提供工作績效不彰人員輔導矯正培訓機會，均付之闕如。如此一來，行政機關與訓練機關之間就缺乏共同對話的管道，無法使機關的需求能有效反映至訓練機關，同時考績結果所能傳達出來的資訊，也因此無法獲得充分運用。

　　從各國經驗觀之，美國、英國、日本、新加坡等國均相當重視將考績與培訓結合，特別是針對績效不彰者，透過輔導訓練方式來加以彌補，以發揮人力資源管理的功能。至於我國民間企業也逐漸重視運用考績結果於員工職能訓練、生涯規劃與潛力開發的培育計畫上。由此可見我國未來在思考公務人員考績制度改革與發展公務人員培訓計畫時，應著重將過去考績與培訓脫鉤的現象加以改善，以達到「因材施教」的效果，使受訓者在接受培訓時，更清楚認知其受訓目的與預期目標，而提升受訓者的學習成效，同時進一步將訓練課程內容與受訓者的需要結合在一起，使受訓者回到所屬機關時，能學以致用而提升個人績效，甚至影響其他機關同仁改變工作方法或態度，進而增進組織整體績效。

　　然而，運用考績結果以增進培訓成果的實踐並非一蹴可幾，其有賴幾項條件的配合。首先，考績制度必須加以修改，要求考評者在打考績時，除了應正確反映出受考者的工作績效表現外，更應具體指出受考者所需加強培訓之項目，透過主管之觀察評鑑為部屬訂出未來一年之培訓需求。其次，機關主管在辦理考績工作時，應讓部屬體認將考績與培訓結合的重要性，使部屬明瞭自身的工作表現，將會透過考績過程呈現在主管面前，其可能因績效優良而獲得培訓與陞遷機會，亦可能因績效不彰而必須接受訓練與輔導，甚至因沒有具體改善而遭到淘汰，如此將可形成部屬的學習動機，提升培訓之效果。

　　展望未來，我國首先須加強考績結果的正確性，使考績結果能區辨優劣。如此方能成為其他人力資源管理作業的依據。其次，應改善目前考績制度不重視培訓功能的問題，使考績結果與培訓作業做出有效的結合，以便提昇培訓的實際成果，並幫助受訓者有更強烈的動機接受培訓，強化培訓功能，落實獎優汰劣的功能。
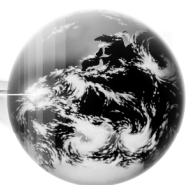
Comments for paper titled "A Look at Strategic Performance Management and Performance Rating Policies" by Dr. Jan Chung Yuang

Dr. Chilik Yu

Vice President, Shih Hsin University, R.O.C.

In his important paper, *A Look at Strategic Performance Management and Performance Rating Policies*, Examination Yuan member, Jan Chung Yuang, succinctly points out both the urgency and necessity of reform within our performance appraisal system for civil servants. Numerous academic studies similarly have echoed Mr. Jan's work calling for performance appraisal reform. On this topic, Professor Chen Chi-wei of Tamkang University and I have also written several papers concerning reform within Taiwan's performance appraisal system. Today, however, our discussion will be limited to the question of how to strengthen performance appraisal mechanisms so as to better fulfill their function of identifying areas of potential, or "weak links" within the workforce. Our discussion will start with a look into the relationship between training curriculum and performance appraisal. At the end of today's talk, we welcome any questions or opinions from our audience—many who come here today with a deep understanding of the many issues surrounding this topic.

Training programs play an important part in the efficient management of human resources. Through the planning and implementation of training programs, the quality of human resources and work can be effectively improved, while administrative mistakes and oversights can be reduced to a minimum. However, in order to reach training goals, both government agencies and training institutions need to first pinpoint those employees in need of training, as well as explore various course curriculum designs that can accurately reflect the needs of those chosen for training. In fact, it is precisely within these two areas that the crux of how to raise training effectiveness lies.

Generally speaking, civil servant training can be divided into pre-job training and on-the-job training. The former emphasizes the acquisition of knowledge and technical skills of a more general quality, with a major goal being the familiarization of new employees with job responsibilities or organizational culture. Not particularly emphasized are differences or specifics of the employing institution or employee. Conversely, on-the-job training is directed towards the particular needs of a government agency or its respective employees. In general, on-the-job training has two basic goals. The first is with regards to those employees whose work performance is seen to be unsatisfactory; here, training is used to provide guidance and knowledge regarded as necessary to the improvement of the employee's workplace attitude and abilities. The second goal of on-the-job training
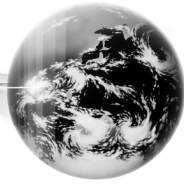
involves those employees with potential. These employees are given a chance to receive advanced training, helping them to enhance their professional knowledge, or learn new leadership and management skills; the focus being to create a pool of talent that can be drawn from when facing future changes and challenges. Underpinning both on-the-job training goals is the use of performance appraisal to pinpoint those eligible—or in need of—training, as well as to design training curriculums that can accurately reflect those needs.

Ideally, the application of performance appraisal results should take into account both administrative functions and developmental functions. Administrative functions deal with administrative management needs, i.e., the completion of organizational duties and assistance with management leadership. Administrative functions include: (1) Promotion, demotion, transfer, dismissal, and other such work related decisions (2) The use of information gleaned from appraisal reports as a basis for decisions regarding bonuses, benefits, and salary adjustments (3) Review of related HR management measures. Developmental functions, on the other hand, are concerned with employee development, and here appraisal results can hopefully be used in the following areas: (1) Definition of training needs (2) Furthering the training of those employees seen as having potential (3) Providing employees with career goal counseling (4) Helping the organization or department foster human resource development. From the perspective of developmental functions, the workings of performance appraisal and training are closely linked; appraisal results serve as a basis for the content of training curriculums leading to the collective achievement of both appraisal and training goals.

