information market is considered in the works of many domestic and foreign scientists, in particular: F. Kotler, O. Hrytsenko, S. Kuliksky, A. Hosking, E. Petrova, O. Chubukova, L. Vinarnik and others. However, despite the considerable level of scientific understanding of the problems of the information market, the study of the current state of the Ukrainian information market is relevant.

The purpose of the work is to investigate the state of the information market and its level of development in Ukraine, determine its place in the world market of information and communication technologies (ICT).

Exposition of main material of research with complete substantiation of obtained scientific results. Information market – it is a collection of appropriately organized economic relations of different subjects in the sale and purchase of information resources, information products and services. Under the information market is understood a set of economic, organizational and legal relations regarding the sale (purchase and sale) of information technology, products and services<sup>3</sup>. There is no doubt that information and communication technologies are of great importance in achieving a high level of competitiveness of the country. Because thanks of ICT, firstly, is the creation of a competitive economy; secondly, effective democratic procedures are introduced, which is a prerequisite for the development of the knowledge economy; thirdly, the competitiveness of an individual, and hence of the state as a whole, increases; fourthly, there is the promotion of communication between government, business and the public.

Given that the officially recognized system of indicators (indicators) for assessing the effectiveness of the implementation of state policy in the field of informatization and development of the information society of Ukraine is absent, it is extremely difficult to evaluate these processes. Therefore, in order to characterize the level of competitiveness of the country through the use of ICT, it is worth analyzing the well-known “global” indices. The Global Competitiveness Index is a comprehensive

<sup>1</sup> V. Ivanova, Features of the formation and functioning of information markets / In: Regional economics, No. 2, 2008.

<sup>2</sup> About the National Program of Informatization: Law of Ukraine dated February 4, 1998 No. 75/98-BP // Bulletin of the Verkhovna Rada (BP). No. 27, 1998.

<sup>3</sup> L.S. Vinarik, A.N. Shchedrin, N.F. Vasiliev; *Information economy: formation, development, problems* In: National Academy of Sciences of Ukraine; Institute of Industrial Economics. - Donetsk, 2002.

tool for evaluating micro and macroeconomic indicators of the national economy and its potential for achieving a stable medium-term growth rate. The experts of the World Economic Forum consider competitiveness as a set of institutions, policies and factors that shape the productivity of the country, which in turn affects the welfare of the population and determines the return on investment in the economy<sup>4</sup>. The Global Competitiveness Index consists of more than 100 variables grouped in 12 benchmarks («Institutions», «Infrastructure», «Macroeconomic Environment», «Health and Primary Education», «Higher Education and Training», «Efficiency market of goods», «Labor market efficiency», «Financial market development», «Technological readiness», «Market size», «Compliance of business with modern requirements» and «Innovative potential»), which are grouped by 3 main groups of subindices: “Basic Requirements”, “Enhanced pline performance” and “Innovation and improvement factors.” The Global Competitiveness Index for 2012-2018 is presented in Table 1.

According to the results of the research given above in Table 1, Ukraine this year ranked 81th among 137 countries, improving its positions by four points. However, according to research that presented in Table 2, Ukraine has worsened its position in 4 out of 12 key indicators. The most lost (about 13 points) as part of the “Efficiency of Labor Market”. The tendency to deterioration of this indicator was observed also in last year’s researches, and in the last year we have worsened our position by 17 points. Also, Ukraine suffered losses in the estimation of the innovation component of the Index - (9 points), infrastructure (3 points) and the component that represents higher education and vocational training (2 points)<sup>5</sup>.

**Table 1**

*Global Competitiveness Index of countries for 2012-2018*

Positions of Ukraine and some countries according to the Global Competitiveness Index	2012-2013 (out of 144 countries)	2013-2014 (out of 148 countries)	2014-2015 (out of 144 countries)	2015-2016 (out of 140 countries)	2016-2017 (out of 138 countries)	2017-2018 (out of 137 countries)
Ukraine	73	84	76	79	85	81
Georgia	77	72	69	66	59	67
Turkey	43	44	45	51	55	53
Russia	67	64	53	45	43	38
Poland	41	42	43	41	36	39

*According to the research [5]*

<sup>4</sup> N.V. Morse, O. Veselovskaya, *Analysis of the competitiveness of Ukraine’s economy through the prism of information and communication technologies* In: Information technologies and teaching aids, vol. 49, No. 5, 2015.

<sup>5</sup> <http://edclub.com.ua/analityka/>

**Table 2**

*Global Competitiveness Index of Ukraine for 2015-2018*

Global Competitiveness Index of Ukraine	2015-2016 (140 countries)	2016-2017 (138 countries)	2017-2018 (137 countries)
	Place in rating		
	79	85	81
Basic requirements	101	102	96
Institutions	130	129	118
Infrastructure	69	75	78
Macroeconomic environment	134	128	121
Health care and elementary education	45	54	53
Performance enhancers	65	74	70
Higher education and vocational training	34	33	35
Continuation of table 2			
Efficiency of the goods market	106	108	101
Efficiency of labor market	56	73	86
Development of the financial market	121	130	120
Technological readiness	86	85	83
Market size	45	47	47
Innovations and improvement factors	72	73	77
Business compliance with modern requirements	91	98	99
Innovations	54	52	63

\* the index is rated on a scale from 0 to 7, the greater the value of which is better  
 According to the research [5]

The development of the information market depends on the information policy of the state, its participation in ensuring its formation on the appropriate organizational and legal basis<sup>6</sup>. The state information policy can determine the methods and forms of influence on the information infrastructure, promote the development of the national component of the Internet and ensure access to it, as well as solve the problems of information security, which lead to a slowing down of the development of the national information market, threatens information expansion<sup>7</sup>. Despite the benefits of using information and communication technologies, there are significant barriers to their effective use both in developed countries and in developing countries. The problems of poorly developed telecommunication infrastructure, low awareness or absence of use of the Internet, as well as low computer literacy - this is what most emerging developing countries are confronted with. As developing countries are more likely to suffer from the digital lag, they risk losing access to additional products (high value-added products), faster socio-economic growth (automating various processes, and, consequently, reducing the cost of manufactured products, optimizing the costs of enterprises, accelerating production processes, efficient resource utilization) and an equitable, full-scale presence on a digitized world scene<sup>8</sup>. At the same time, Ukraine's position in world rankings of e-government development and online services, which, given the topical trends of global development, is a fundamental criterion for information development of the state, is still not the best. According to the latest results of the World Economic Forum<sup>9</sup>, Ukraine ranked 75th among the 142 UN member states (integral indicator) in the ranking of countries of the world according to the Network Readiness Index. In 2012, Ukraine ranked 68th, in 2010 - 54th.

The conducted research concerning the index of global competitiveness of Ukraine and network readiness allow to reflect on the development of the information society in Ukraine in the SWOT-analysis (Table 3).

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<sup>6</sup> O. Chubukova, *About the formation of the national market for information products and services* In: Economy of Ukraine, 1999, p. 86-88.

<sup>7</sup> O. Vlasika, *Strategy of Ukraine's Development: Theory and Practice* In: NISS, 2002, p. 864.

<sup>8</sup> Statistical information / Official site of the State Statistics Committee of Ukraine [Electronic resource]. - Access mode: <http://www.ukrstat.go.ua>.

<sup>9</sup> Ukraine is on the 75th place in the world rating of the development of information and communication technologies (ICT) from the World Economic Forum [Electronic resource]. - Access mode: <http://eurosvita.net/prog/print.php/prog/print.php?id=1784>.

**Table 3**

*SWOT-analysis of the development of the information society in Ukraine*

<b>STRENGTHS PARTIES</b>	<b>WEAKED PARTIES</b>
<p>readiness for the overwhelming majority of the population to receive more qualitative forms of information and communication opportunities, technologies and means; high scientific and technical potential of Ukrainians; awareness of the state importance of ICT and the development of relevant regulatory acts. integration of Ukraine in high-tech European space; cooperation of the country with the world leaders in the production of information and technological solutions and the possibility of implementing their positive experience; Involvement of leading European and global experts to optimize the process of improving information networks and processes; increase of the share of IT specialists in the general structure of employment of the Ukrainian economy; development and promotion of higher education in ICT curricula.</p>	<p>low level of ICT use in small settlements due to low income level, and, consequently, inability to receive inexpensive information and communication facilities; the unwillingness of the overwhelming majority of state authorities to break the paper-bureaucratic mechanism of interaction between business entities in the country; outflow of intellectual capital; ignoring innovations; the need to modernize the vast majority of networks that have not been updated for years, to move to a new level of computer science economic and political events that will affect the financing of ICT development programs; misunderstanding of the expediency and necessity of financing programs for the development of ICT in Ukraine from the part of the poor and uneducated sections of the population; the loss of traditional international markets and, consequently, a profound crisis through ignoring</p>

According to the research [4]

In addition, the data in the Table 3, reflect the problem area of the development of the information society in Ukraine, which makes it possible to make certain recommendations for eliminating or minimizing existing problems. Consequently, promising steps to increase the competitiveness of Ukraine through the use of ICTs are:

- stimulating the use of information technologies by state and public authorities;
- conducting training for civil servants in the field of information and communication technologies;
- broadening Internet access in public using Wi-Fi;
- development of the concept of implementation of e-government;
- creation of standards and frameworks for the exchange of information between G2G, G2B, G2C;
- support and implementation of regional and local e-government initiatives;
- modernization of ICT infrastructure [4].

**Conclusions.** 1) The research has shown that ICTs have a significant impact on the development of a competitive economy of Ukraine, as Ukraine's position in the world ranking is not stable. Therefore, the issue remains relevant regarding the creation of information and communication systems, which should provide effective work with information resources.

2) In order to maintain the best conditions for the state of ICT in the country, the introduction and use of e-governance is important, which will improve the development of the information society, will reduce and overcome the corruption processes in the country and will affect the simplification of communication between citizens and authorities.

3) To date, in Ukraine there are a number of factors hampering the development of the market for information and communication technologies. In particular:

- the position of the financial sector of Ukraine;
- the absence of an officially recognized system of indicators (indicators) for assessing the effectiveness of the implementation of state policy in the field of information and development of the information society of Ukraine;
- the lack of a system of equal provision of access of the population to ICT.

4) For the transition to the path of implementation and development of ICT, at this stage, Ukraine needs to carry out a large amount of work. The necessary measures to this should be: strengthen the relevant policies and improve the regulatory framework that would stimulate competition and innovation, provide economic and financial stability that would facilitate cooperation in optimizing global networks. Fighting abuses that undermine the integrity of the network, reduce the digital divide, invest in people and ensure global access and participation in this process.

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## Theoretical interpretation of the problem of the competence of managers

## Теоретическая трактовка проблематики компетенций руководителей

The increasing pace and increase in the pressures of sudden and radical transformations in all spheres of social and economic life leads to changes in the structure of the competence potential of the managerial staff. The importance of this phenomenon leads to the solution of bothering specific problems concerning the competencies of the management staff based on research. For this purpose, it is necessary to empirically determine the leading and supplementary dimensions of managerial competences while identifying their main determinants as the basic accommodative plane. Another issue related to the research goal is to determine the factor structure of the dominant area of competence, while at the same time learning the degree of differentiation of skills and psychophysical features, depending on the biographical variables.

Keywords: competences, staff, skills

Возрастающие темпы и увеличение давления внезапных и радикальных преобразований во всех сферах социально-экономической жизни приводят к изменениям в структуре компетенционного потенциала управленческого персонала. Важность этого явления приводит к решению проблем, связанных с конкретными проблемами, относящимися к компетенции управленческого персонала на основе исследований. Для этого необходимо эмпирически определить ведущие и дополнительные измерения управленческих компетенций, а также определить их основные детерминанты как базовую плоскость размещения. Другой вопрос, связанный с целью исследования, заключается в определении факторной структуры доминирующей области компетенции и в то же время изучении степени дифференциации навыков и психофизических особенностей в зависимости от биографических переменных.

Ключевые слова: компетенции, персонал, навыки



## Введение

Нарастающий темп, а также рост давления резких и радикальных пре-вращений которые происходят во всех сферах общественной-хозяйственной жизни, ведет к изменениям в структуре потенциала компетенций руководителей. В рыночной экономике все чаще обращается внимание на новую парадигму, изложенную в факте, что принципиальную роль начинают играть компетенции руководителей. По Мнению И. Колодзейчик – Ольчак решения, укрепляющие компетенции руководящего персонала, а также помощь в их приспособлении к новым требованиям, должны трактоваться приоритетно, во всех типах организаций<sup>1</sup>. В этой категории следует также поместить мнение Т. П. Чапли, который отмечает, что источником конкурентоспособного преимущества предприятий становятся систематически расширяемые и углубляемые компетенции руководящих кадров<sup>2</sup>. Отсюда требования компетенций, которые ставятся руководителям, лежащие у оснований доминирующих аспектов работы, определяют отличающийся от прежнего взгляд на управление предприятием. Начинают набирать основного значения ценности хозяйствующих субъектов, на которые можно смотреть, как на учреждения, которые создают, превращающие и соиспользуют компетенции.

Практическая перспектива превращений, которые происходят, в предприятиях делает возможным анализ компетенций руководителей, которые участвуют в процессе изменений, традиционно с ними связанными, с вниманием на роль которую выполняют организациях. Ранг этого явления набирает исключительного значения в контексте прежних опытов практики управления, подтверждающегося виденья предприятий будущего, а также прогнозируемых изменений в их функционировании, вызванных турбулентным влиянием окружения глобальной экономики. Все чаще также находит отражение в отдельных характеристиках профиля компетенций польского руководителя, а также в описаниях содержания заданий принадлежащих к его профессиональной роли.

## Суть и понятие компетенций в науках об управлении

Рассмотрение компетенции в категориях прочного элемента характеристики явлений, которые происходят, в работе руководителя неразлучно связано с непрерывным возобновлением попыток интерпретации понятия «компетенция». Эти попытки обосновываются также очевидностью факта,

<sup>1</sup> I. Kołodziejczyk-Olczyk, *Zarządzanie pracownikami w dojrzałym wieku*, Wyd. Uniwersytetu Łódzkiego, Łódź 2014, s. 79.

<sup>2</sup> T. P. Czaplą, *Modelowanie kompetencji pracowniczych w organizacji*, Wyd. Uniwersytetu Łódzkiego, Łódź 2011, s. 28.

что компетенции стали предметом особенного внимания в современной науке об управлении. Как приводит А. Армстронг и С. Тейлор, по мере углубленной рефлексии над структурой компетенции, она набирает характера своеобразной парадигмы в науке, разрешающей достичь высокого уровня действия<sup>3</sup>.

Проблематика компетенций является одним из основных вопросов, связанных с исправным управлением компетенциями, которые составляют основу для целой системы управления человеческими запасами в предприятии. Управление компетенциями работников представляет ключевой аспект управления человеческими запасами, а они сами являются приоритетным аспектом управления предприятием. Необходимо, следовательно, сформулировать управление компетенциями, которое является сложной деятельностью, связанной с формированием стандартов компетенций, что ведет к росту ценности человеческих запасов и эффективности действия организации. Управление компетенциями использует, следовательно, измерение и оценку компетенций всех трудоустроенных работников, для определения соответствующих планов развития карьеры, совместимых с бизнес целями фирмы.

Над существом управления компетенциями рассуждают также, в своих размышлениях, Д. Терри и К. Саурет. В их теории подчеркивается, что управление компетенциями - это концепция внедрения и применения связной политики, а также планов действия, имеющая на цели опережающие уменьшение расхождения между потребностями и человеческими запасами предприятия (числа и компетенций работников) в свете стратегии, а также профессионального развития работника<sup>4</sup>. Принятие таких направлений, а также способов действия, позволяет получить конкурентоспособное преимущество на рынке для прочного, а также долгосрочного развития через активную политику по отношению к работникам и их компетенциям. В этом месте следует заметить однако, что распоряжение компетенциями не относится только к управлению компетенциями работников. С точки зрения миссии и стратегии предприятия, которая учитывает внешнюю и внутреннюю обусловленность, не менее существенны также компетенции руководящего персонала.

Процесс управления компетенциями принимает компетенции как основной запас предприятия. На этом фоне рождается ряд отличий в главных принципах управления общественным потенциалом (УОП) и управления компетенциями (УК). Во-первых, УОП сосредоточивается на людях, которые представляют стратегический запас, зато УК идентифицируется с имеющимися и требуемыми в будущем компетенциями организации, на которые складываются компетенции работников, а также «мягкие» и «твердые» факторы фирмы. Во-вторых, в УОП о конкурентоспособности решают работники, их эффективные процедуры рекрутирования, селекции и подготовок, а в случае

<sup>3</sup> M. Armstrong, S. Taylor, *Zarządzanie zasobami ludzkimi*, Wolters Kluwer, Warszawa 2016, s. 153.

<sup>4</sup> D.Thierry, Ch. Sauret, *Zatrudnienie i kompetencje w przedsiębiorstwie w procesach zmian*, Poltext, Warszawa 1994, s. 28.

УК - новые опыты, а также использование идеи гибкости и учения через оспаривание существующих оснований. В-третьих, чтобы достичь соответствующего поведения работников, используя УОП, нужно создавать условия высокой мотивации, зато для УК соответствующее поведение людей связано с «обеспечением» их требуемыми компетенциями, а также возможностью действия.

Управление компетенциями функционирует в двух основных сферах (плоскостях):

- а) индивидуальной - характеризующей свойства руководителя,
- б) организационной - определяющей «мягкие» факторы (система мотивации, организационная культура, структура предприятия и тому подобное) и «твердые» козыри предприятия (здания, устройства, почвы и тому подобное).

Учет организационного пространства, влечет выход управления компетенциями за персональную функцию, интегрируя компетенции всех работников, а также целого предприятия. Это подход исключительно способствующий, потому что учтены возможности предприятия, которые представляются одинаково из-за «твердых» факторов, как и компетенций работников, которые сообщаются с его стратегической деятельностью для достижения конкурентоспособного преимущества в изменяющейся обусловленности окружения.

Компетенции на уровне предприятия определяются через возможность выполнения чего-то ценного для клиентов используя склонности к легкому овладению и эффективному выполнению процессов изготовления прибавленной ценности, а также практическое знакомство хозяйственных процессов и применяемых умений (компетентности) людей. Концепция компетенций предприятия учитывает идентификацию ключевых компетенций, то есть специфического (уникального) сопоставления технологии, знаний и умений, которые позволят, с одной стороны, достичь преимущества на конкурентном рынке, а с другой не будут легко копируемы конкурентами. Отмечаются, в связи с этим, принципиальные признаки, характеризующие ключевые (выделяющее) компетенции предприятия, то есть: ценности, воспринимаемые покупателем, уникальность среди конкурентов, а также разнообразие потенциальных применений на разных рынках, которые могут быть оцениваемыми на основании сложности, способности идентификации, возможности имитации и субституции, стойкости, более высокой приспособленности. Стоит при этом помнить, что «каждая организация имеет много запасов, возможностей и рутины, которые похожи на те, которое мы можем найти в других организациях. Должен быть существенно большим сбор запасов, возможностей и необходимой рутины, чтобы фирма осталась в бизнесе. Однако, только относительно небольшое количество действий, которое делает организация, станет ее выделяющими компетенциями»

Из внимания на видимые выступающие отношения между последними из упомянутых понятий и понятием компетенций руководящих кадров, употребляемое в защите, в качестве опытной переменной, проведено приближение их понимания. Эта дигрессия, нарушает в некоторой степени структуру раз-

мышлений о компетенциях руководящего персонала, обратила внимание на содержание и способ восприятия компетенции, что существенно дополняет подробную характеристику этого термина. Также, для получения по мере возможности полной картины интерпретации понятия «компетенция», нужно приблизить многочисленную группу других определений прочно связанных с анализом компетенций руководителей.

Ведущие на рынке предприятия, которые вступили в эру знаний, стараются получить конкурентное преимущество, идентифицируя и развивая ключевые компетенции предприятия в сфере индивидуальных компетенций руководителей. По Мнению Т. Олексина «выделяющие компетенции организации - это естественно выделяющие компетенции людей в организации, а также сотрудничающих с этой организацией. Потому что в этом находятся наибольшие шансы и возможности. Нет чего-то такого, как компетенции организации – отдельно от компетенций людей»<sup>5</sup>. Компетенции руководителей могут стать для предприятия неповторимым достоинством, потому что Жизнь организации зависит от ее способности к созданию знаний и умения, а также их использования, что может совершаться исключительно благодаря людям. Поскольку только способные люди могут предусматривать будущее и его формировать.

Компетенции предприятия, а также компетенции руководителя, хоть сжато с собой связаны (компетенции фирмы возникают через интеграцию и координацию компетенций работников; компетенции предприятия, так же как компетенции руководящего персонала, представляют соединение и координацию знаний, умений и индивидуальных преимуществ) отличаются от себя.

Наблюдая явления, которые происходят, в образовании руководителей можно заметить, что еще несколько лет назад в Польше мы имели дело с квалификациями руководителей. Сегодня, значительно чаще употребляется понятие компетенции, что не значит, что забыто о квалификациях. Между двумя этими понятиями часто появляется знак равенства. На почве наук об управлении термин «квалификации» эффективно заменяется понятием «компетенции»<sup>6</sup>. В реальности это термины, очень близкие с точки зрения значения, а некоторые интерпретации можно с равной действенностью отнести к обоим понятиям. По мнению Т. Олексина термин квалификации, а также компетенции недавно трактуются как синонимические выражения, кроме того, что слово «квалификация» часто отождествляется с так называемыми квалификационными тарификаторами, которые учитывают всего лишь запросы в сфере образования и стажа работы<sup>7</sup>.

Проведенная попытка объяснения существа компетенции руководящего персонала в понимании разных авторов, привела к тому, что мы имеем дело

<sup>5</sup> T. Oleksyn, *Zarządzanie kompetencjami. Teoria i praktyka*, Wolters Kluwer, Warszawa 2010, s. 23.

<sup>6</sup> Часто около термина «компетенции» употребляется синонимический термин «умения». Однако как указывают Т. П. Чапля (2011) в новейшем подходе к определению работы человека сосредоточивается внимание на компетенциях, а не на умениях, которые часто не представляют связную совокупность (стр. 13).

<sup>7</sup> T. Oleksyn, *Zarządzanie kompetencjami. Teoria i praktyka*, Wolters Kluwer, Warszawa 2010, s.17-20.

с чем-то в виде «черного ящика». Склонность к рассмотрению компетенции как представления о невыразительно очерченной структуре и крайних пунктах, достаточно широко идентифицируется в литературе предмета<sup>8</sup>. Очерчены определенные интерпретационные неточности экспонируемые авторами, представляющими разные области науки. Специфический синдром касающийся разной интерпретации термина «компетенция» появляется по двум главным причинам характерным для различающих факторов интересующего нас понятия. Во-первых, из сильного дифференцирования термина «компетенции» в разных странах, где замечается высокое культурное расслоение и во-вторых, из интердисциплинарности науки об управлении, потому что каждая из наук приписывает компетенциям собственное, очень разнообразное, порою противоположное значение.

Объяснение происхождения термина «компетенция» и презентация главных тематических сфер в исследованиях над компетенциями представляет необходимое введение к эмпирическому анализу потенциала компетенций руководителей.

Понятие руководящих компетенций достигает начала восьмидесятых годов, когда Американское Общество Управления начало инициировать действия, имеющие на цели определение профиля компетенций руководителя. Вдохновением этих действий была идея, что ни школьные результаты, ни результаты тестов способностей и интеллигентности не руководят профессиональным успехом, и даже эффективной адаптацией к ежедневным проблемам жизни. В их результате возникло определение компетенции, продемонстрированное Р. Бояцисом что сводится к сбору индивидуальных характеристик, которые принадлежат к таким отраслям, как способности, мотивы, признаки индивидуальности, склонности, или картина самого себя и своей общественной роли, или представляют сбор приобретенных знаний. Говорит она, что компетенция руководителя касается его характеристики, заключающей знания, умения, а также поведение - так долго, как профессиональная индивидуальная сфера отвечает запросам конкретной должности и среды организации, что позволяет соответствующее выполнение заданий.

Похожий подход был принят в Великобритании, где предприятия ввели к своей «системе управления много сопоставлений процессов развивающих менеджерские компетенции». Непосредственным мотивом склоняющим к проведению работ над анализом рабочих компетенций была демонстрация исследований, сравнивающих обучение и развитие руководителей в США, Западной Германии, Франции, Японии и Британии. Предложения из исследований раскрыли огромную дистанцию между передовой группой государств и Великобританией в сфере образования и подготовки руководящих кадров<sup>9</sup>. Английское определение компетенции, заключающее списки определенных признаков, ценностей и личностных характеристик, требуемых от руководи-

<sup>8</sup> I. Kołodziejczyk-Olczyk, *Zarządzanie pracownikami w dojrzałym wieku*, Wyd. Uniwersytetu Łódzkiego, Łódź 2014, s.76

<sup>9</sup> B. Gliński, B. Kuc, H. Fofryn, *Menedżeryzm, strategie, zarządzanie*, Key Text, Warszawa 2000, s. 65.

телей, подчеркивает аспект эффективности в работе, с учетом конкретных умений действия.

Содержание размышлений над логикой компетенций, во французской литературе, в свою очередь, показала необходимость законной формализации балансов профессиональных достижений работников. Предложения направляются в направлении представления новых категорий, характеризующих индивидуальные признаки работника в аспекте имеющихся компетенций, с учетом приобретенных знаний, имеющихся умений, а также добытого опыта. Это имеет на цели возможность объективной идентификации и развития компетенций, а также определения их значения в стратегии действия предприятий действующего в определенном сегменте экономики<sup>10</sup>.

Авторы в этом самом источнике обращают внимание на тройную структуру термина «компетенции». Первый фактор связан одинаково с операционностью, как и целесообразностью компетенции, потому что они имеют смысл всего лишь относительно действия, а также реализации цели, к которой это действие направляется. Другой фактор имеет адаптационный характер, потому что включает способность к приспособлению, а также эффективному действию в данной ситуации, а также конкретной обусловленности. Последний фактор в динамический способ соединяет разные элементы - знания, умения и поведение - между прочим для того, чтобы выйти к адаптации к изменяющимся условиям окружения.

Согласно подходу, составленному в разработке под заглавием: «Модель польских стандартов профессиональных квалификаций» под редакцией М. Буткевича (1995), компетенции определяются как «сфера знаний, умения и ответственности; сфера полномочий и полномочий к действию»<sup>11</sup>. Согласно другим авторам, компетенции - это способности к использованию знания, умения, поведения, черт характера, отношений, способа мышления, необходимых для достижения ожидаемых результатов.

Характерным признаком пионерских исследований и анализов теоретических компетенций в Польше, как заметил В. Вавжиняк (2000), есть акцентирование ведущей роли компетенции, но по-видимому скорее декларационно, чем фактически, что проявляется в управлении компетенциями. Автор дальше отмечает, что подхода к управлению кадрами, который опирается на формальных квалификациях, и также опыте измеряемом стажем, не хватает на нынешнем этапе развития предприятий. Нужно, чтобы хозяйствующие субъекты идентифицировали, анализировали, а также дополнили «кошелек компетенции» своих руководителей. Часть польских предприятий находится теперь на таком уровне развития, что начало в них основных действий

<sup>10</sup> T.P. Czaplą, *Modelowanie kompetencji pracowniczych w organizacji*, Wyd. Uniwersytetu Łódzkiego, Łódź 2011, s. 19.

<sup>11</sup> M. Butkiewicz, *Model polskich standardów kwalifikacji zawodowych*, Wyd. Instytut Technologii Eksploatacji, Warszawa-Radom 1995, s. 29.

указывающих на заинтересованность компетенциями своих руководителей, означало бы существенный и объективно нужный прогресс<sup>12</sup>.

Компетенции являются предметом размышлений разных областей науки - праксиологии, психологии, права, социологии, а также управления. Восприятие компетенции в контексте праксиологии сосредоточивается на факторах, которые лежат на стороне работника, обеспечивая ему возможность эффективного действия. Источником успеха руководителя является способность примирения психофизических признаков, умения и знаний - что создают его профиль компетенций - с изменениями ситуации, выплывающими из внешних обстоятельств.

К сбору предложений, которые определяют понятие «компетенция», с большой степенью формальности и всеобщности, вместе с тем, зачесть также следует концепцию Дж. Пенса, который размышления над компетенциями относит к сфере полномочий, обязанностей, а также ответственности руководителя, приписываемых его должности и требуемых в практическом действии<sup>13</sup>. В этой категории следует также поместить терминологию, употребляемую законодателями, а также в разговорном языке. Законодателей интересует прежде всего прокладка и уборка сферы компетенций, понимаемых как формальное основание действия лиц и организации. Через понятие компетенции понимает также некоторая сфера полномочий и прав на действие, к решению, не забывая о том, что эти полномочия и права могут предоставляться только тем, кто владеет требуемыми квалификациями и способностями к несению ответственности.

В упомянутой, обширной области применения, а также интерпретации понятия «компетенции» появляются предложения социологов и психологов. Социологи подчеркивают аспекты, касающиеся формирования сознания разных общественных групп относительно образцов карьер руководящего персонала. В психологической трактовке, компетенции сосредоточиваются на разных умственных склонностях, требуемых в данной должности, которые позволяют объяснить изменчивость поведения работника.

Попытка презентации понятия «компетенция» замечается также в литературе из области управления. В понимании, продемонстрированном Г. Десслером, компетенция представляется через знание теоретической структуры, имеющихся знаний и умения ее применения в практической деятельности<sup>14</sup>. Похожое значение термина «компетенции» согласно М. Коцер, А. Стшэбинской. По их мнению компетенции эффективного руководителя (работника) охватывают: знания, умения, мотивацию, положения и поведение работников<sup>15</sup>. Одним из способов начерчивания модели компетенции согласно классической

<sup>12</sup> M. Bratnicki, *Kompetencje przedsiębiorstwa*, Agencja Wydawnicza Placet, Warszawa 2000, s. 24.

<sup>13</sup> J. Penc, *Leksykon biznesu*, Placet, Warszawa 1997, s. 193.

<sup>14</sup> G. Dessler, *A Framework for Human Resources Management*, Prentice-Hall, "Upper Saddle River", NJ 2009, s. 362.

<sup>15</sup> M. Kocór, A. Strzebińska, *Jakich pracowników potrzebują polscy pracodawcy?*, PARP, Warszawa 2010, s. 12.

и общей теоретической модели, является учитывание таких элементов, как: знания, умения, а также личностные признаки, при основании, что они будут связываться с конкретной должностью и условиями, в которых функционирует руководитель.

Определение компетенции на почве литературы из отрасли управления расширяется также убеждениями М. Армстронга и С. Тэйлора, которые пишут, что на компетенции складываются знания и умения, личные признаки, мотивация, нужные к достижению желательного результата<sup>16</sup>.

Как ценную также следует принять концепцию А. Почтовского, который совершая систематизацию взглядов в вопросе компетенции, отметил, что они охватывают своей сферой совокупность прочных свойств человека, которые создают причинно-следственную связь с достигаемыми им высокими и/или сверхчуждыми эффектами работы<sup>17</sup>. Применяя вышеупомянутую терминологическую процедуру можно заметить, что компетенции состоят из сбора знаний, умения и индивидуальных признаков, добытых в ходе профессионального, а также личного опыта, образования, мобилизованных к реализации конкретного действия, которое представляет измерение эффективного их использования при одновременном ситуативном отнесении.

## Подытоживание

Совершая соединение главных мыслей выше представленного анализа, можно опереться на интерпретации содержания компетенции, описанной, который констатирует, что каждый руководитель должен владеть компетенциями, понимаемыми как сбор знаний, умений, личностных признаков, опытов, положений и поведения, направленных на исправное выполнение заданий в непрерывно изменяющихся профессиональных ситуациях. На практике означает это возможности, которые имеют работники, к критическому вкладу своих компетенций в создание нового предложения организации. Предоставляя звучание этому определению, следует сказать, следовательно, что компетенции охватывают сбор знаний, умения и положений, что обеспечивает реализацию профессиональных заданий на эффективном и выделяющем уровне, относительно стандартам, определенной организацией для данной должности.

Проведенная интерпретация компетенции из перспективы их существа и структуры не исчерпывает всех вопросов, которые содержатся в этом необыкновенно существенном в настоящее время пространстве научных выяснений. Делая вывод, можно констатировать, что более повсеместными, а также самыми существенными составляющими компетенции являются знания, умения, а также личностные признаки которые можно развивать одинаково на

<sup>16</sup> M. Armstrong, S. Taylor, *Zarządzanie zasobami ludzkimi*, Wolters Kluwer, Warszawa 2016, s. 241.

<sup>17</sup> A. Pocztowski, *Zarządzanie zasobami ludzkimi*, PWE, Warszawa 2016, s. 117.



дороге формального обучения, как и неформального, на должности, и вне нее. Это свойство подтверждает, что компетенции имеют признак соотношения, то есть от себя зависимы. В таком случае, совершенствуются секвенционно, т.е. углубление одной компетенции развивает склонность руководителя (работника) к получению следующей.

Храня сознание серьезных интерпретационных трудностей, можно принять, что компетенции руководителя охватывают комплект определенных элементов знаний, признаков личности и умений, которые необходимы из пункта виденья эффективного развязывания актуально осуществляемых заданий, как и возможных к достижению определенных целей в предсказуемом будущем. Это понятие включает в своем содержании оценивающий элемент, может быть, следовательно, употребляемое в описании поведений, имеющих на цели позитивное превращение компетенции (действие в интересах их развития), в зависимости от ситуативной обусловленности, в которой придется функционировать руководителям.

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## Place of marketing of sustainable development in work of amalgamated hromadas

## Место маркетинга устойчивых развитие в работе объединенных хромад.

### Abstract

It is proposed to use in the work of joint territorial communes the marketing of sustainable development as the process of planning and implementing the conception concerning prices formation, the advancement and realization of ideas of goods and services by way of exchange which will meet the purposes of consumers and contributes to the sustainable development of society. This kind of marketing had been suggested to be used by D. Fuller in 2000. Historic stages are given of the formation of sustainable marketing and of development of this direction in Ukraine. At present in Ukraine the marketing of sustainable development is not being used.

The use of instruments of marketing of sustainable development will help joint territorial communes to use with maximum efficiency their own available resources and to achieve the maximum result taking into account the needs of commune residents.

**Key words:** joint territorial communes, strategy of commune development, sustainable development, ecological marketing, green marketing, marketing of sustainable development

### Аннотация

Предлагается использовать в работе объединенных территориальных общин маркетинг сбалансированного развития, как процесс планирования и воплощения замысла относительно ценообразования, продвижения и реализации идей товаров и услуг путем обмена, удовлетворяющего цели потребителей и способствует сбалансированному развитию общества. Данный вид маркетинга предложил использовать D. Fuller в 2000г. Приведены исторические этапы становления сбалансированного маркетинга, и развитие данного направления в Украине. На сегодня в Украине не используют маркетинг устойчивого развития.

Использование инструментов маркетинга сбалансированного развития поможет объединенным территориальным общинам максимально эффективно использовать свой имеющийся ресурс и достичь максимального результата, учитывая потребности жителей общины.

**Ключевые слова:** объединенные территориальные общины, стратегия развития общины, сбалансированное развитие, экологический маркетинг, зеленый маркетинг, маркетинг устойчивого развития.

## **Statement of the problem in general outlook and its connection with important scientific and practical tasks.**

The creation of amalgamated hromadas is directed at forming the efficient local self-government and the territorial organization of power for creating and supporting full-fledged living environment for citizens, for rendering highly qualitative and available public services, for making institutions of direct people's power, for satisfying interests of citizens in all spheres of vital functions on the corresponding territory, for coordinating interests of atate with hromadas. Hromadas develop strategies of development. Here it is important to take into account not only the interests of a hromada, bur also its possibilities for implementing its intentions considering here the impact upon environment and the efficient use of natural resources available on the territory of the hromada.

## **Analysis of latest research where the solution of the problem was initiated.**

The question of the interrelation of marketing and environment had been considered by many foreign and native scientists, In particular, this issue had been studied by F.Kotler, K.Henion, T.Kinner, K.Pitti, J.Ottman, D.Fuller, S.Hunt, O.Sadchenko, A.Vychevych, T.Vaydanich, I.Didovych, N.Zinovchuk, A.Rashchenko, M.Malchyk, O.Martynyuk. These works consider the evolution of the development of marketing conceptio and their impact upon the environment, develop new directions of using marketing for solving ecological issues. At the same time it should be stated that native authors do not define a new kind of marketing activity which is to provide for sustainable development of the state and to contribute to the rational use of natural resources, firstly, at the local level where at present amalgamated hromadas were created which are responsible for the rational utilization of natural resources.

## **Aims of paper.**

The main purpose of the article is the search for efficient mechanisms for implementing the conception of sustainable development of the state at the level of organs of local self-government.

## Exposition of main material of research with complete substantiation of obtained scientific results.

Issues of ecology and marketing are already for a long time in the sphere of researchers. The worsening ecological situation, ecological catastrophes resulted in the fact that in 1975 K.Henion, T.Kinner published a book "Ecological marketing", who were the first to suggest the definition of the term "ecological marketing"<sup>1</sup>. In accordance with this definition, "ecological marketing" embraces all marketing measures directed at removing the consequences of already existing ecological problems". This work may be regarded as a result of increased attention and trouble (came into effect in the 1960s) on the part of academic world to ecological problems. The book raised the question of ecological balance from the point of view of marketing and it is one of the first in this domain which signifies the birth, at least, of the absolutely new direction of marketing development. It is to be pointed out that a year before this book publication G.Fisk had published his research "Marketing and ecological crises"<sup>2</sup>.

In the 90s scientific literature had begun to make use of the term "green marketing". First books were published by K.Petti<sup>3</sup>, J.Ottman<sup>4</sup>. In accordance with H. Baskar<sup>5</sup>, "Green marketing is the marketing of products which must be ecologically safe". Thus, green marketing includes a wide spectre of measures including goods modification, changes in the manufacturing process, packages. Green marketing belongs to the process of goods sale or services on the basis of their ecological advantages. Such a product, or service may be ecologically clean, or their manufacture and packaging will be carried out by ecologically clean way.

The question of the rational use of limited natural resources was becoming the more so urgent for the world community. The official recognition of the idea formulated in the report "Our common future" prepared by the World Commission on Environment and Development (WCED) headed by the prime minister of Norway Gru Harlem Brundtland, had been done in 1992 at the UN International Conference on environment and development in Rio-de-Janeiro. As a result of the G.H.Brundtland Commission work a new principle of world development had been adopted which had received the name of sustainable development.a

In 2000 D. Fuller for the first time uses the term sustainable marketing and defines it as "process of planning, implementing and controlling the development, price formation and distribution of a product in such a way as to guarantee the observance of the following three criteria: satisfaction of consumer demands; the

<sup>1</sup> Henion, K., Kinnear, T. Ecological Marketing, American Marketing Association. 1975.

<sup>2</sup> Fisk, G., Marketing and Ecological Crisis, New York, Harper&Row. 1974.

<sup>3</sup> Peattie, K. Green Marketing/ Pitman, 1992 - 344 r.

<sup>4</sup> Ottman, J Green Marketing: Opportunity for Innovation/ NTC Business Books, 1998 - 270 p.

<sup>5</sup> Bhaskar, H. Green marketing: a tool for sustainable development /International Journal of Research in Commerce&Management, 2013. vol. 4, no. 06, pp. 142-145.

guarantee of achieving purposes of the organization; harmony with ecosystem”<sup>6</sup>.

Ukrainian researchers make use in their works of the term “ecological marketing”. This issue had been most fully elucidated in works by Sadchenko O.V.<sup>7 8 9</sup>. In the opinion of Sadchenko O.V/ and Kharichkov S.K, ecological marketing - “it is not only safeguarding the maximum growth of consumption, widening consumers’ choice, consumers’ satisfaction and maximum growth of life quality, but also the support for stable, sustainable development of territories and the preservation of high quality of natural environment”<sup>9</sup>. Here authors consider ecological marketing via “the prism of a determined system of its conceptions, each of which puts an accent on one of key factors of ecological marketing”<sup>9</sup>.

We suggest to use the term “sustainable marketing”. We consider it as a separate direction of marketing activity on the basis of which is the arrangement of a distinct interaction between consumers of economics and ecology<sup>10</sup>. The marketing of sustainable development is a process of planning and implementation of idea concerning price formation, advancement and realization of goods and services ideas by way of exchange which meets aims of consumers and contributes to the sustainable development of society. Here it is important to point out that marketing of sustainable development has a clearly defined territorial character, that is, its main tasks lie in providing conditions for the rational use and preservation of natural resources of a particular territory. For this it is necessary to create ecologically clean industries (decreased harmful emissions), to develop organic production of food stuff (green marketing), to contribute to the preservation and development of natural reserve territories (marketing of nature reserve territories)<sup>11</sup>.

Let us consider how this new type of marketing activity is used by organs of local self-government. Approved by the decree of Cabinet of Ministers of Ukraine No 333-p the Conception of reforming local self-government and territorial organization of power is the first actual step on the way of achieving the main aim of Ukraine - to become a full-fledged competitive partner of the European Union. The administrative-territorial reform of 2015 and the Law of Ukraine “On voluntary unification of territorial hromadas” resulted in the creation of a new subject - a territorial hromada. Today at the state level a number of measures are carried out of normative-legislative, organizational-methodical, informational, financial character, which contribute to

<sup>6</sup> Fuller, D. A., Sustainable Marketing: Managerial-Ecological Issues, Sage, Thousand Oaks, California.2000.

<sup>7</sup> Sadchenko E.V., Kharychkov S.K. Ekolohycheskyi marketynh: poniattia, teoriya, praktyka y perspektyvy rozvytyia. – Odessa, YPRƏY NAN Ukrayny, 2001. – 146 s.

<sup>8</sup> Sadchenko E.V. Pryntsypy i kontseptsyy ekolohycheskoho marketynha: Monohrafiya. – Odessa: Astroprint, 2002. – 400 s.

<sup>9</sup> Sadchenko O.V. Kontseptsii ekolohichnoho marketynhu// Ekonomichnyi visnyk NHU. –Dnipropetrovsk. -2009 № 3, s. 71-79.

<sup>10</sup> Shershun M.Kh., Mykytyn T.M. Marketynh zbalansovanoho rozvytku yak instrument ratsionalnoho vykorystannia pryrodnykh resursiv Ukrainy //Zbalansovane pryrodokorystuvannia. Naukovo-praktychnyi zhurnal.№1/2017. – K, 2017. S. 10-13.

<sup>11</sup> Herasymchuk Z.V., Mykytyn T.M., Yakymchuk A.Iu. Marketynh pryrodno-zapovidnykh terytorii. Monohrafiia. Lutsk: LNTU, 2012. -245s.

achieving the purpose of the Conception - the definition of directions, mechanisms and terms of forming the efficient local self-government and the territorial organization of power for creating and supporting full-fledged living environment for citizens, for rendering highly qualified and available public services, for organizing institutions of direct people's power, for satisfying the interests of citizens in all spheres of life activity on a corresponding territory, for coordinating interests of the state with amalgamated hromadas<sup>12</sup>.

Hromadas have become responsible for economic development, attraction of investments, arrangement of foreign economic activity, implementation of rights in the sphere of building, architecture, communal economy, land relations, ecology and nature protection.

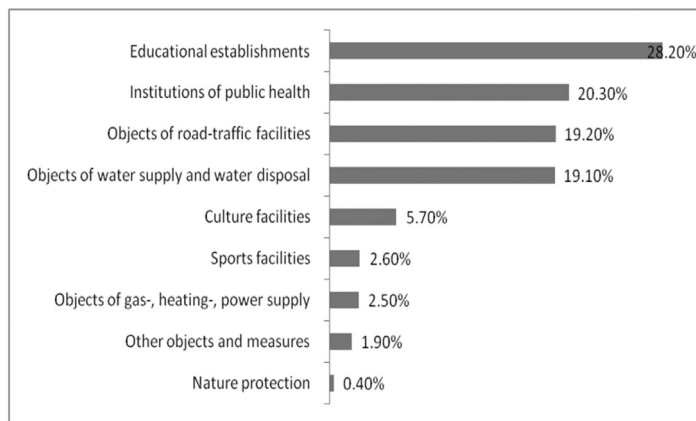
To implement its authorities AH received a number of financial mechanisms, in particular from 2016 a State fund of regional development started its work, amalgamated hromadas since 2016 obtain the subvention for deoloping its infrastructure.

We had coducted the analysis of utilizing finances of the State fund of regional development (fig.1). In 2016 for nature protection there had beenspent from the Fund 0,4%<sup>13</sup>

In 2017 for finance of SFRD in Ukraine 803 prohects had been implemented, of which only 3 - projects of ecological direction.

An important constituent in the development of amalgamated hromadas is the subvention for developing the infrastructure. We carried out the analysis of utilizing subvention costs in Rivne region which is shown in fig.2.

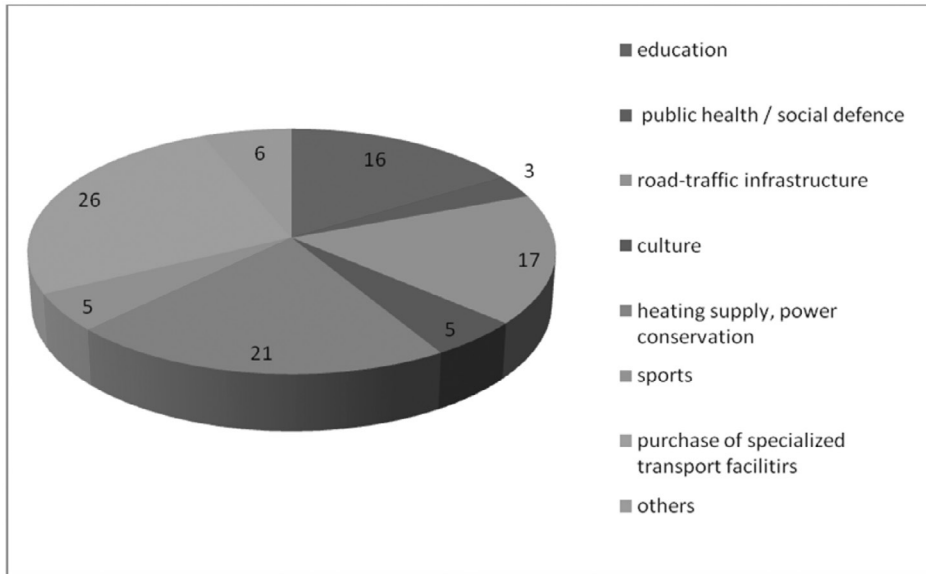
**Fig.1.** Distribution of finances among projects of SFRD in 2016. Sum of 3 billion hrn.<sup>13</sup>



<sup>12</sup> Pro skhvalennia Kontseptsii reformuvannia mistsevoho samovriaduvannia ta terytorialnoi orhanizatsii vlady v Ukraini: Rozporiadzhennia Kabinetu Ministriv Ukrainy vid 1 kvitnia 2014 r. № 333-r [Elektronnyi resurs] / Verkhovna Rada Ukrainy: ofitsiinyi veb-portal. – Rezhym dostupu: <http://zakon4.rada.gov.ua/laws/show/333-2014-%D1%80>

<sup>13</sup> Elektronnyi resurs <http://dfr.minregion.gov.ua/Projects-list>





**Fig.2.** Disribution of projects in % of total value for obtaining subvention for developing infrastructure by AH in 2017

As is seen from presented results for projects in nature protection no costs distributed on competitive basis had practically been allocated. It is possible to draw the conclusion that organs of local self-government in the first place pay attention to the most urgent issues which had not been paid attentio earlier. Regretfully, questions of nature protection , of ecology are not priority ones, notwithstanding the fact Rivne region in particular has polluted territories after the catastrophe at Chernobyl APS, has a problem in recultivating soils from the illegal extraction of amber, there are also questions concerning the quality of drinking qater, the condition of agricultural lands and the produce from the excessive chemicalization of soils.

The growth of profits into the budget of hromadas renders the possibility to solve a lot of issues. It is important here to take into account the balance of interests and possibilities of hromdas. That is, the question of the sustainable development of a hromada must be as the basis of drawing strategic plans in developing the hromada<sup>14</sup>. It is pressing in such cases to use the marketing of sustainable development.

Not less important at the state level is to advance ecological programs, to establish quotas in distributing finances of the state budget for implementing nature protection measures. The implementation of such steps will help to pay attention to ecological issues and solve them at a high level.

<sup>14</sup> Stratehichne planuvannya u hromadi (navchalnyi modul) / Anatolii Tkachuk, Vasyi Kashevskiy, Petro Mavko. – K. : IKTs «Lehalnyi status», 2016. – 96 s.

## Conclusions.

1. It is proposed to actively use in the work of hromadas the marketing of sustainable development as one of the efficient mechanisms which meets the aims of consumers and contributes to the sustainable development of society.
2. Amalgamated hromadas which are fullfledged owners on their territory pay little attention to questions of nature protection and environment preservation.
3. It is important to take into account the conception of sustainable development while developing the strategy of amalgamated hromada development in order later with the help of marketing instruments to achieve its implementation.

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Iris Yaffe

## Attitude of workers at public-sector towards performance appraisal process under The conditions of reform (Case study of israel in 2015)

### Отношение работников на общественном секторе к процессу оценки производительности под. Условия реформы (тематическое исследование израиля в 2015 году)

**Резюме:** Люди оценивают других людей все время. Однако эта оценка очень редко измеряется. Одной из единственных упорядоченных рамок, в которых люди регулярно оценивают других, является организационная структура, в которой часто используются инструменты служебной аттестации.

Становится все яснее, что в современном мире сильный государственный сектор является предпосылкой для достижения демократии и социального обеспечения, развитого гражданского общества и нового качества жизни. Вследствие этого ожидается, что работники государственного сектора продемонстрируют узнаваемый прогресс в результатах своей деятельности в контексте удовлетворения клиентов публичных услуг, которые имеют повышенные требования к качеству, скорости, прозрачности и эффективности работы общественности обслуживания. Удовлетворение этих требований делает все более и более необходимым, чтобы руководители государственного сектора рассматривали свою политику в отношении улучшения процесса выявления, измерения, управления и развития эффективности людских ресурсов в общественных организациях, процесс, известный в литературе как управление производительностью. Недавние публикации Комиссии по гражданской службе в Израиле руководили руководителями в государственном секторе, чтобы раз в год проводить эти процессы оценки работы сотрудников и обратной связи. Многие ресурсы (с точки зрения времени, денег и т. Д.) Направлены на эти каналы улучшения использования этого инструмента. Согласно руководящим принципам Комиссии по вопросам гражданской службы для руководителей, этот документ «является важным компонентом политики повышения качества и превосходства на службе государства». В 2011 году правительство Израиля приняло решение о создании комитета по формированию подробного плана по проведению реформы в области управления и развития человеческого капитала в гражданской службе. Высшей целью реформы является адаптация возможностей гражданской службы к меняющимся потребностям общественности в Израиле. В рамках реформы было решено изменить процессы оценки служебной деятельности работников, с тем чтобы поощрять совершенствование государственной службы. Поэтому важно иметь представление рабочих о служебной аттестации и узнавать об отношении государственного сектора к этому инструменту управления.

**Ключевые слова:** оценка эффективности, государственное управление, гражданское обслуживание, управление персоналом

**Abstract:** People appraise other people all the time. However, this evaluation is very infrequently measured. One of the only orderly frameworks in which people appraise others in a regular and structured manner is the organizational framework, in which frequently instruments of performance appraisal are employed.

It is getting clearer that in the contemporary world, the strong public-sector is a prerequisite for achieving democracy and social security, developed civil society and a new quality of life. In consequence, the public-sector workers are expected to demonstrate recognizable progress in the results of their activity in the context of the satisfaction of 'public-services clients', which do have increased requirements of the quality, speed, transparency and efficiency of the public servicing. The satisfaction of those requirements makes it more and more often necessary that the public-sector managers address their policies to improvement of the process of identifying, measuring, managing and development of the performance of the human resources in the public organizations, a process known in the literature as performance management.

Recent publications of the Civil-Service Commission in Israel have guided managers in the public-sector, to undertake these processes of worker appraisal and feedback conversations once a year. Many resources (in terms of time, money, etc.) are directed to these channels of the improvement of the use of this instrument. According to the guidelines of the Civil-Service Commission for the managers, the instrument "constitutes an important component in the policy for the promotion of quality and excellence in the service of the State". In 2011 the government of Israel reached the decision to establish a committee for the formation of a detailed plan to conduct a reform in the management and development of human capital in the Civil-Service. The supra-objective of the reform is to adjust the abilities of the Civil-Service to the changing needs of the public in Israel. As a part of the reform, it was decided to change the processes of worker performance appraisal, so as to encourage excellence in the Civil Service. Therefore, it is significant to have the perception of the workers towards performance appraisal and learn about the attitude of the public-sector about this management tool.

**Keywords:** Performance Appraisal, Public-Sector, Civil-Service, HRM management

*In recent years, the public service in Israel made reforms in the matter of performance appraisal. The main changes were in the form itself, which should be filled by the direct manager.*

*In the professional literature of management there are several conditions for the purpose of operating an effective system for performance appraisal. Among these conditions, one can mention the need for the system should be simple, flexible, accompanied by continuous feedback, and it must be reliable. Another issue is the necessity that different role-holders in the organization need to trust the system and to feel that it has value for them, for their diverse needs.*

*The perception of workers in the Israeli public-sector raises some disappointing findings regarding these conditions. The data show that workers at the public-sector consider the system of performance appraisal as only partially reliable, as unreliable and reflects actual employee performance and it has high level of influence by organizational politics.*

There is a gap between the professional literature on the topic and the knowledge in the field regarding the value of the performance appraisal, alongside the managers' avoidance of conducting the performance appraisal at the desired frequency. The triangle should be completed, and the public-sector worker's attitude of the performance appraisal should be examined. The worker's perception of the contribution of these tools to the field of human resources management is very important and valuable for conduction of resultfull changes in the practice of the human resource management in Israeli public-sector.

The hypothesis of the research regarding the workers' perception of the appraisals is that there are definite problems in the use of the instrument of performance appraisal in the public-sector and a significant level of lack of trust in them. This is primarily in light of the influences of personal relationships, communication between the manager and the worker, influences of organizational politics, and other elements. Under the conditions of reformation and transformation of the performance appraisal system it is important to examine the perception of workers with the purpose to introduce further improvements in the appraisal process.

## **The Reform in the Process of the Appraisal of Workers in the Civil Service**

In 2011 the government of Israel decided to establish a committee for the formation of a detailed plan for the performance of a reform in the management and development of the human capital in the civil service. The supra-objective of the reform is to adjust the abilities of the civil service to the changing needs of the public in Israel. As a part of the reform, it was decided to change the processes of the performance appraisal of the workers, so as to encourage excellence in the civil service.

For this purpose, it was decided to assimilate a differential mechanism for the evaluation of the skills and performances of the workers. The Civil- Service Commission emphasized the formation of the perception of appraisal through the establishment and validation of the performance appraisal and the performances of the workers as an instrument upon which the decisions about the workers' future, the path of their service, and the identification of the areas that require improvement in their performances will be based, when the aspiration is to hold an empowering and directing dialogue between the superiors and their workers.

The committee examined the process of worker appraisal and reached the conclusion that to achieve the goals that the headquarters for the implementation of the reform had determined, it is necessary both to 'refresh' the instrument (the worker appraisal form) and to change the perception of the workers (at all levels of the organization).

The reform in the process of the worker appraisal began in the year 2015. It is important to note the differences between the process of appraisal employed in the civil-service until 2014 and the process of appraisal for the state workers from the year 2015. The goal is to shed light on the process that the workers experience (managers and low level workers alike) when giving or receiving appraisal. It is necessary to examine the change that occurred in the appraisal of the workers both in terms of the change in the appraisal process and in terms of the feelings that this process awakens in the workers, in light of the fact that the success of this process is entirely based on the cooperation of the workers in the organization.

The Civil-Service Commission determines the manner of activity of the governmental offices through the Civil Service Regulations. Regarding the process of worker appraisal, the rules of this regulation code determine that once a year in all the government offices and support units a formal process of appraisal and feedback of workers will be held through a uniform appraisal and feedback sheet. The process of appraisal is held in the months of January to March and is divided into two primary stages:

- The direct superior and indirect superior fill out the appraisal and feedback sheet for every worker who has been under their management for more than three months.
- The direct superior holds a feedback conversation and coordination of expectations with every worker.

## **The Change in the Worker Appraisal Form**

In the worker appraisal form used until the year 2014, the appraisers were asked to appraise the level of performance of the appraised workers in a number of areas (professionalism, effectiveness and efficiency, responsibility, involvement and initiative, discipline, human relations, and measures of management). Every area is composed of six to eleven measures.

The appraisers filled out the different measures in the appraisal form, when the appraisal scale is composed of eight levels of scores, ranging from 3, the lowest score, until 10, the highest score. In cases of exceptional performance in a certain measure, it is possible to give the score of 11 and to attach a detailed letter of support and documents that indicate the excellence in the specific measure. In this context, it should be noted that filling out each one of the measures is subject to the degree of relevance that it presents regarding what is expected of the role definition of every worker.

However, the appraisers filled out a closed appraisal form and expressed their opinion quantitatively. Nevertheless, it should be noted that at the end of the worker appraisal form there is room for verbal statements of the worker's performance.

In contrast, the new worker appraisal form is computerized. In this form the appraisers are asked to give an appraisal of the level of performance of the appraised workers in a number of areas (professionalism, initiative and innovation, work relations and human relations, work values - identification and commitment and management). Each area is composed of four to seven measures. The appraisers fill out the different measures in the appraisal form, when the scale of appraisal is composed of six levels of scores, ranging from 1, the lowest score, to 6, the highest score. In the appraisal form there is also the level of 7, but it is possible to give a 7 only for workers that the superior notes as 'excelling'.

In this context, it should be noted that filling out each one of the measures is subject to the degree of relevance that it presents in relation to what is expected from the role definition of each worker. In addition, in the present form the superior is asked to list a number of task-oriented and personal objectives for every worker, and every year he must address the degree to which the workers attained these objectives (feed forward).

In contrast to the previous form, in the present form the superior is asked to write the verbal appraisal on the strong points in the worker performance, significant achievements that the appraiser had during the past year, and points that require improvement in the workers' performances (feedback).

***Conditions of Effective Performance of the Appraisal System.*** Tziner and Rabenu (2011) note that the system for performance appraisal needs to meet **seven main conditions** to act effectively and efficiently.

1. The appraisal needs to **most objectively reflect** the worker's performances in his occupational role in the organization and differentiate between excellent, average, and weak workers according to the measures that were determined.
2. In the appraisal system there must be a **direct relation between the workers' achievements and the rewards offered to them.** The increase of the work productivity depends on this relation. As the workers' performance is better, the package of rewards and benefits is richer. It is clear that the compensation needs to suit the workers' preferences and the value they attribute to them so as to bring about the increase of the productivity.

3. There **must be feedback** in the appraisal system, since the information on the appraisal of the performance helps the process of the change of the worker's behavior and the increase of his motivation.
4. The appraisal system **needs to be reliable**. Despite the biases that influence the judgment, different appraisers need to draw identical conclusions about the same appraised worker.
5. The system **needs to be flexible** and to have the **ability to change**, so that it will suit technological innovations or changes in the structure of the role.
6. The system **needs to be simple** so that it will be useful and understood by the different role-holders in the organization.
7. The different role-holders in the organization **need to trust the system** and to feel that it has value for them, for their different needs. Therefore, it is desirable that the building of a system for the evaluation and assimilation of the performance appraisal system in the organization will be undertaken through cooperation and mutual trust between all the ranks in the organization.

## Research questions and finding

The research study was intended, as aforementioned, to examine six questions that address the workers' perception of the performance appraisal, from there point of view.

1. Are the processes of worker appraisal and feedback conversation **perceived** by the worker as **a tool that improves the performance and promotes the worker's personal development** and performance?
2. Is the feedback conversation **perceived** by the worker as **contributing to the improvement of the relations** with the manager or as harming them?
3. Is the system of performance appraisal **perceived** by the worker as **reliable and as reflecting** the worker's performance?
4. Does the worker have **belief in the process** of worker appraisal?
5. Does the worker **see other goals** in the process of performance appraisal?
6. Is the process **perceived** by the worker as **influenced by organizational politics**?

The research is based on structured questionnaires that were distributed to these workers so as to learn about their perceptions of the process of performance appraisal and feedback conversation, as perceived by them. The questionnaires were composed by closed questions and two open questions, so as to enable expression of a variety of references of workers to the issue. An open question provides greater information, and examples given by the respondents enable the development of the topic according to his choice. The closed part is based on the instrument developed by Tziner, Latham, Prince, and Haccoun (Tziner & Rabenu, 2011), Questionnaire for the Measurement of Political Considerations. There was a change of about 20%



in the questionnaire statements and addition of open questions. Care was taken not to hurt the levels of reliability and validity of the original instruments, as found by the researchers. These questions were examined using a questionnaire composed of 27 statements and 2 open questions.

**The first research question** examined whether the processes of worker appraisal and feedback conversation are **perceived** by the worker in the sector as **improving the performance in actuality and as promoting** the worker's personal development. This research question was examined by statements 1, 2, 23, and 27 in the questionnaire.

Table 1 (as follows) presents the measures of center and dispersion of the responses.

**Table 1.**

*Processes of Worker Appraisal as a Tool Improving the Performance and Promoting Personal Development*

Statement in the Questionnaire		M (SD) Mean (Standard Deviation)	Frequency (%)	
1	The process of worker appraisal helps me in the identification of areas in which I must improve personally and professionally.	2.78 (1.06)	Do not agree at all Partially agree Agree Greatly agree Fully agree	8% 38% 29% 18% 7%
2	The feedback conversation helps me and I feel comfortable speaking about the differences of opinion that I have with the superior regarding my performance at work.	3.05 (1.19)	Do not agree at all Partially agree Agree Greatly agree Fully agree	12% 21% 28% 28% 11%
23	The appraisers avoid giving low performance appraisals since they are afraid that this may erode their workers' self-image.	1.98 (0.91)	Do not agree at all Partially agree Agree Greatly agree	37% 33% 25% 5%
27	The process of appraisal from my direct manager helps improve the performance at work and contributes to my personal development.	2.66 (1.08)	Do not agree at all Partially agree Agree Greatly agree Fully agree	12% 38% 29% 14% 7%

According to the data presented in the table and addressing statement number 1, it can be seen that 29% of the workers report that they agree and 25% greatly agree/fully that the process of worker appraisal helps them identify areas in which they need to improve personally and professionally. In other words, about one-half of the workers (54%) agree with the statement, to some level of agreement. In addition, 38% agree partially with the statement. Conversely, 8% of the workers do not agree at all with the statement.

In addition, it is possible to see that 28% of the workers report that they agree while another 39% agree greatly/fully that the feedback conversation helps them and they feel comfortable speaking about the differences of opinion that they have with the superior regarding the performance at work (statement number 2). In other words, most of the workers (about 67%) agree with this statement. In contrast, 12% responded that they do not agree with this at all.

About 25% of the workers agree and another 5% greatly agree that the appraisers avoid giving low performance appraisals since they fear that this may erode their workers' self-image. Another 33% of the workers agree partially with this and 37% do not agree at all. In other words, most of the workers tend not to agree.

It is possible to see that 29% of the workers report that they agree while another 21% agree greatly/fully that the appraisal process from the direct manager helps improve the performance at work and contributes to the personal development. In other words, half of the workers (50%) agree. In contrast, 38% partially agree and another 12% do not agree at all. It should be noted that this statement examines in addition whether the performance level as perceived by the worker is influenced in actuality by the performance and feedback appraisal and it is possible to conclude that the influence is partial.

Hence, it is possible to say that **the results indicate that the processes of worker appraisal are perceived by the respondents as a tool that improves performance and promotes personal development to a moderate extent** (the means of the statements indicate that the degree of agreement with the statements is moderate, on a scale of 1-5).

**The second research question** examined the issue of whether the feedback conversation is **perceived** by the worker **as contributing to the improvement of the relations with the manager** or as harming these relations. This research question was examined according to statement number 2 in the questionnaire.

**Table 2.**  
*Findings of the Responses to Statement Number 2*

Statement in the Questionnaire		M (SD) Mean (Standard Deviation)	Frequency (%)	
Statement 2	The feedback conversation helps me and I feel comfortable talking about the differences of opinion that I have with the superior in relation with my performances at work.	3.05 (1.19)	Do not agree at all	12%
			Partially agree	21%
			Agree	28%
			Greatly agree	28%
			Fully agree	11%

The findings of the responses to statement number 2, presented in table 2, indicate that 67% of the respondents agree with statement 2 and perceive the feedback conversation as helping them and they feel comfortable with the superior, 21% agree partially, and 12% do not agree at all.

As the data presented in table 2, most of the workers (about 67%) agree that the feedback conversation helps them and they feel comfortable speaking about the differences of opinion that they have with the superior regarding their performance at work. 21% agree partially.

In other words, **it can be concluded that the feedback conversation is perceived by the workers as contributing to the improvement of the relations with the manager.**

**The third research question** examined the issue of whether the system of performance appraisal is **perceived as reliable and reflecting the worker's performance**. This research question was examined by statements 3-5, 7-12, 15-20, and 22-25 in the questionnaire. The following table presents the measures of center and dispersion of the responses.

**Table 3.**

*Perception of the System of Performance Appraisal as Reliable and Reflecting Performance*

Statement		M (SD) Mean (Standard Deviation)	Frequency (%)	
3	The superiors avoid giving performance appraisal that may cause a tense atmosphere in the organization	2.47 (1.12)	Do not agree at all Partially agree Agree Greatly agree Fully agree	21% 36% 22% 17% 4%
4	The superiors avoid giving poor performance appraisals fearing that the worker will ask for a transfer to different supervisor	1.72 (0.91)	Do not agree at all Partially agree Agree Greatly agree	53% 28% 13% 6%
5	The superiors 'inflate' performance appraisals of workers who can obtain for them special services, favors, or benefits	2.40 (1.23)	Do not agree at all Partially agree Agree Greatly agree Fully agree	29% 31% 17% 17% 6%
7	The performance appraisals of the superiors reflect their positive and negative feelings about the workers	3.14 (0.98)	Do not agree at all Partially agree Agree Greatly agree Fully agree	4% 19% 47% 19% 11%
8	The level of performance of workers is influenced by the similarity in values between the superior and the appraised worker	3.08 (1.05)	Do not agree at all Partially agree Agree Greatly agree Fully agree	8% 19% 37% 27% 8%
9	The performance appraisal is influenced by the degree to which the appraised person succeeds in inspiring enthusiasm (through raising ideas and initiatives)	3.17 (1.04)	Do not agree at all Partially agree Agree Greatly agree Fully agree	7% 17% 37% 30% 9%

10	The superiors appraise the performance of their workers so that they themselves will be seen in a positive light by their superiors	2.47 (1.00)	Do not agree at all Partially agree Agree Greatly agree Fully agree	16% 40% 27% 15% 2%
11	The nature of the personal relations between the appraiser and the workers in the period of appraisal influence the performance appraisal	3.52 (1.29)	Do not agree at all Partially agree Agree Greatly agree Fully agree	11% 11% 19% 33% 26%
12	The superiors give high performance appraisals to their workers to avoid conflicts when giving feedback	2.46 (1.14)	Do not agree at all Partially agree Agree Greatly agree Fully agree	24% 30% 26% 16% 4%
15	The superiors appraise their workers' performance precisely, only if they are rewarded for precise appraisal	1.90 (1.00)	Do not agree at all Partially agree Agree Greatly agree Fully agree	40% 40% 8% 8% 2%
16	The superiors produce precise performance appraisals only if they believe that this is the norm in the organization	2.64 (1.20)	Do not agree at all Partially agree Agree Greatly agree Fully agree	18% 33% 25% 15% 9%
17	Workers with a high status in the organization will obtain higher performance appraisals than the others, regardless of their performance	2.92 (1.36)	Do not agree at all Partially agree Agree Greatly agree Fully agree	19% 24% 19% 22% 16%
18	The superiors give high performance appraisals thinking that their workers have already had more than enough tests	1.69 (0.88)	Do not agree at all Partially agree Agree Greatly agree Fully agree	53% 30% 13% 3% 1%
19	The superiors adjust themselves to what is accepted in their organization when they appraise the workers' performance, so as to avoid their workers' lack of satisfaction	2.62 (1.14)	Do not agree at all Partially agree Agree Greatly agree Fully agree	18% 32% 25% 20% 5%
20	The superiors give low performance appraisals as a warning signal to problematic workers	2.98 (1.18)	Do not agree at all Partially agree Agree Greatly agree Fully agree	11% 26% 29% 22% 12%
22	The superiors distort the performance appraisals of workers with special characteristics (for instance, very popular workers may receive high performance appraisals even if their performance does not justify this)	2.99 (1.25)	Do not agree at all Partially agree Agree Greatly agree Fully agree	13% 27% 21% 26% 13%

23	<b>The appraisers avoid giving low performance appraisals, since they fear that this may erode their workers' self-image</b>	1.98 (0.91)	Do not agree at all Partially agree Agree Greatly agree Fully agree	37% 33% 25% 5%
24	<b>The superiors give higher performance appraisals than what is deserved to their workers so as to obtain their cooperation</b>	2.65 (1.22)	Do not agree at all Partially agree Agree Greatly agree Fully agree	23% 23% 26% 22% 6%
25	<b>The superiors give higher performance appraisals than what is deserved to the workers who control valuable resources in the organization (knowledge, expertise, budget, etc.)</b>	3.00 (1.23)	Do not agree at all Partially agree Agree Greatly agree Fully agree	12% 27% 23% 25% 13%

According to the findings presented in the table, it is possible to see that 43% of the workers agree fully that the superiors avoid giving performance appraisals that may cause a tense atmosphere in the organization and another 36% agree partially (statement number 3).

40% of the workers agree and agree fully that the superiors 'inflate' the performance appraisals of workers who can achieve for them special services, benefits, or favors (statement number 5) and another 31% agree partially. In addition, 77% of the workers agree and agree fully that the superiors' performance appraisals reflect their positive and negative feelings towards the workers (statement number 7). Another 72% of the workers agree and agree fully that the workers' performance level is influenced by the similarity in values between the superior and the appraised worker (statement number 8). 76% of the workers agree to agree fully that the performance appraisal is influenced by the degree to which the appraised person succeeds in inspiring enthusiasm (statement number 9).

44% of the workers agree to agree fully that the superiors appraise their workers' performance so that they themselves will be seen in a positive light by their superiors (statement number 10) and another 40% agree partially. 78% of the workers agree to agree fully that the nature of the personal relations between the appraiser and the workers in the appraisal period influences the performance appraisal (statement number 11).

46% of the workers agree to agree fully that the superiors give a high performance appraisal to their workers to avoid conflicts while providing feedback (statement number 12). Another 30% agree partially. In addition, 49% of the workers agree to agree fully that the superiors produce a precise performance appraisal only if they believe that this is the norm in the organization (statement number 16), while another 33% agree partially.

57% of the workers agree to agree fully that the workers with a high status in the organization will receive higher performance appraisals than the rest, regardless of their performance (statement number 17), while another 24% agree partially.

50% of the workers agree to agree fully that the superiors suit themselves to what is accepted in the organization when they appraise the worker performance (statement number 19), so as to avoid their workers' lack of satisfaction and another 32% agree partially.

63% of the workers agree to agree fully that the superiors give low performance appraisals as a warning sign for problematic workers (statement number 20), while another 26% agree partially. In addition, 60% of the workers agree to agree fully that the superiors distort the performance appraisals of workers with special characteristics (statement number 22), and another 27% agree partially.

54% of the workers agree to agree fully that the superiors give higher performance appraisals than deserved to their workers to achieve their cooperation (statement number 24), while another 23% agree partially. In addition, 61% of the workers agree to agree fully that that the superiors provide higher performance appraisals than deserved to workers who have mastered valuable resources in the organization (statement number 25), while another 27% agree partially.

To conclude, it can be said that **the description of these data delineate the trend that the workers for the most part do not perceive the system of performance appraisal as reliable and as reflecting performance.**

However, it can be seen that in a minority of the cases the tool is perceived as reliable under certain conditions - 53% of the workers do not agree at all that the superiors avoid giving low performance appraisals out of the fear that the worker will ask for a transfer to another superior (statement number 4) and only 19% agree and agree greatly (another 28% agree partially).

40% do not at all agree that the superiors precisely appraise their workers' performance only if they are rewarded for a precise appraisal (statement number 15) and another 40% agree only partially.

53% of the workers do not at all agree that the superiors give high performance appraisals thinking that their workers have already had enough tests (statement number 18) and another 30% partially agree.

Furthermore, 37% of the workers do not agree at all that the appraisers avoid giving low performance appraisals since they are afraid that this may erode their workers' self-image (statement number 23), and another 33% agree partially and 30% agree and agree greatly.

**The fourth research question** examined the **workers' trust in the process of worker appraisal**. This research question was examined by statements 3-5 (these statements were also presented in the framework of the fourth research question above) and statement 26 in the questionnaire. The following table (4) presents the measures of center and dispersion of the responses.

Table 4 indicates that 43% of the workers agree to agree fully that the superiors avoid giving performance appraisals that may cause a tense atmosphere in the organization, while another 36% partially agree. In addition, 40% of the workers agree to agree fully that the superiors 'inflate' the performance appraisals of workers who

can achieve for them special services, favors, or benefits, while another 31% agree partially. However, most of the workers tend not to agree that the superiors avoid providing poor performance appraisals out of the concern that the worker will seek a transfer to another superior (53% did not agree and another 28% partially agreed).

**Table 4.***The Workers' Trust in the Worker Appraisal Process*

Statement		M (SD) Mean (Standard Deviation)	Frequency (%)	
3	The superiors avoid giving performance appraisal that may cause a tense atmosphere in the organization	2.47 (1.12)	Do not agree at all Partially agree Agree Greatly agree Fully agree	21% 36% 22% 17% 4%
4	The superiors avoid giving poor performance appraisals fearing that the worker will ask for a transfer to different supervisor	1.72 (0.91)	Do not agree at all Partially agree Agree Greatly agree	53% 28% 13% 6%
5	The superiors 'inflate' performance appraisals of workers who can obtain for them special services, favors, or benefits	2.40 (1.23)	Do not agree at all Partially agree Agree Greatly agree Fully agree	29% 31% 17% 17% 6%
26	I have full belief in the processes of worker appraisal in the organization where I work	2.21 (1.01)	Do not agree at all Partially agree Agree Greatly agree Fully agree	25% 45% 16% 12% 2%

On the question that directly addressed the workers' trust in the worker appraisal processes, 30% of the workers agree to agree fully that they have complete trust in the processes of worker appraisal in the organization where they work, 45% agree partially, and 25% do not agree at all.

**These data indicate that most of the workers report that they have poor/partial belief in the processes of worker appraisal.**

(The mean of the responses also supports this conclusion - mean of 2.21 on a scale of 1-5).

**The fifth research question examined whether the worker sees other goals in the process of performance appraisal.** This research question was examined by statements 20 and 21 in the questionnaire. The following table presents the measures of the center and dispersion of the responses.

**Table 5.**

*The Perception of Other Goals in the Worker Appraisal Process*

Statement		M (SD) Mean (Standard Deviation)	Frequency (%)	
20	The superiors give low performance appraisals as a warning signal to problematic workers	2.98 (1.18)	Do not agree at all Partially agree Agree Greatly agree Fully agree	11% 26% 29% 22% 12%
21	The superiors use performance appraisals to convey a certain message to their workers (for instance, to encourage creativity)	3.19 (1.16)	Do not agree at all Partially agree Agree Greatly agree Fully agree	9% 15% 36% 28% 12%

Table 5 shows that most of the workers, 63%, agree to fully agree that the superiors give low performance appraisals as a warning signal to problematic workers (statement number 20) while another 26% agree partially.

In addition, 76% of the workers agree to fully agree that the superiors use performance appraisal to convey a certain message to their workers (statement number 21). It is **possible to conclude from these data that the process of worker appraisal is perceived by the workers as a process that serves other goals.**

**The sixth research question** examined whether the process of worker appraisal is **perceived** by the worker **as influenced by the organizational politics**. This research question is examined by statements 5, 6, 10, 13, 14, 24, and 25. (The findings of statements 5, 10, 24, and 25 were also presented previously in the framework of the third research hypothesis.) The following table presents measures of center and dispersion of the responses.

**Table 6.**

*The Perception of the Process of Worker Appraisal as Influenced by Organizational Politics*

Statement		M (SD) Mean (Standard Deviation)	Frequency (%)	
5	The superiors 'inflate' performance appraisals of workers who can obtain for them special services, favors, or benefits	2.40 (1.23)	Do not agree at all Partially agree Agree Greatly agree Fully agree	29% 31% 17% 17% 6%
6	The superiors 'inflate' performance appraisals of workers who have access to important sources of information	2.42 (1.26)	Do not agree at all Partially agree Agree Greatly agree Fully agree	31% 25% 22% 15% 7%



10	The superiors appraise the performance of their workers so that they themselves will be seen in a positive light by their superiors	2.47 (1.00)	Do not agree at all Partially agree Agree Greatly agree Fully agree	16% 40% 27% 15% 2%
13	The superiors avoid giving low performance appraisals fearing that the workers may be hurt (for example, no promotion, termination, etc.)	2.36 (1.12)	Do not agree at all Partially agree Agree Greatly agree Fully agree	26% 33% 24% 13% 4%
14	The superiors distort performance appraisals to obtain the most benefits for their workers (for instance, salary raises, promotion, etc.)	2.17 (1.12)	Do not agree at all Partially agree Agree Greatly agree Fully agree	34% 32% 21% 9% 4%
24	The superiors give higher performance appraisals than what is deserved to their workers so as to obtain their cooperation	2.65 (1.22)	Do not agree at all Partially agree Agree Greatly agree Fully agree	23% 23% 26% 22% 6%
25	The superiors give higher performance appraisals than what is deserved to the workers who control valuable resources in the organization (knowledge, expertise, budget, etc.)	3.00 (1.23)	Do not agree at all Partially agree Agree Greatly agree Fully agree	12% 27% 23% 25% 13%

The data presented in table 6 showed that it is possible to see that 40% of the workers agree to agree fully that the superiors ‘inflate’ the performance appraisal of workers that can achieve for them special services, favors, or benefits, and another 31% agree partially.

In addition, 44% of the workers agree to fully agree that the superiors ‘inflate’ worker performance appraisal that they have access to important information sources and another 25% agree partially. 44% of the workers agree to fully agree that the superiors appraise the performance of their workers so that they themselves will be seen in a positive light by their superiors, and another 40% agree partially.

41% of the workers agree to agree fully that the superiors avoid giving low performance appraisals out of the fear that the workers may be hurt and another 33% partially agree. However, a minority of the workers, 34%, agree to fully agree that the superiors distort performance appraisals to obtain the most benefits for their workers.

54% of the workers agree to agree fully that the superiors provide higher performance appraisals to their workers than they deserve so as to obtain their cooperation, while 23% agree partially. In addition, 61% of the workers agree to fully agree that the superiors provide higher performance appraisals than they deserve to the workers who control valuable resources in the organization, and another 27% agree partially.

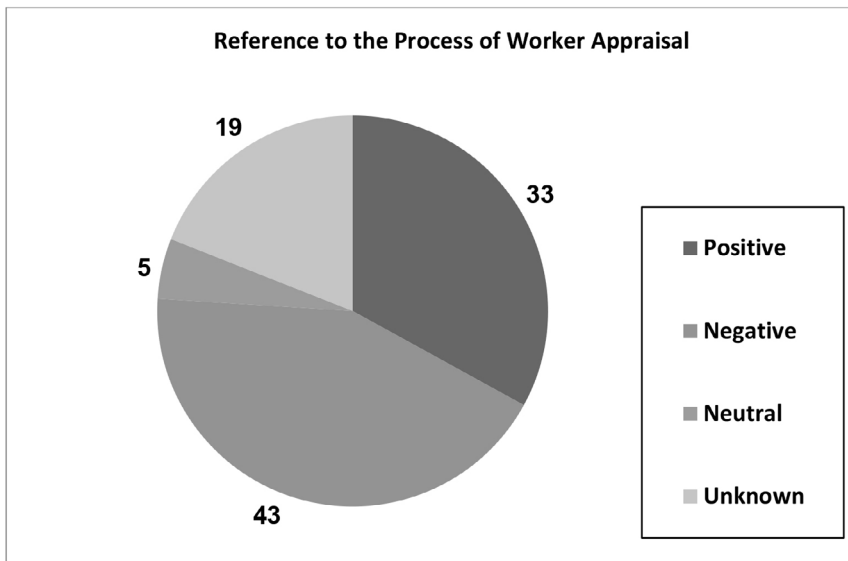
To conclude, these data indicate **that the workers for the most part tend to agree that the process of worker appraisal is influenced by organizational politics.**

**Attitude of workers - finding of the open question:**

Reference to the findings of the open question: In one word, appraisal of workers is: \_\_\_\_\_

The open question was intended to allow the respondents to themselves bring up, in an absolutely undirected manner, their reference to the process of worker appraisal. The references were diverse and some even surprising. Although they were asked to write 'one word', some of the responses were extensive and told a 'story', and this fact can indicate to a certain extent that among some of the respondents this is a charged issue and cannot be expressed in a short and focused manner. Some of the answers also brought part of the significant experience, a lesson learned, a significant insight, etc.

In the following figure (figure 1) the respondents' **references were divided into four parts**. The analysis found references that express a **positive attitude** towards worker appraisal, references that express a **negative attitude**, and **neutral references**. In addition, in a number of questionnaires the respondents' reference was **absent**.



**Figure 1:** Reference to the Process of Worker Appraisal

**The positive references** constitute 33% of the total references to this open question and included statements such as “an excellent tool for the appraisal of the worker’s achievements”, “empowerment”, “important”, “transparent”, “full relation of the manager towards the worker”, “essential instrument”, “excellent management tool”, “contributes”, “positive”, “appropriate and very necessary”, “excellent”, and “beneficial”.

43% of the references to this part in the questionnaire included statements with a **negative cast**: “not especially reliable”, “wasteful”, “rather superfluous”, “superfluous” (an expression that repeated itself in a number of questionnaire), “an important tool that is missed”, “not necessarily reliable or reflecting”, “not reflecting and not correct at all and sometimes depriving the worker”, “nothing”, “not true and not reflecting the reality in the field”, “it is a part of the work procedure and does not contribute anything”, “needs improvement”, “not equal and is a tool for the manager for the achievement of the promotion of workers”, “a game”, “a meaningless document”, “fiction”, “completely lacking in benefit”, “requires improvement”, “perfunctory”, “deficient (since it is not dual)”, “wasted instrument”, “does not truly represent the worker”, “just for protocol”, “superfluous”, “not objective tool”, “not the most correct”, “an obligating procedure that does not necessarily influence”, “for the most part does not reflect”, “depends on the superior”, “purely formal”, “for the most part does not reflect the reality”.

5% of the respondents had **neutral statements** about the worker appraisal. In this part of the questionnaire and noted that it is a “management tool” and “summarizes the process and sets objectives for the continuation of the way”.

For 19%, it was not possible to determine an attitude since information was **lacking and the respondents** chose not to address this open question in the questionnaire.

## Influence of Experience and Gender on Perception of the Workers

In the research study an attempt was made to examine the perceptions presented through the questionnaires regarding two parameters regarding the population of the sample: the respondents’ experience in the organization, gender, and education.

1. Influence of the Experience on the Worker Perception. The years of experience were divided into categories: 0 - up to 4 years of experience (including), 1 - 4 to 10 years, 2 - more than 10 years of experience. This division was undertaken out of the assumption that there is a difference between workers who do not have experience in the organization and are new in the organization, relatively, and workers who have experience. In other words, there are differences between the perceptions regarding the process of performance appraisal and it is possible that there is a difference between less experienced workers in the public sector organization in their manner of perception of the processes of worker appraisal. **The dimension of experience does not have significant impact on the perception of the worker appraisal processes, both regarding the perception of worker appraisal processes as a tool that improves the performance and regarding the perception of the process as reliable and reflecting performance.**

2. Gender Influence on the Perception of the Workers. In addition, the influence of the gender on the perception of the worker appraisal process was examined, from the assumption that there is a difference between men and women in the way in which they perceive these processes. The performance appraisal system is **perceived by women as more reliable and reflecting performance and they have a greater degree of trust in it, in the comparison to men working in the public sector.**

Primarily it is **possible to see the difference between men and women in frequency at which they answer 'do not agree'** (tables 13 and 14). The expectation (given the general number of men and the general number of women) is that four men will answer 'do not agree' and eight women will answer 'do not agree' (namely, more women will answer 'do not agree'), in contrast to the existing situation in which more men (seven) answered 'do not agree' relative to women (five).

## Conclusion

**The following worker attitude regarding the worker appraisal processes in the public-sector arise from the research study:**

1. The processes of worker appraisal are perceived **only moderately** as an instrument that improves performance and promotes personal development. The conclusion is commensurate with what is known in the field.
2. The feedback conversation is perceived as contributing to the improvement of the relations between the worker and the manager.
3. The workers in the public sector for the most part do not perceive the performance appraisal system as reliable and as reflecting performance.
4. Most of the workers have only a low and partial level of trust in the processes of worker appraisal.
5. The worker appraisal processes are perceived by the workers in the public-sector as a process that serves other goals.
6. Most of the workers tend to agree that the performance appraisal process is influenced by organizational politics.

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## **Предпринимательство как основной атрибут компетентного руководителя**

**Summary:** The requirements of the modern environment create a special need for change in the practice of regional development management. This is reflected by shifting the center of gravity from administrative activities to seeking new sources of achieving a competitive advantage by building strategies based on entrepreneurship of human capital. As a result, entrepreneurship of human capital employed in organizations should become today the main creative force of each region inscribed in its management system. The aim of the article is to attempt to approximate the essence of entrepreneurship of human capital against the background of ongoing changes in regional development

**Резюме:** Требования современной среды создают особую потребность в изменении практики управления региональным развитием. Это отражается в смещении центра тяжести с административной деятельности на поиск новых источников достижения конкурентного преимущества путем построения стратегий, основанных на предпринимательстве человеческого капитала. В результате предпринимательство человеческого капитала, используемое в организациях, должно стать сегодня главной творческой силой каждого региона, вписанного в его систему управления. Цель статьи - попытаться приблизиться к сущности предпринимательства человеческого капитала на фоне текущих изменений в региональном развитии.

**Keywords:** entrepreneurship, personnel, behavior

**Ключевые слова:** предпринимательство, персонал, поведение

## Введение

Размышления над компетенциями руководящего персонала содержатся в широком течении вопросов, разрешающих установить источники неповторимых, а также исключительных их атрибутов. Диагностика ситуации руководящей работы в современной рыночной обусловленности указывает, что руководитель с одной стороны должен активно ангажироваться в изменения, часто принимая решения в сфере внедрения радикальных изменений, из с другой же, должен иметь в виду текущее, ежедневное управление предприятием. Таким образом сделано наглядным действие, которое создает творческое напряжение между стремлениями и текущей реальностью, которое формирует недовольство со *status quo* и ощущение срочности выполнения превращений. Этой своеобразную и неразлучную дихотомией изображает пример Г. Бенёка (2000), который сравнил предприятие с поведением лягушки в воде. „Вложи лягушку в горшок с холодной водой, которой ты будешь постепенно подогревать, и лягушка потеряет напряжение и будет усыпленной ее чуткость, чтобы могла выскочить, когда придет соответствующая минута реакции. Будет спокойно в ней сидеть, до конца не замечая изменений. Вбрось зато лягушку в горшок с кипящей водой, и выскочит из него немедленно”<sup>1</sup>. Представленная схема рассуждения показывает, что руководитель должен открыть призму времени и его творческий бег, так, чтобы рационально провести процесс изменений в предприятии.

Следует по отношению к этому, в создании успеха хозяйственной деятельности создавать новые, специфические руководящие компетенции, а также думать о будущем как о средстве к достижению нынешних целей. Требуется, следовательно, более предпринимательское управление, целенаправленное на открытие, а также использование соответствующих развивающихся шансов.

## Суть и понятие предпринимательство в науках об управлении

Из многих списков, характеризующих признаки компетентного менеджера на специальное внимание заслуживает их предпринимательство. Является оно существенным элементом руководящих компетенций, которое позволяет использование случая к практическому внедрению новых решений, изменяющих существующее положение вещей. Значение предпринимательства в условиях экономики, которая трансформируется, где руководящий персонал встречает с многими трудностями управленческого характера, кажется очень важным. Предпринимательство повсеместно признается главной развиваю-

<sup>1</sup> H. Bieniok, *Zmiana i ciągłość z perspektywy żaby*, w: H. Jagoda, J. Lichtarski (red.), *Nowe kierunki w zarządzaniu przedsiębiorstwem – ciągłość i zmiana*, Wyd. AE im. Oskara Langego we Wrocławiu, Wrocław 2000, s. 382.

щей силой каждой организации, вписанной в систему ее управления. По мнению Б. Вавжиняка предпринимательство является одним из важнейших признаков и умений эффективно действующих руководителей, являющихся отражением новой системы ведения хозяйства, в котором управляющий осознает, что новая система требует новых компетенций<sup>2</sup>. Подобно считает Дж. Пенс, который подчеркивает, что «предпринимательство должно стать сегодня главной креативной силой каждой фирмы, прочно вписанной в ее систему управления и организационную культуру.[...] Без предпринимательства, без эластичного реагирования на вызовы рынка, без свободы выбора и самостоятельных действий за собственный счет и на собственную ответственность польская экономика останется рыночной только по названию и не выйдет на дорогу эффективности, рациональности и бережливости»<sup>3</sup>. Трудно не согласиться с мнением Дж. Пенса, однако применение поданных им правил, формулируемым в связи с потребностью предпринимательских действий, должно учитывать следующую обусловленность: формирование предпринимательской ориентации фирмы, поддержка новых замыслов, поддержка попыток и ошибок, готовность к принятию риска, облегчение доступа к финансовым и вещественным запасам предприятия, построение системы спонсорства мероприятий, поддержка работы междисциплинарных коллективов, оценка эффектов отдельных мероприятий из более длинной перспективы времени, принятие принципа, что каждый работник может быть креатором нового мероприятия, подготовка соответствующей мотивировочной системы, поддержка предпринимательских действий через главное руководство, создание эластичных структур.

Понятие „предпринимательство” не принадлежит к тем, которые однозначно интерпретируются и не имеет окончательно установленной области применения. На проблемы связанные с концепцией термина „предпринимательство” обратил внимание К. Вах утверждая, что одинаково в разговорном языке, как и научном, выступает огромное количество разных интерпретаций этого понятия<sup>4</sup>. Невзирая на многие научные разработки, не приведено связного и акцептируемого всеми определения предпринимательства, а в литературе можно встретить разнообразные интерпретационные попытки.

Роли предпринимателя и его значение в экономике замечено на переломе XVIII и XIX века. Принимается, что понятие „предприниматель” употребил впервые Р. Кентиллон в 1755. Сформулировал предпринимателя как лицо, которое приобретает средства продукции по определенной цене, чтобы с их помощью произвести продукт. Это изделие намеревается продать с выгодой за цену, которая не известна во время расходования средств. Однако к на-

<sup>2</sup> B. Wawrzyniak, *Odnawianie przedsiębiorstwa. Na spotkaniu XXI wieku?*, PWN, Warszawa 2000, s. 158.

<sup>3</sup> J. Penc, *Decyzje w zarządzaniu*, Profesjonalna Szkoła Biznesu, Kraków 2002, s. 17-18.

<sup>4</sup> T. J. Bae, S. Qian., Ch. Miao, J.O. Fiet, *The Relationship Between Entrepreneurship Theory and Practice*, 38(2)/2014, s. 25.



учной литературе этот термин ввел Дж. Б. Сей около 1800 года, который определил как предпринимателя лицо, инвестирующее запасы в неизвестное и рискованное будущее. Считает, кроме того, что предприниматель приносит капитал из пространства с низшим риском к пространству с высшей производительностью и выгодой. В свою очередь, суть предпринимательства, как подхода к управлению наблюдал первым П. Дрюкер в своей работе с 1973 года. Представил подход, который заключается во „внедрении инноваций, которые создают основания будущего бизнеса”, с „наилучшим использованием доступных запасов”<sup>5</sup>.

Творец наиболее известной и наиболее полной концепции предпринимательства Дж. А. Шумпетер воспринимал предпринимателя как лицо, которое реализовывает „новые комбинации”. Соединяет, следовательно, в себе творческую активность, проявляемую в создании новых вещей с активностью, которая заключается в реализации новых концепций. Подчеркивает однако притом, что предприниматель не должен быть изобретателем. Его роль заключается в умении использования творческой деятельности изобретателей. Похожего мнения С. Токарски отмечая, что „предпринимательство манифестирует, в наиболее показательный способ, в наблюдении и использовании возникающих случаев по внешним обстоятельствам”<sup>6</sup>.

В представленной характеристике предпринимательского лица, выполненной Дж. Шумпетером выразительно, экспонируется направленность предпринимателя на изменение, которое трактуется как натуральный атрибут его ситуации действия. Более поздние и современные концепции предпринимательства повсеместно учитывают этот аспект анализа. Но вырисовываются отличия в содержании терминов, которые представляются. Концепция креативной деструкции и нарушения существующего равновесия, предложенная Дж. Шумпетером (как указано выше) касалась капиталистической экономики начала XX века, основанием которой была большая сконцентрированная массовая промышленность, а важнейшими факторами продукции земля и капитал. Роль фактора труда, а также знаний была скорее второстепенна, чтобы не сказать, что представляла фон к размышлениям По мнению С. Квятковского „намного более близким сегодняшним реалиям глобальной экономики, основанной на знаниях, и наверное более близким практике постсоциалистических стран, есть способ понимания предпринимательства через использование инновации с целью возобновления равновесия между рынками или фрагментами данного рынка”<sup>7</sup>.

Представленное в литературе предмета определение предприниматель-

<sup>5</sup> S. M. Kwiatkowski, *Przedsiębiorczość intelektualna*, PWN, Warszawa 2002, s. 87.

<sup>6</sup> S. Tokarski., *Kierownik w organizacji*, Difin, Warszawa 2006, s. 112.

<sup>7</sup> S. M. Kwiatkowski, *Przedsiębiorczość intelektualna a trwały rozwój gospodarczy europejskich krajów postojalistycznych*, w: G. W. Kołodko (red), *Nowa gospodarka i jej implikacje dla długookresowego wzrostu w krajach postojalistycznych*, Wyd. Wyższej Szkoły Przedsiębiorczości i Zarządzania im. Leona Koźmińskiego, Warszawa 2001, s. 114.

ства и предпринимателя можно классифицировать, по мнению Б. Глинки согласно трем основным категориям:

1. Определения, которое представляется на основании функционального описания предпринимательских действий, где относятся к экономическим измерениям использования запасов.
1. Определения, сконструированного на личных признаках предпринимателей.
2. Апеллирующему к специфическому способу действия (поведения) отдельных руководителей определению, где используются имеющиеся компетенции<sup>8</sup>.

Похожую интерпретационную конвенцию использовал Р. В. Гриффин, который трактует предпринимательство как процесс создания и ведения нового предприятия, замечая однако, что организация, а также ведения хозяйственной деятельности, неразрывно связано с риском, а также настроено на успех<sup>9</sup>.

Предпринимательство, согласно следующему понятию, это функция или роль, выполняемая лицом или группой лиц в процессе изготовления и дистрибуции имущества или услуг, являющихся предметом транзакции покупки – продажи. Главным мотивом предпринимательского процесса является, в этом случае, соответствующее использование ситуативных факторов, таких как способность к трудоустройству или способность к посвящению и обязательствам.

Предпринимательство взятков в свете своей хозяйственной функции, апеллирующей к процедуре внедрения изменений, часто отождествляется с:

1. Владением собственным капиталом. Угрозу для развития рыночной экономики в отделении предпринимательства от собственности видел Дж. Шумпетер. Однако, сужение предпринимательства к предпринимателю-владельцу является далеко продвинутым упрощением. Он считал, что о развитии предприятий не решает владелец, а динамически действующие, исправные и профессиональные руководители.
1. Мотивом действия, который выражается в стремлении к умножению капитала.
2. Механизмом действия, который заключается в постоянном инвестировании имеющегося капитала.
3. Генерацией выгоды.
4. Соединением факторов ведения хозяйства в непротиворечивые уклады действия, то есть функционирующие эффективно бережно и полезно.

<sup>8</sup> B. Glinka, *Przedsiębiorczość i kultura*, „Zarządzanie w kulturze”, 1(16)/2016, s. 2.

<sup>9</sup> R. W. Griffin, *Podstawy zarządzania organizacjami*, PWN, Warszawa 2013, s. 130.

5. Инновационным действием, которое сводится к совершенствованию техники, технологии, организации, профессиональных компетенций, экономической деятельности.
6. Определением ассортимента продукции или видов услуг, их величины, а также цен, в этом новых и усовершенствованных изделий.
7. Противопоставлением конкуренции других предприятий<sup>10</sup>.

Определения предпринимательства, которые складываются на другую категорию, создают широкую и неоднородную структуру. Определение типичных признаков предпринимательских лиц принадлежит к вопросам, очень обширным, потому что предприниматель владеет разными признаками в зависимости от того, или они характеризуют лидеров экономики, владельцев небольших фирм, ремесленников, новаторов, или также администраторов разных сфер общественной жизни. Как заметил П. Дрюкер, „предпринимательство является признаком данного лица или учреждения, при этом не следует ограничивать всего лишь к хозяйственной сфере”<sup>11</sup>. Предпринимательство может, следовательно, характеризовать действие субъектов общественной сферы, при этом, в случае публичного сектора, относится оно к конкуренции.

Пример, представляющий другую терминологическую группу, представил также Г. Бенёк. Этот автор предпринимательский силуэт характеризует через: сильную потребность достижений, выносливость и предопределение, потребность автономии, умеренную склонность к риску, доверие к собственным способностям контроля случаев, ориентированность на случай, умения принятия поражения и вытягивания из них предложений, жизненный оптимизм и энтузиазм в работе, креативность и инновационность, а также через лидерские способности<sup>12</sup>.

Значительную часть верно подобранных признаков предпринимательского лица заключает предложение В. Г. Никелса, который называет:

- зрелость в управлении своим лицом, то есть способность к выработке самодисциплины при одновременном ощущении психического комфорта,
- веру в собственные силы, которая сводится к умению форсирования собственных замыслов, а также поддержки чувства профессионального энтузиазма,
- ориентацию на действие, виденная как способность к реализации и приспособлению к потребностям отработанных проектов,
- психическую и физическую энергию к выполнению тяжелой и долговременной работы,
- счет с риском<sup>13</sup>.

В представленном предложении разделения признаков предпринима-

<sup>10</sup> Z. Narski, *Praktyka zarządzania przedsiębiorstwem*, Wyd. Adam Marszałek, Toruń 2001, s. 7.

<sup>11</sup> P. Drucker, *Innowacje i przedsiębiorczość*, PWE, Warszawa 1992, s. 53.

<sup>12</sup> H. Bieniok, *Podstawy zarządzania przedsiębiorstwem*, Wyd. AE, Katowice 2003, s. 100.

<sup>13</sup> W. G. Nickels, *Zrozumieć biznes*, Dom wydawniczy „Rytm”, Warszawa 2000, s. 187.

тельского лица, автор наблюдает одинаково способности к проявлению веры в собственные замыслы, как также наделяет его умением использования шансов, которые появляются, что связывается непосредственно с их практической реализацией, к которой предприниматель умеет подготовиться психически и физически.

Совершается также разделения признаков предпринимателя на природные и приобретенные признаки. Среди первых, заслуживает внимания скорости ума, интеллигентность, энергия и природное лидерство, отвага в принятии трудных и рискованных решений, а также интуиция. К приобретенным признакам, в свою очередь, засчитывается способность быстрой оценки ситуации и ожидания будущих случаев. Согласно У. Новацкой важнейшими признаками предпринимательского лица являются: настрой на достижения, инициатива, прагматизм, эмоциональная интеллигентность, большая доза индивидуализма, а также развитая потребность автономии<sup>14</sup>.

В способ, приближенный к выше представленному, описываются признаки предпринимательского руководителя, к которому следует обратиться из внимания на предмет данной диссертации. Выплывает это из приближенных характеристик субъектных предпринимательских лиц с характеристикой предпринимательства руководителей. Менеджер может действовать в предпринимательский способ, хоть так долго не станет предпринимателем, как долго не наполнит условий, неразлучно связанных с предпринимательством. Представленный сбор признаков руководителя предпринимателя делает возможной реализацию своей роли, прежде всего, в рамках разных видов профессиональной активности. Однако, руководитель предприниматель должен быть также лицом способным к действиям выходящим за установленные схемы или ограничения, связанные с профессиональной ролью, хоть бы функционируя исправно в условиях изменений.

В этом месте, следует перейти к третьей категории определения предпринимательства, понимаемого как специфический способ руководящего действия. По Мнению С.Токарного предпринимательство это такой вид руководящего поведение, которое характеризуется «готовностью к начинанию и продолжению, не испытанных еще проектов, к распознаванию и использованию появляющегося шанса достижения чего-то ценного в ситуации, когда другие еще в рутине»<sup>15</sup>. Понятием предпринимательства - по мнению С. Токарского - мы пользуемся также «относительно действий, которые должны повлечь какое-то положение вещей, а также к решению или выбору, из которых должно что-то выплывать в будущем» (стр. 72). В развитии этих действий автор различил четыре фазы:

<sup>14</sup> U. Nowacka, *Kreowanie przedsiębiorczości intelektualnej*, w: Prace naukowe Akademii im. Jana Długosza w Częstochowie, zeszyt V, Częstochowa 2011, s. 170-171.

<sup>15</sup> S. Tokarski, *Kierownik w organizacji*, Difin, Warszawa 2006, s. 113.

1. Первая фаза - выбор направления деятельности. В ней берутся к сведению нешаблонные и рискованные возможности.
1. Вторая фаза - набор ловкости. Ищутся новые методы более быстрого достижения прогресса в действии.
2. Третья фаза - набор рутины. Приносит комфорт действия в ловкий и умелый способ.
3. Четвертая фаза - регресс. Может иногда появляться в результате устаревших технологий, исчезающего спроса или ощущения скуки, усталости и недовольства лиц<sup>16</sup>.

Поднимая тематику, предпринимательству, Дж. А. Ф. Стонер, К. Венкел и Д. Р. Гилберт - называя ее „творческим процессом” - определили три этапа:

1. Генерация замыслов.
1. Развитие замыслов.
2. Внедрение<sup>17</sup>.

В свою очередь М. Кондрацкая-Шала, Я. Малиновска предпринимательство понимают как поиск и нахождение новых возможностей, которые ведут к определенным целям, нахождение новых возможностей, также начала удачного мероприятия”<sup>18</sup>. Определение предпринимательства подобно обсуждает У. Новацка, определяя его как активное поведение лиц по отношению к ожидающим их заданиям. Эта активность сводится к умению использования существующих условий, а также выполнения действий для изменения этих условий в желательных направлениях<sup>19</sup>.

Предпринимательство также понимается как деятельность, которая отмечается активностью и динамизмом, инновационностью, поиском изменений и реагированием на него, восприятием шансов, а также их использованием, независимо от имеющихся запасов, и готовностью к риску, главным мотивом действия которой есть умножение капитала. Интересную попытку упорядоченности классификации предпринимательства, приняла концепция В. Шиманьского, который систематизируя взгляды в вопросе предпринимательства, обращается к вещественной и методологической рациональности. Применяя такую процедуру, отделяет две точки зрения. Первая из них относится к методологическому предпринимательству, которое характеризуется: логической подборкой методов и средств в рамках имеющихся знаний,

<sup>16</sup> S. Tokarski, *Styl kierowania menedżerów przedsiębiorczych*, w: K. Krzakiewicz (red.), *Praca kierownicza w przedsiębiorstwie w okresie transformacji gospodarki*, Wyd. AE w Poznaniu, Poznań 1996, s. 62.

<sup>17</sup> J. A. F. Stoner, R. E., Freeman, D. R. Gilbert, *Kierowanie*, PWE, Warszawa 2011, s. 352.

<sup>18</sup> M. Kondracka-Szala, J. Malinowska, *Studiowanie - czas na rozwijanie postawy przedsiębiorczej nauczycieli dziecka młodszego? Analiza porównawcza programów kształcenia w zakresie przedsiębiorczości na polskim i fińskim uniwersytecie*, „E-mentor”, nr 3(65)/2016, s. 12-13.

<sup>19</sup> U. Nowacka, *Kreowanie przedsiębiorczości intelektualnej*, w: *Prace naukowe Akademii im. Jana Długosza w Częstochowie*, zeszyt V, Częstochowa 2011, s. 301.

- пассивностью в поисках и сборе информации,
- механическим выискиванием уже существующих случаев к получению выгоды,
- линейным мышлением, то есть признает конвенциональные принципы и права без попытки их подрыва.
- Другой подход экспонирует вещественное предпринимательство, которое:
  - опирается на знаниях и возможностях, которые отвечают состоянию знаний,
  - заботится о как наилучшим доступе к информации,
  - творчески подходит к реальности,
  - ищет новых способов победы трудностей, которые повсеместно ставятся к преодолению,
  - экспонирует латеральность мышления<sup>20</sup>.

Картина этого явления особенно очевидная в переходных периодах, в кризисных условиях, а также трансформационных процессах, в которых руководители, целенаправленные на открытость на изменения, обогащение знаний и умения, могут внести весомый вклад в возникновение динамических и прочных предприятий. Много кризисных явлений лучше можно побороть, содействуя развитию предпринимательского поведения.

## Подытоживание

Предпринимательство представляет в работе менеджера фундаментальный элемент действия, настроенного на изменения. Делает возможной практическую реализацию новаторских концепций, которые ведут, к тому, что каждый ищет так использованик своей работы, которое принесет ему больше всего выгоды. Осмысленная политика предпринимательства должна быть целенаправлена на руководящие кадры таким образом, чтобы активизировать их деятельность, которая требует определенной свободы разрешительности на эксперимент, а также осуществление чего-то нового. Отсюда, предпринимательство силой вещи, нарушает статус-кво функционирования предприятия, создавая нередко творческий хаос или „креативную конструкцию, таким образом, чтобы компетенцией, выделяющей руководителей, была способность ожидания новых реалий, а также создания виденья на дороге практических экспериментов. А следовательно, следствием предпринимательского управления руководящего персонала является выполнение предпринимательских действий, которые в своем содержании основывают успех начатых изменений, ответственность за их возможные

<sup>20</sup> W. Szymański *Przedsiębiorca i przedsiębiorczość*, w: T. P. Tkaczyk (red.), *Przedsiębiorczość a strategie konkurencji*, SGH, Warszawa 2000, s. 83.

неудачи, некоторую степень неуверенности и риска, неконвенциональное решение проблемы, принятие не рутинных решений, которые учитывают нынешние и длинноволновые условия ведения хозяйственной деятельности, при основании, что приведут к минимизации разницы между желательным и реальным состоянием.

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## **Young innovative firms and venture capital financing**

## **Молодые инновационные фирмы и финансирование капитала вентилизации**

**Abstract:** The transformation in the businesses' resources from tangible assets into intellectual capital is of critical importance for the establishment of new businesses, the restructuring of old ones and the way of financing their activities. Venture capital is used to finance startups and innovative businesses for several reasons discussed in this paper.

**Keywords:** venture capital financing, private equity, young innovative firms, financial systems

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**Резюме:** Трансформация ресурсов бизнеса из материальных активов в интеллектуальный капитал имеет решающее значение для создания новых предприятий, реструктуризации старых и способа финансирования их деятельности. Венчурный капитал используется для финансирования стартапов и инновационных предприятий по нескольким причинам, обсуждаемым в этой статье.

**Ключевые слова:** финансирование венчурного капитала, частный акционерный капитал, молодые инновационные фирмы, финансовые системы

## 1. Introduction

Since the mid twentieth century, there has been a large-scale change in the share of the resources, which the startups and the already established businesses use in their economic activities, namely from “hardware” to “wetware”. Even the traditional manufacturing is not safeguarded from the possibility to be ousted from the market, just like the digital photography ousted the photographic films. Prompted by the creative destruction, it is also focused on innovation though the development of new strategies, which requires human capital to implement them. It could be summarized **that the described transformation in the businesses’ resources from tangible assets into intellectual capital is of critical importance for the establishment of new businesses, the restructuring of old ones and the way of funding their activities.**

Therefore, from everything said so far, the following characteristics can be derived, which differentiate the new innovative businesses.

First, the business has its own tangible and intangible assets, while it only “hires” human resources. From the viewpoint of the startup innovative businesses, they should retain the knowledge, skills and competencies of their staff by turning them into their own non-tangible assets.<sup>1</sup>

Second, from economic point of view, “software” is uncompetitive in consumption. One and the same non-tangible product, one and the same basic or secondary innovation can be used simultaneously by numerous users and entrepreneurs anywhere around the world. When starting the business with a conceptual project, its development, innovations in the processes, products and quality are carried out only by the employees and entrepreneurs. There are the iconic examples for that with the founders of Apple, Google, Amazon.

Third, in the conditions nowadays, private equity (PE) plays an important role both for funding and managing the new economy businesses. The knowledge-based new businesses should be able to retain their major (human) capital, so that they could develop successfully. Through their function in managing the portfolio enterprise, the companies for PE and VC investments have a key role to play in developing the management models and compensatory tools for retaining and building competencies up to the level of innovations and new products.

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<sup>1</sup> There are schemes elaborated in the practical field whereby that could be realized. For more details, see Zimmerman, Jerold L., *The Role of Accounting in the 21st Century Firm* (January 2, 2015). Available at SSRN: <https://ssrn.com/abstract=2544697> or <http://dx.doi.org/10.2139/ssrn.2544697> pp. 12,13.

## 2. Young innovative enterprises and financial systems

A summarizing definition about the nature of the young innovative enterprises as economic entities can be derived for the purposes of the present topic. **These are new (startup) businesses, which are intensively involved in innovation activities to a large extent, possessing mostly intellectual capital, represented predominantly by the competencies and skills of their founders and employees (human capital), with a growth potential, relatively high risk of market failure and comparatively short period of existence.**

On the other hand, the definition itself does not provide an answer to the question: *What is the reason for using venture capital ever more often nowadays for financing those businesses?*

We believe that the factors preconditioning this trend could be clarified through analyzing the **relationship** between the contemporary financial systems and the innovative entrepreneurship.

Banks play a dominating role for business funding in the European continental financial system. The Anglo-Saxon financial system differs from that with the dominating role of the financial market for funding the businesses. The shareholding principle, which provides its basis, suggests fragmentation of the ownership over the business between many persons, while in the other case, the ownership is rather concentrated in the hands of a limited number of owners.<sup>2</sup> These two main financial systems are not equally efficient in supporting the innovative entrepreneurship, which has been successfully developing over the recent decades to date. This statement is particularly valid for the young innovative enterprises with significant growth potential, operating in new industries, which have emerged owing to the advance of new basic technologies. It turns out that the contemporary financial systems, which are so effective in supporting mature businesses and traditional industries, are not fit for funding new industries and pioneer businesses. According to an analysis conducted by the OECD, that is largely valid for the countries with a continental funding model, where the dominating source of funds is bank credit, meaning that the rules for accessing the financial market are more conservative.<sup>3</sup>

The financial system of a country would support its innovative potential if it creates conditions for capital accumulation in new innovative industries. As it has been pointed out, in view of reaching that goal, the financial system should stimulate the “creative destruction” of Schumpeter. In other words, it should

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<sup>2</sup> OECD, *A New Economy: The Changing Role of Information Technology in Growth*, OECD, Paris, 2000, p. 33. Certainly, this statement cannot and should not be interpreted as a rule, however, it is determined by the historical development of the countries, which institutional structure is based on the common Roman law, and of those based on the case law. Besides, bank domination as a funding system in a country or group of countries does not exclude the presence of a financial market and vice-versa.

<sup>3</sup> OECD, *The New Economy. Beyond the Hype*, OECD Paris 2001., p. 77 -80.

function in such a way that capital should be redistributed by businesses with low technological and economic potential towards businesses and industries with high growth potential. All that includes dynamics of the changes in the amount and ownership of the businesses through mergers, acquisitions and spin-offs. The system which would fulfill those requirements is very different from the model with bank crediting and ownership concentration, focused on accumulating mostly physical capital in economy. Generally, the capital markets suggest high intensity in capital redistribution because of the dominating effect of the shareholding principle in funding. On the one hand, it presumes strong fragmentation of the ownership over business, and on the other, the pressure of the shareholders on the companies for more profits and revenues leads to frequent changes in the control over business through business combinations, which, in its turn, is an incentive for organizational changes and a drive towards innovations. As a result of this, that type of financial systems suggests a more efficient development of knowledge and innovative industries through their flexibility, an expression of which are also the private equity investments.<sup>4</sup>

### 3. Private equity and venture capital investments

The term “venture capital” is used as a synonym of the term “risk capital” in the practice and in the academic literature. It originates initially from the USA, which is the birthplace of risk financing. It is still not defined unequivocally, either in the Anglo-Saxon, or in the continental European literature.<sup>5</sup> Therefore, we will make an attempt to rather characterize venture capital from the view point of its major differentiating features.

Theoretically, venture capital can be classified both as a form of equity funding, and as a form of external funding. Unlike the debt financing, capital raising is done entirely from one’s own capital resource. Concerning its determining as external, the idea is that venture capital is raised from sources (investors) that are external to the enterprise, and it is not generated as a result of its regular business activities.

From the viewpoint of the nature of such financing, venture capital is a form of one’s own equity, which is provided to non-public companies with high growth potential for a limited period of time. In most cases, it is done through minority participation in the capital of the portfolio enterprise.

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4 A prerequisite for that is the efficient institutional procedure concerning capital markets’ information transparency. The global economic crisis, which started as a financial crisis in 2008, reminded us that the financial system functioning on market principles can be fully applicable only under the conditions of an efficient institutional procedure. Market, therefore, should provide to the participants sufficiently transparent information, which requires the respective institutions that should minimize the information asymmetry. Therefore, the efficient functioning of the financial markets requires supervisory authorities, which would limit the possibility for easy, unproblematic and clandestine transferring of risks from certain contracting parties to others. Measures have been undertaken for establishing rules focused on risk assessment and management, as well as on increasing transparency with the general purpose to restrict the potential of a moral risk on the financial markets.

5 See Betsch, Oskar et. al. Wachstumsfinanzierung, S. 14.

The businesses, which choose such a type of funding, are startups or growing in size, and, for example, they cannot receive debt financing (loans) from banks, due to the lack of collaterals required by the creditor. Typical for this kind of entrepreneurs is that they have a significant growth potential, usually combined with a strong orientation towards the new technologies. This potential, in particular, provides grounds for expectations of high profitability for venture capital investors.

Another characteristic of venture funding is the risk undertaken by the owners of the capital, i.e. the investors. They undertake the obligation to support in a relatively long term the funding of the activities of the capital recipient (the entrepreneur). From a legal point of view, they become limited partners, while not receiving any guarantee for their share in the capital, thus bearing the risks of the business together with the latter. They do not have any guarantee for recovering the shares in the capital, or any right for an interest thereon. In case of liquidation or insolvency, they shall lose their own equity.

The described characteristics clarify the choice of the term “venture capital” as a synonym of “risk capital”, as it was mentioned above.

In this respect, the difference between venture and private equity financing should be briefly clarified. The concept “private equity financing (investments)” is used as a collective notion for investing one’s own capital, which is made outside the capital market. In this sense, venture investment is a type of private equity investment, however, it does not exhaust its meaning. The main differences are summarized below.

First, unlike venture investment, PE investment is oriented towards mature companies, which are well-established in the course of time and in the sector, and have relatively small investment risk.

Second, the amount of funding with PE investment is larger than the share of the venture participation.

Third, apart from the profits from the sale of the share in case of divestment, as well as a share in the retained earnings, the PE investors also have a right of dividends from the net income.

The last, but most important difference is that the funds for PE are focused on the later stages of the enterprise’s development (the stage of expansion and growth). They provide funding aimed at registering the portfolio enterprise as a public one on the capital market. In this respect, ever more important is the funding that they provide after going public (the stage of the late expansion), which, in the case of the venture capital investments, is not done. It is about funding of acquisitions, and recovery and restructuring of companies, which are most typical for the PE investors.

Alongside the risks, the concept of “venture capital” contains also certain favorable opportunities. The high growth and development potential of the business receiving investment provides grounds for expectations of high profitability for the capital owners from the investment project.

Furthermore, an integral part of funding is the possibility for considerable involvement in the management, controlling authority and voting right over the

activities of the enterprise needing capital. This includes both supporting the strategic and operational management with know-how, and establishing networks of contacts or intervening in the operational activities, such as decisions for acquiring assets, etc.

The last, but maybe the most typical feature of venture financing is expressed through the specific characteristics of the investment process and its stages.

#### 4. Venture capital investments: empirical evidences

Empirical studies in academic literature on the impact of various financial system elements on economy's innovative capacity and the distribution of the latest technologies point out the critical role of venture capital in that respect.<sup>6</sup> "Venture capital is treated as a key stakeholder aiming to implement the company's potential by influencing its innovativeness, organizational efficiency, and, particularly, its commercialization strategy."<sup>7</sup> Lerner gives an example for researches on venture capital conducted on the American market. Not only the quantitative dimensions of the investments present interest, but also the industries, respectively, the businesses, in which investments are made. In spite of the relatively limited amount of financing from venture funds, the latter have provided start-up capital to many companies in sectors such as the bio-technological, computer and Internet industries. In some cases, the portfolio companies have become market leaders. In other cases, they have been bought out by large corporations, or have signed license agreements with them.

The author presents evidence that over the last two decades in the USA, one third of the companies with initial public offering on the capital markets have been funded with venture capital.

In the bio-technological industry, for example, venture capitalists have provided a relatively small part of the external funding, and only 450 out of 1500 companies received capital of this kind in 1995. Though, few in number, those companies registered more than 85% of the patents in the sector, and of the medicines allowed for sale. Such a trend at that time was also present in the information technology industry, where 60% of the companies were funded with venture capital. The market capitalization of the companies funded with risk investments was more than 35% of the total market capitalization of the American companies over the last two decades of the 20<sup>th</sup> century.<sup>8</sup>

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6 Bottazzi L., Da Rin M., "Venture capital in Europe and the financing of innovative companies", *Economic Policy* 2002, Vol. 17, Issue 34.; Kortum S. Lerner J., "Assessing the contribution of venture capital to innovations", *Rand Journal of Economics* 2000, Vol. 31, No.4.

7 Da Rin M., Penas M.F., *The Effects of Venture Capital on Innovation Strategy*, NBER Working Paper Series, 2007, Working Paper 13636., стр. 5

8 Lerner J., "Small business, innovation, and public policy in the information technology industry", [in:] E. Brynjolfsson, B. Kohin (eds.), *Understanding the Digital Economy. Data, Tools, and Research*, 2000, <http://s1.downloadmienphi.net/file/downloadfile6/148/1382193.pdf> (04.04.2017)

Private equity now finances everything – from early and mid-stage start-ups, to the purchase of both public and private small to large firms.<sup>9</sup>

The tendencies described in the brief historical review above are preserved until now. The venture capital market over the recent years has developed and grown in terms of value and size.

The investments in venture capital in the USA for 2015 reached 59,1 billion USD, which is the highest amount for the period after the year 2000, which was marked by a boom in that respect, ranking it second in size. The startup companies and the companies in their early stage of development attracted 51% of all the transactions of funding with venture capital, where 1444 companies received such funding for the first time throughout their existence. Over the year, the software industry received investment in the size of 40% of the total amount.<sup>10</sup>

The investments in share capital in the European companies grew by 14% in 2015 compared to 2014, reaching 47,4 billion Euros. The number of the companies, which received funding in 2015 was 5000, where 86% of them were SMEs.

Venture capital investment grew by 5% compared to the previous year, reaching 3,8 billion Euros. The investment amount was higher at all stages of funding the activities, where the highest share of investments was in the pre-startup stage – 18% of the total amount.

Venture capital funding was received by 2800 companies - 12% less than the year before. Venture capital raising in investment funds increased by 8%, reaching 5,3 billion Euros, which has been the highest level recorded since 2008.<sup>11</sup>

Although underrepresented, there is demand for share capital in Bulgaria among all the categories of SMEs. There is evident need for that in the segment from 1 to 5 million Euros for investment. Nevertheless, there was hardly any venture capital supply in our country over the past several years, particularly for small size investments up to 5 million Euros, which was largely due to the structural restrictions of the financial sector and the volatile business environment in the Bulgaria.

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9 Gilligan, J., Wright, M. *Private Equity Demystified – An Explanatory Guide*, ICAEW [www.icaew.com/corpfinfac](http://www.icaew.com/corpfinfac)., cited in Zimmerman, Jerold L., *The Role of Accounting in the 21st Century Firm* (January 2, 2015). Available at SSRN: <https://ssrn.com/abstract=2544697> or <http://dx.doi.org/10.2139/ssrn.2544697>, p. 12.

10 2016 European Private Equity Activity

11 2015 European Private Equity Activity, p. 4

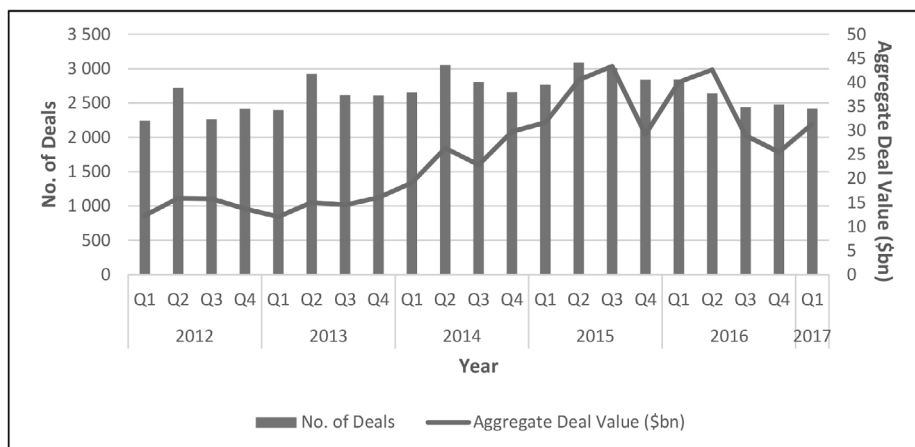


There are two measures envisaged under the Operational Programme “Innovations and Competitiveness” 2014-2020 in respect to the necessity of funding the innovative entrepreneurship in Bulgaria:

- share and quasi-share investment providing start-up capital;
- share and quasi-share investment providing capital for startup businesses and businesses in their early stage of development.<sup>12</sup>
- 

In 2016, the Fund of the funds developed the programme “Investment approach concerning the financial instruments for share and quasi-share funding within the scope of OPIC”, which strengthened the concrete measures undertaken in those two directions. There are four funds envisaged for share investment, venture capital and mezzanine financing. The focus is on innovations and the research and development of the newly established businesses with the purpose of pre-startup and startup funding of SMEs.

Currently, the volume of the venture capital transactions can be expressed with the following diagram, illustrating its dynamics for the period of the first quarter of 2012 until the first quarter of 2017:



**Fig. 1.** Global deals with venture capital in quarters (first quarter of 2012 until the first quarter of 2017) source: Preqin

<sup>12</sup> **Share and quasi-share investment providing startup capital:** the activities will be performed with a share instrument (eg., fund for initial financing), which combines two complementary components: acceleration component, which provides initial funding, complimented with mentorship, where this stage is completed with a finalized product concept, a prototype or a beta version; initial funding component, which provides funding to businesses successfully gone through acceleration, as well as to other startup businesses

## 5. Conclusion

Some general conclusions can be drawn from the provided data:

- the private equity market including venture capital in the USA is much more developed than the one in Europe. Still, the USA is the birthplace of PE investments. In a historical aspect, that is understandable since in the Anglo-Saxon economies the shareholding principle has a leading role in business funding, which is also expressed in share investment.
- There are considerable efforts applied in Europe for its development, including on the community level. There is a tendency towards increasing the investment in innovative business projects and startups – mostly small and micro businesses. So far, the amounts of share investment as a category of assets are relatively low, however, there is a trend towards growth. Traditionally, in the continental European countries, the direct participation in the capital of the business, which is an expression of the shareholding principle, is a less developed form of funding. From a historical development aspect, the priority in those countries is on attracting capital through bank loans.
- The share capital market in Bulgaria is in the beginning of its real development now, and, therefore, recycled funds under the JEREMIE programme are used, which are then returned back to the economy. The established fund for technological transfer is an evidence for the priority financing of small businesses from the traditionally innovative branches.

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## **Evaluation of the financial safety level in Ukraine: modern aspects of methodic's adaptation to the conditions of military-political state**

### **Оценка уровня финансовой безопасности в Украина: современные аспекты адаптации методики к условиям военно-политического государства**

**Summary:** Problems, questions, dangers for financial safety a real ways actual because unreasoned politic in the financial sphere cause collapses at the macro economical level.

Influence of military-political instability at financial state safety has special consequences, that is why the methodic of financial safety calculations should be adapted to modern conditions.

Every component of financial safety have factors of war influence, which anyway in conclusion will correlate the integral index of financial safety.

The active methodical approaches for calculation and analyzing the financial safety of Ukraine consider key aspects of financial sphere. Every of the elements of financial security in modern circumstances face the influence of military events factors. That is why Methodical recommendations need an adaptation to the considered circumstances by providing additional indicators, connected with military conditions

**Keywords:** financial safety, military-political instability, financial safety indicators.

**Резюме:**

Проблемы, вопросы, угрозы финансовой безопасности всегда актуальны, поскольку непродуманная политика в этой сфере приводят к коллапсов на макроэкономическом уровне.

Влияние военно-политической нестабильности на финансовую безопасность государства имеет особые последствия, поэтому методику расчета финансовой безопасности следует адаптировать к современным условиям.

Каждая составляющая финансовой безопасности имеет факторы влияния войны, которые так или иначе в конечном итоге корректировать интегральный показатель финансовой безопасности.

Действующие методические подходы к расчету и анализу финансовой безопасности в Украине учитывают ключевые аспекты финансовой сферы и нуждаются в адаптации к военным условиям путем введения дополнительных индикаторов, связанных с военными условиями.

**Ключевые слова:** финансовая безопасность, военно-политическая нестабильность, индикаторы финансовой безопасности.

## Approaches to the structure of state financial safety

Problems, questions, dangers for financial safety are always actual – as for any country in the world, so also for every household, economical subject, region, and also on the global level. Unreasoned fiscal, money-credit politics, imperfection of institutional providing in the financial sphere cause collapses at the macro economical level, which sure causes huge financial problems for all the economical subjects – of state and private sector. These explanations particularly acute the actuality in conditions of the military-political instability, which concerns not only people losses but also undermine state financial stability.

Influence of military-political instability at financial state safety has special consequences and cannot be ignored by any conditions, that is why the methodic of financial safety calculations should be adapted to modern conditions.

A serious amount of foreign fundamental scientific works has been devoted to the problem of state financial safety, such as L. Abalkin, D. Bolduin, Y. Jang, H. Nesadurai, D. Nanto, S. Ronis, V. Senchagov, E. Fedorova, V. Chengi and others. In Ukrainian scientific sphere the serious contribution has been made by: I. F. Binio, Z. S. Varnaliy, N. V. Vynnychenko, O. A. Grytsenko, B. V. Gubskiy, S. M. Diachek, O. M. Yesmanov, M. M. Yermoshenko, Y. A. Jalilo, V. V. Kuzmenko, O. D. Ladiuk, Y. O. Legenchuk, V. M. Myronchuk, V. I. Muntiyani, Y. M. Panochyshyn, G. A. Pasternak-Taranushenko, V. A. Predborskiy, A. I. Sukhorukov, V. I. Shlemko, N. M. Yatsenko and others. Cardinal change of economic, political, social conditions in Ukraine because of the influence of military events causes necessity of approaches revision so that methods of economical safety level calculations and particularly financial safety must be used. These questions are not enough studied in modern scientific schools of financial safety.

The aim of this article is to analyze active methods of state financial safety level calculations in order to adapt their indexes to actual economical circumstances in Ukraine.

Basing on the experience of Great Depression, J. M. Canes showed that if reaching the equality of general expenses and the industrial level volume, we see the economical equilibrium. The support of economical equilibrium strongly depends on the financial sector state. So financial safety observance is one of the prerequisites for the equilibrium achievement.

Indicators of the financial safety are composed of: budget, money-credit, foreign exchange, debt, safety of non-banking financial market, banking, which is stated in the Methodical recommendations about calculations of the Ukrainian economical safety level<sup>1</sup>.

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<sup>1</sup> *About approving of Methodical recommendations about the economical safety level calculation of Ukraine: order of Ministry of economical development and trades of Ukraine*, October, 29, year 2013 N 1277 [Electronic resource]. – Access mode: [http://cct.com.ua/2013/29.10.2013\\_1277.htm](http://cct.com.ua/2013/29.10.2013_1277.htm)

As we see in the table 1, all the depicted approaches select budget, foreign exchange, money-credit safety. The investigators Senchagov V. K.<sup>2</sup>, Yatsenko N. M.<sup>3</sup> separate banking safety as structural element. In Methodical recommendations about calculations of the Ukrainian economical safety level<sup>4</sup> there is separately depicted debt safety (protection of inner and outer debt). Yatsenko N. M. also outlines outer economical safety, and Senchagov V. K. – safety of non-budget funds.

**Table 1**

*Approaches to the structure of state financial safety*

	Methodical recommendations of state safety level calculations (2013) <sup>1</sup>	Yatsenko N. M. <sup>3</sup>	Senchagov V. K. <sup>2</sup>	Yermoshenko M. M. <sup>1</sup>	Baranovskiy O.I. <sup>2</sup>	Author's point of view
Budget	+	+	+	+	+	+
Currency	+	+	+		+	+
Banking	+	+	+	+	+	
Money-credit	+	+	+	+		+
Debt	+			+		+
Safety of fund market		+		+	+	
Safety of non-banking financial market	+				+	+
Outer economics		+				+
Safety of non budget funds			+			

2 *Ekonomicheskaya bezopasnost' Rossyy. Obshchyy kurs [Economic safety of Ukraine. General course]* / by edition of V. K. Senchagov. – M.: Delo, 2005, p. 896.  
 3 N.M. Yatsenko, *Ponyattya ta struktura finansovoyi bezpeky [The concept and structure of financial safety]* / N. M. Yatsenko // *Економічний простір*. – 2008. – №12, p. 170-174.  
 4 *About approving of Methodical recommendations about the economical safety level calculation of Ukraine: order of Ministry of economical development and trades of Ukraine*, October, 29, year 2013 N 1277 [Electronic resource]. – Access mode: [http://cct.com.ua/2013/29.10.2013\\_1277.htm](http://cct.com.ua/2013/29.10.2013_1277.htm)

From our point of view, banking safety is an element of money-credit one. According to the list of banking safety indicators (part of overdue credit debt in the general volume of credits for Ukrainian residents, ratio of banking credits and deposits in a foreign currency, part of foreign capital in the status bank capital etc.), this element might be fully integrated to the money-credit safety with the further union of weight coefficients.

Every element has a serious importance and needs separate investigations. But these investigations must be conducted systematically, including studying of influences between the elements of financial safety and also between the other elements of national safety. In modern global environment these questions become more actual.

S. M. Diachek, Y. O. Legnchuk<sup>5</sup>, Myronchuk V. M. and Panochyshyn Y. M.<sup>6</sup> say that the most serious disadvantage of financial safety level evaluation is ignoring such element as tax safety. This author's point of view can be fully explained by the fact that tax politics as far as budget one (politics of state wastes) is a part of fiscal macro economic politics. So ignoring the influence of tax tools somehow twists the meaning of total financial safety indicator.

## Influence of military factors on the financial state safety

In the conditions of modern military-political situation in Ukraine, we find necessary to adapt this methodic to determining weak points in economical safety in general due to military events.

Every element of financial safety has war influence factors which anyway correlate the integral index of financial safety. These indexes are illustrated on the pic. 1. Pic. 1. Influence of military factors on the financial state safety

From the authors' point of view we should add indicators which shall be formed on the basis of military safety influence determining the critical data to the Methodic of calculations. This is very actual in modern circumstances for Ukraine, when aggressive state is identified. For the preventive aims there should be used such factors for another countries which have the closest economical connections to find out possible economical depending.

5 S.M. Diachek, Y.O. Legnchuk, *Otsinka rivnya finansovoyi bezpeky derzhavy: problem ta shlyakhy vyrishennya* [Evaluating of the financial state safety level: problems and ways to cope with them] // Magazine of JSTU. 2013. № 2 (64), p. 219-226

6 V.M. Myronchuk, *Otsinka rivnya finansovoyi bezpeky v Ukrayini* [Evaluating of the financial safety level in Ukraine] [Text] / V. M. Myronchuk, Y. M. Panochyshyn // Scientific magazine of Uzhgorod national university: Serie: Internatinal economical relations and world economics / main editor M. M. Palinchak. – Uzhgorod : Publishing house «Helvetika», 2017 – Ed. 13, p. 2, 31–34.

## Conclusions. 1.

The active methodical approaches for calculation and analyzing the financial safety of Ukraine consider key aspects of financial sphere in key of budget, money-credit, currency, debt and banking safety and also safety of non banking financial market.

2. There are different approaches to structuring financial security in world science and practice. The authors support positions on separation of tax safety with an appropriate set of indicators, as well as a combination of banking and monetary security to form an adequate set of indicators that ultimately will determine the integral level of financial security.

3. Every of these elements in modern circumstances face the influence of Eastern Ukraine military events factors. That is why Methodical recommendations need an adaptation to the considered circumstances by providing additional indicators, connected with military conditions. Among these factors, the authors allocated expenditures for armed forces maintainance, aggressor state exchange rate expenditures, volume of money mass of the aggressor-state in national economics, part of the aggressor-state capital in the banking capital structure, volume of financial resources export to the aggressor-state, volume of outer debt for the aggressor-state, the part of aggressor-state capital in the insurance companies capital etc.

4. Based on certain factors, the Methodical recommendations of state safety level calculations in terms of financial security should be accompanied by appropriate indicators that take into account the impact of the military-political situation, which will be the subject of further scientific research by the authors.

## Literature

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**Diachek S. M., Legenchuk Y. O.** *Otsinka rivnya finansovoyi bezpeky derzhavy: problem ta shlyakhy vyrishennya* [Evaluating of the financial state safety level: problems and ways to cope with them] // Magazine of JSTU. 2013. № 2 (64).

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(Footnotes)

- 1 M.M.Yermoshenko, *Finansova bezpeka derzhavy* [Financial state safety] / M. M. Yermoshenko. K.: 2001, p. 350.
- 2 O.I. Baranovskyi, *Finansova bezpeka v Ukrayini (metodolohiya otsinky ta mekhanizmy zabezpechennya)* [Financial safety in Ukraine (methods of evaluating and providing mechanisms)] :monography / O. I. Baranovskyi. – K. : KNEY, 2004, p. 759.

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## Supply chain management in aspect of security - literature review

## Управление цепочками поставок в аспекте безопасности - обзор литературы

### Summary

Forced to look for new ways leading to business success, modern corporations more and more frequently perceive the potential in logistics and marketing customer service processes in the management of supply chains, as well as in customers' satisfaction and loyalty. The article presents integration of processes and optimization of value added by all links in the supply chain to a product made for the final customer, a new model of cooperation allows the achievement of a high degree of effectiveness of all activities in the chain, ensuring simultaneously a considerable external efficiency of corporations making up the chain.

Keywords: supply chain, management, product, security

### Резюме:

Вынужденные искать новые пути, ведущие к успеху в бизнесе, современные корпорации все чаще принимают потенциал в области логистики и процессов обслуживания клиентов, маркетинга в управлении цепочками поставок, а также в удовлетворенности и лояльности клиентов. В статье представлена интеграция процессов и оптимизация добавленной стоимости всеми связями в цепочке поставок к продукту, сделанному для конечного потребителя, новая модель сотрудничества позволяет достичь высокой степени эффективности всех видов деятельности в цепочке, обеспечивая одновременно значительную внешнюю эффективность корпораций, входящих в цепочку.

Ключевые слова: цепочка поставок, управление, продукт, безопасность

## The origin and interpretation of the category of a supply chain

The concept of supply chain management has developed as an alternative to a traditional way of perceiving relations between suppliers and recipients as constant antagonisms and attempts to take advantage of one's bargaining power. The source of theoretical and methodological foundations for this management idea was the results of research into distribution channels, cooperation between companies and system integration, which started to be published as early as the 1960s. Academics dealing with supply chain management sometimes even refer to publications from the end of the 1950s, and especially to articles by J. Forrester, who, studying flows of goods and information between suppliers and recipients, identified the problems of excessive inventories in suppliers resulting from a gradual increase in the number of distortions in information on slight changes in demand parallel to a growing distance from sale markets; this phenomenon was described as the "bullwhip effect"<sup>1</sup>.

Similarly, W. Anderson formulated the principles of and explained the advantages resulting from the maximum delay in the provision of services and the allocation of supplies to particular levels in distribution channels as a means of reducing risks related to customers' changing behaviour. At the end of the 1950s, the first analytical model of the allocation and control of supplies in organizations making up production and distribution networks was developed. Examining the possibilities of optimizing the costs of supplies and increased sales income as a function of the time of delivery, the author of the model, F. Hansmann, proposed the use of solutions based on dynamic programming. However, it does not change the fact that the term "supply chain management" appeared for the first time in professional literature only in 1982, and originally it was associated with the reduction of inventories within a company and its partners. R. Oliver and M. Weber<sup>2</sup> are credited with coining this term.

Nowadays the notion of a "supply chain" is one of the most important logistic and marketing terms, and professional literature presents its numerous definitions. Besides, there has appeared a certain number of terms used interchangeably with "supply chain" and identifying a supply chain with a logistic chain<sup>3</sup>, a chain of supply, a homogeneous demand stream, virtual corporation or a broadened enterprise. In the light of the above, I believe it is necessary

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1 J. Forrester, *Industrial Dynamics. A Major Breakthrough for Decision Makers*. In: Harvard Business Review, No. 7-8, 1958.

2 M.C. Cooper, D.M. Lambert, J.D. Pagh, *Supply Chain Management: More Than a New Name for Logistics* In: International Journal of Logistics Management, vol 8, No.1.1997.

3 I. Wasilewska-Marszałkowska, *Spedycja we współczesnych łańcuchach dostaw*, CeDeWu, Warszawa 2014.

to carry out a clearer systematics of these notions. The term corresponding to the meaning of a supply chain is a chain of supply, which puts stress on the subjective perspective, and the difference - as I believe - results from a simple loan translation from the English language (*supply chain*). And a logistic chain, which puts stress on the objective perspective, is a warehouse and transportation chain which constitutes a technological connection between warehousing and reloading points by means of roads on which goods are moved, as well as the organizational and financial coordination of the processes of ordering and the inventory policy in all links of the chain<sup>4</sup>. The term “broadened enterprise” puts stress on close partnership relations between entities making up such a “broadened” enterprise and the flow of logistic streams going beyond the legal limits of an individual enterprise. The term “homogeneous demand stream” has been introduced for the purpose of the reengineering of processes in a supply chain which consists in the coordination and simplification of the processes of the flow of logistic streams between entities making up a given chain. “Virtual corporation” emphasizes connections between entities included in such a corporation by means of information technologies and the fact that they share common risks and the market. The interpretations mentioned above have a complementary character: they do not diversify the gist of logistics or market orientation, but represent different methodological and instrumental approaches, stressing in each case their integrative character. Thus, authors interpreting supply chains from the perspective of logistics are, as a general rule, aware that cooperating enterprises perform tasks going beyond logistic functions (e.g. marketing ones), stressing, however, their key importance.

J. Witkowski defines “supply chain” as businesses cooperating in various functional areas and their customers among whom flow streams of goods, information and financial resources<sup>5</sup>. S. Abt understands “supply chain” as activity related to the flow of material (goods) from its original source through all intermediate forms to the final form in which it is consumed by the final customer. K. Rutkowski claims that the essence of a supply chain is the achievement, thanks to integration and coordination, of a high degree of effectiveness of particular enterprises and of their network as a whole, as well as the optimization of value added by all links of the chain to the product expected by the customer<sup>6</sup>. According to M. Christopher, a supply chain is a network of mutually related organizations involved in various processes and activities, whose objective is supplying the final customer with a full range of products

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<sup>4</sup> E. Golembaska, *Kompendium wiedzy o logistyce (A Compendium of Knowledge of Logistics)*, Wydawnictwo Naukowe PWN, Warszawa-Poznań 2001, p. 19.

<sup>5</sup> J. Witkowski, *Zarządzanie łańcuchem dostaw (Managing a Supply Chain)*, PWE, Warszawa 2003, p. 17.

<sup>6</sup> K. Rutkowski, *Producent i detalista w zintegrowanym łańcuchu dostaw (The producer and the retailer in the integrated chain supply)*. In: Romanowska M., Trocki M. (eds) *Przedsiębiorstwo partnerskie*, Warszawa: Difin, 2002, p. 59.

and services. The integrative character is stressed by H. Pfohl<sup>7</sup>, who defines it as a close cooperation among enterprises in a logistic channel: from the producer of raw materials to the final customer. D. Kisperska-Moron<sup>8</sup> presents a more comprehensive definition based on both the integrative and effective characters. She believes that a supply chain is a group of related companies belonging to the same logistic channel, closely coordinating their efforts oriented towards the improvement of efficiency and competitiveness of the product on which a particular logistic channel is based.

Analyzing the essence of supply chains, one may not disregard the fact that in recent years this term has been often substituted with the notion of “supply network”. In its pure form, the idea of establishing economic networks consists in competition and formal or informal cooperation among many companies characterized by considerable mutual trust and the absence of the relations of subordination. The notion of “supply network” is broader than traditionally interpreted supply chains, where flows are coordinated centrally and the dominant entity initiates the vertical integration of suppliers and recipients. According to the network theory, supply chains understood in this way can be considered as particular cases of a network consisting of the central and peripheral parts. However, accepting J. Jarillo’s argumentation and being aware of the still modest theoretical foundations for network organizations, many authors make the assumption that both terms can be used interchangeably. An additional argument justifying the possibility of accepting the identity of these notions is a frequently quoted definition of a supply chain by M. Christopher or R. Lummus and K. Albert, who claim that it is a network of mutually related entities carrying out various processes, whose objective is supplying the recipient with a full range of products and services<sup>9</sup>.

## Selected definitions of supply chain management and their interpretation

Similarly to the interpretation of the notion of “supply chain”, there is some confusion with respect to the definition of “supply chain management”, because sometimes management is directly identified with logistic management. Some authors add directly that “for many people, the current meaning of SCM is slightly different from integrated logistic management, irrespective

<sup>7</sup> Pułapki i problem przy optymalizacji procesów logistycznych, Nr 12 listopad 2017 [w:] „Logistyka i łańcuch Dostaw”, Warszawa 2017.

<sup>8</sup> D. Kisperska-Moroni, *Wpływ tendencji integracyjnych na rozwój zarządzania logistycznego (The influence of integration trends on the development of logistics management)*, Katowice: A. E im. K. Adamieckiego w Katowicach, wydanie II 2000, p. 187.

<sup>9</sup> R. Lummus, K. Albert, *Supply Chain Management: Balancing the Supply Chain with Customer Demand*, The Educational and Resource Foundation of APICS, Falls Church, VA 1997, p. 19.

of how broadly logistics is defined”, or they write that differences between the characteristics of logistic management and those of SMC described by authors are mostly unclear.

More and more frequently the literature on this subject presents the thesis that “supply chain management is the most accurate reflection of the integrated form of management”<sup>10</sup>. However, this opinion is accompanied by some doubts resulting from the fact that integration can be achieved in a supply chain, while frequently there is no understanding of a company’s key processes. The Global Supply Chain Forum distinguishes eight basic processes which make up the structure of supply chain management, *i.e.* managing relations with customers, managing supply processes, managing customer service, managing demand, supplementing orders, managing production flow, managing returns, developing and commercializing products. This structure clearly defines the area of research for SCM, where integrated logistic and marketing processes acquire primary importance.

In the cult article entitled “Supply chain management is more than a new name for logistics”<sup>11</sup>, the title itself implies the factual scope of research, because according to its authors “there is a decisive need to join business processes in supply chains, which goes beyond logistics”. They add at the same time that the development of a new product and marketing research connected with it are probably the clearest example for this. R. Novack, L. Rinehart and M. Wells write about the necessity for “the integration of logistic functions in the whole company by combining the areas of production, warehousing, transport, physical distribution, as well as marketing and purchasing”<sup>12</sup>. The literature on this subject presents also ideas according to which “supply chain management, which so far has been dominated by logistic thinking limited to the management of the streams of product supplies and information accompanying such streams, should be synchronized to a greater degree than ever before with the marketing concept of demand stream management”. L. Giunipero and R. Brand claim that SCM is a tool of the strategic management of business processes as a result of progress in logistics and product development in the areas of marketing and customer service. Obviously, such processes require appropriate integration<sup>13</sup>, the more so that, as M. Christopher suggests, “true competition is not businesses fighting with each

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<sup>10</sup> L. Croxton, S.J. Garcia-Dastugue., D.M. Lambert, D. Rogers, *The Supply Chain Management: Processes*. In: International Journal of Logistics Management, vol. 12. 2001, p. 13.

<sup>11</sup> *Technologie mobilne w logistyce i zarządzaniu łańcuchem dostaw*, opracowanie zbiorowe, PWN, Warszawa 2017.

<sup>12</sup> R. Novack, L. Rinehart, M. Wells, *Rethinking Concept Foundations in Logistics Management*. In: Journal of Business Logistics, vol. 13. No.2, 1992, p. 233.

<sup>13</sup> L. Giunipero, R. Brand, *Purchasing’s Role in Supply Chain Management*. In: International Journal of Logistics Management, vol. 7, No.1, 2003, p. 23.

other, but a supply chain fighting with another supply chain". Other authors<sup>14</sup> write that supply chain management is not another name for logistics but a broader perception of processes including also an integrated information system and coordinated activities related to offering of products constituting a certain value for customers. Ch. Chandra and S. Kumar add that the essence of integration within SCM is the creation of a value chain with respect to the ability to forecast demand; while J. Johnson and D.F. Wood write simply that "supply chain management is a little bit more than logistics"<sup>15</sup>.

A very interesting view on this problem was presented by J. Stock<sup>16</sup>. In his article, he refers to the historic paper by T. Levitt entitled "Marketing Myopia", which exerted an enormous influence on the theory and practice of business. The philosophy and point of view presented by Levitt seem to have influenced and to be influencing logistics in spite of the fact that it was written over 40 years ago. The leading idea in Stock's paper is the thesis that "in some cases researchers have adopted a myopic point of view with respect to the perception of logistics which consists in the fact that in spite of concentrating on customer service, its factual field is still too much oriented towards the product". The author proposes a so-called "long-sighted point of view on logistics as an important process within supply chain management which, among others together with marketing processes, may bring about cost savings and competitive advantage. He adds that logistics and other functional areas in a company, including marketing, should be a "strategic ally" to supply chain management. He writes also that "the relation between logistics and marketing within a supply chain may be and should be, thanks to integration processes occurring within it, much deeper and the current state of affairs creates considerable opportunities for researchers", because the majority of work is limited to the specific parts of logistics such as, for example, transport, or the elements of the marketing-mix such as, for example, distribution. The author concludes that supply chain management comprising a wide spectrum of processes, among others logistic, marketing, production, financial and accounting processes, concentrates on providing the customer with the best value and encouraging him to look at the flow of a product from its source to the final consumer from a global cost's point of view. S. Fawcett and G. Magnan<sup>17</sup> write that "there are two critical situations influencing the success of SCM, *i.e.* the proper design of logistic and marketing processes as well as their integration within a supply chain. Hence,

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<sup>14</sup> R. Lummus, D. Krumwiede, R. Vokurka, *The relationship of logistics to supply management: developing a common industry definition*. In: Industrial Management & Data Systems. vol. Hll, No.8, 2001, p. 426.

<sup>15</sup> J. Johnson, D.F. Wood, *Contemporary Logistics, 6th ed*, Prentice-Hall, Upper Saddle River, NJ. 2000.

<sup>16</sup> J. Stock, *Marketing myopia revisited: lessons for logistics*. In: International Journal of Physical Distribution & Logistics Management, vol. 32. 2002, p. 12.

<sup>17</sup> S. Fawcett, G. Magnan, *The rhetoric and reality supply chain integration*. In: International Journal of Physical Distribution & Logistics Management, vol.32, No.5, 2002, p. 339.

contemporary researchers and practitioners have a chance to become pioneers in overcoming barriers between the modern, integrated image of logistics or marketing and the traditional, dispersed one, within the framework of SCM. It is J. Stock's approach to the essence of logistic and marketing processes of customer service in supply chain management that the author of this paper agrees with, which seems to be confirmed by the analysis so far.

At this point another interpretation of SCM should be presented. It was formulated by Dick Back, the head of the trade union of British logistic specialists, at one of a series of international conferences organized by PTL Polska in Poznan. He said that supply chain management is an activity integration process starting with the identification of the customer's preferences and finishing with the acquisition of materials that could satisfy such demand. He purposefully emphasized the importance of consumers' decisions with regard to the development of a supply chain and consciously reversed the classically interpreted order of links in a supply chain.

The interpretations of SCM presented above could be called an "integrative school" concentrating its factual attention on the integration of a supply chain's areas into a system defined as a set of processes whose objective is the creation of the possibly greatest advantages for the chain in order to multiply value<sup>18</sup>. Irrespective of the characterized differences in the definitions of supply chain management, its participants need to develop and accept the basic principles of its functioning and development. In the determination of such principles, the following criteria are of special importance:

- openness and trust, required while providing the participants of the chain with data concerning demand, sales forecast, production and order schedules, as well as other information related to the physical flow of goods and customers' behavior,
- strategic cooperation, *i.e.* the common planning and execution of logistic and marketing processes in the chain with the determination of the place and function of its particular links, the processes of production, customer service and tasks related to promotional campaigns,
- mutuality, *i.e.* agreeing upon the share of risk and possible profits resulting from undertaking joint ventures, rejecting the practices of dumping inventory maintenance costs on suppliers or recipients, monitoring and optimizing the levels of inventories along the whole chain,
- control, especially with regard to the elimination of doubled and non-coordinated decisions related to the manufacture of products, transportation and warehousing activities as well as order processing.

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<sup>18</sup> D. Kisperska-Moron, *op. cit.*, p. 107.



Approval for the above principles of supply chain management should facilitate the settlement of disputes among suppliers, recipients and service companies. Their implementation may constitute a counterbalance for the source of such conflicts as competitive goals, the imbalance of bargaining power or decisions made on the basis of contradictory information.

As M. Christopher points out, four basic elements make supply chain management different from classical flow management. Firstly, a supply chain is perceived as a distinguished whole. Secondly, it requires strategic decision making. Supply becomes here the objective of practically all links in the chain, and its strategic significance results from the influence on the total cost of supply and a market share. Thirdly, supply chain management adopts a new view of inventories which become a mechanism balancing the supply system. And finally, supply chain management requires a special approach to systems; integration, and not just making contact points meet becomes a key activity<sup>19</sup>.

## Supply chain security management (SCSM)

The events of September 11, 2001 heightened the awareness of supply chain professionals to the threat of man-made disasters on the security of supply chains. According to institutional theory, the environment in which an organization operates creates pressures (normative, coercive, and mimetic) to adopt “institutionalized” norms and practices in order to be perceived as “legitimate.”

In the aftermath of the terrorist attacks of September 11, 2001 (9/11 hereafter), the way that organizations conduct business activities both within and between themselves was altered as public and private entities began creating new requirements for business operations. Specifically, the way firms share and physically distribute goods became a key area of interest to ensure the security of supply chain partners and ultimately, society in general. Furthermore, the Department of Homeland Security (DHS) announced that securing the supply chain is part of the overall strategy for national security, thus placing additional expectations on organizations. Collectively, the activities that protect supply chains from damage, terrorism, and contraband have become known as supply chain security (SCS)<sup>20</sup>.

Many operations management principles and methods, such as project management and optimization techniques like linear programming, have their roots in military and government-related activities. Owing to lack of supply alternatives during crisis times, the inventory management principles used in military and

<sup>19</sup> W. Kramarz, *Modelowanie przepływów materiałowych w sieciowych łańcuchach dostaw. Odporność sieciowego łańcucha dostaw wyrobów hutniczych*, Difin, Warszawa 2013.

<sup>20</sup> Z. Williams, J.E. Lueg, R.D. Taylor, R.C. Cook, *Why all the changes?* International Journal of Physical Distribution & Logistics Management Vol. 39, No. 7, 2009.

government organizations are based on “just in case” philosophies, but supply chains today have moved far from this philosophy. Over the last three decades, the economic emphasis on speed and efficiency has caused members of supply chains to adopt concepts like “just in time,” “build to order,” and “vendor managed inventories.” As a result, supply chains today have become leaner and more profitable since the capital previously locked in inventory is instead available for other profitable activities. At the same time, supply chains have become more global, resulting in longer lead times. The onset of business trends such as reduction of suppliers, lead time, inventory, and product life cycle, as well as the increased use of outsourcing on long global supply chains, has increased the risks in supply chains, making them more vulnerable to crisis. Crises not only affect the flow of goods in the supply chain, but also have a huge impact on its stockholder wealth.

According to Merriam-Webster, crisis is defined as “an unstable or crucial time or state of affairs in which a decisive change is impending; especially: one with the distinct possibility of a highly undesirable outcome.” In a supply chain, crisis occurs when one or more supply chain members’ activities are interrupted, resulting in a major disruption of the normal flow of goods or services. The magnitude of the effect of a crisis is based on numerous factors and varies with each occurrence. Although crisis in a supply chain is unpredictable, it may not be unexpected. The process of making proactive decisions to avoid the crisis and reactive decisions in overcoming it is called crisis management. The decisions involved in managing crises caused by natural disasters and man-made disasters are well defined by many government and non-profit organizations, such as the International Federations of Red Cross (IFRC). IFRC classifies an event as a disaster if that event is: [...] “a sudden, calamitous event that seriously disrupts the functioning of a community or society and causes human, material, and economic or environmental losses that exceed the community’s or society’s ability to cope using its own resources”<sup>21</sup>.

IFRC has five main categories of disasters: natural (e.g. droughts), hydro meteorological (e.g. floods), technical (e.g. industrial accidents such as chemical explosions, nuclear explosions, and accidental release of some hazardous material), geological (e.g. earthquakes), and human related (e.g. epidemics and population movement).

As mentioned, supply chain management research is increasingly focusing on supply chains in times of crisis. Closs and McGarrell<sup>22</sup>, 8 define supply chain security management (SCSM) as: “The application of policies, procedures, and technology to protect supply chain assets (product, facilities, equipment, information, and personnel) from theft, damage, or terrorism, and to prevent the introduction of unauthorized contraband, people, or weapons of mass destruction into the supply chain.” Recent key topics in supply chain disaster and crisis management-related supply chain strategy and logistics operations include: agility collaboration/networks,

<sup>21</sup> M. Natarajarathinam, I. Capar, A. Narayanan, *Managing supply chains in times of crisis: a review of literature and insights*, International Journal of Physical Distribution & Logistics Management Vol. 39, No. 7, 2009.

<sup>22</sup> D.J. Closs, E.F. McGarrell, *Enhancing Security throughout the Supply Chain*, IBM Center for the Business of Government, Washington, DC, 2004, p. 8.

humanitarian issues, inventory, facility location, and multi-level partner/non-partner integration. These studies have initiated a building of ideas and propositions that need to be explored for the betterment of business and mankind alike. Yet, extant research has no common string or grounding framework from which to draw in order to define the parameters of future studies<sup>23</sup>.

Prior to 9/11, SCS focused primarily on issues like smuggling, stowaways, and theft as opposed to preventing terrorist contraband from entering the supply chain. The change in focus has had a large impact on how organizations manage and approach logistics and supply chain operations. This has resulted in private organizations and public entities working together to prevent man-made supply chain disasters and to ensure the efficient flow of goods and the protection of citizens. In fact, in a survey of global shippers, it was found that security related issues are responsible for applying the most pressure on global supply chains. As a result, research suggests that supply chain executives are worrying more about security than ever before<sup>24</sup> and many are indicating that security is their most dire concern.

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<sup>23</sup> R.G. Jr Richey, *The supply chain crisis and disaster pyramid*, *International Journal of Physical Distribution & Logistics Management* Vol. 39, No. 7, 2009.

<sup>24</sup> S. Kauf, A. Tłuczak, *Gry kooperacyjne w podejmowaniu decyzji logistycznych*, [w:] „Logistyka”, 5/2017 Instytut Logistyki i Magazynowania, Poznań 2017.

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