However in actual application, our civil service administration does not overly emphasize developmental functions in its use of performance appraisals results, especially with regard to the use of performance appraisal as a means of identifying employees in need of training. As we see it, there are several areas in need of improvement. *The Civil Service Performance Evaluation Act* as is now written, for example, is silent on the issues of employee training, such as offering training opportunities for outstanding employees, or as a means to rectify unsatisfactory work place performance. As the situation stands now, agencies under the Executive Yuan and training agencies lack mutual channels of communication. The result is that training needs of government agencies have trouble being accurately communicated to training agencies and valuable information stemming from performance appraisal results fail to get fully utilized.
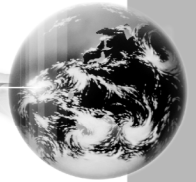
Taking a look at the international community, for example, the US, England, Japan, Singapore, we find that all have taken steps to link up performance appraisal and training; a major point of emphasis being the training of those employees with unsatisfactory work performance so as to ensure that all functions of human resources management are brought into play. Taiwan's private sector, as well, is slowly recognizing the importance of using performance appraisal results in the work place training, career planning, and future development of their employees. What these trends mean for the reform of Taiwan's civil servant assessment mechanisms and the development of civil servant training is a gradual shift in focus towards the question of how to improve the present gap between performance assessment and training. With continued efforts in this direction, training can be better tailored to meet the needs of and abilities of employees, giving employees a clearer idea of the goals and expectations of training programs. This not only leads to a more effective learning environment, but, by integrating individual or departmental goals within the

training curriculum, employees, once back at work, find an immediate use for the training received. This, of course, leads to improvement in individual work performance, but can also be a positive influence on the work duties and attitudes of co-workers, thereby increasing the performance of the group as a whole.

However, using performance evaluation results to improve the applicability of training cannot be done all at once, but instead depends on several factors. First is the need to modify assessment mechanisms, so that those in charge of assessment, in addition to simply noting work performance, are also responsible for making concrete suggestions concerning areas requiring additional training; these assessment and suggestions should then serve as a basis in the definition of departmental training needs for the following year. Second, during the performance appraisal process, mangers or agency heads should make clear to their subordinates the connection between performance assessment and training. Employees should clearly understand that their work performance as seen by the manager or departmental head in the form of performance assessments will serve as an important reference for decisions regarding the future of the employee. For example, outstanding employees will perhaps be slated for advanced training or promotion. Conversely, less than stellar performance appraisals could be lead to additional training, transfer to another department, or—if the employee shows no sign of improvement—dismissal. Clearly understanding the role of performance assessment and training can be an important factor in increasing the motivation and participation of employees when participating in training, thus enhancing the effectiveness of such programs.

Looking to the future, we first need to improve the accuracy of our performance assessment, so that these results can become an important reference tool within HR management and, more specifically, clearly show managers or departmental heads the levels of quality in their workforce. Secondly, we should take steps to address the understated role of employee training within our present system of performance appraisal system. By tying together the loose ends of performance appraisal and training curriculums, training programs will become more practical and useful to employees, which cannot help but be a factor in an increased willingness to attend such programs, the improvement in overall training effectiveness, and in the implementation of steps helping managers identify quality of their employees.

Comments for paper titled "A Look at Strategic Performance Management and Performance Rating Policies" by Dr. Jan Chung Yuang[1]

Dr. Ora-orn Poocharoen
Assistant Professor & Assistant Dean (Student Attairs),
Lee Kuan Yew School of Public Policy
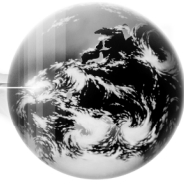National University of Singapore

Introduction

Problems associated with performance management systems for public organizations are as old as public administration itself. It is because of the simple fact that most public organizations do not have a measurable bottom-line that is clear. This is in contrast to private organizations, where performance would be measured simply through monetary profits. However, more so for public organizations, performance information is very important. It helps us make rational public decisions and it can be communicated to the public to uphold accountability.

Rightly stated in the paper, many Western and Anglo-Saxon countries have experimented with a variety of performance management systems since the 1980's, under the New Public Management (NPM) movement. However missing in the paper are some vital reflections on such systems and what governments' must keep in mind before starting the administrative reform process.

In addition, there are different levels of performance management: government-wide level, organizational level, and individual level. Performance indicators can be both process oriented or output and outcome oriented. Performance management system usually refers to large scale systems for the entire public sector. The paper describes this initially. However in the latter part the emphasis is put only on the civil servants' performance evaluation, which is only one part of the performance system. It is important to think in its entirety than piecemeal.

In the following section are some reflections on performance management systems based on current literature and my research in this field.

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[1] This short paper is prepared for "International Conference on Civil Service Governance in Times of Change" Civil Service Development Institute, Taipei, Taiwan. January 9-10, 2010.
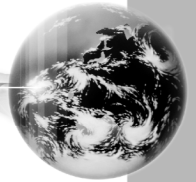
Performance Systems and Politics

Performance management is political in nature. In this section I describe some aspects that illustrate how this is so.

1.1. Performance management can never truly be scientific in the pure natural science sense. The whole system is based on certain values that drive the system. For example it can be the value of efficiency or the values pertaining to democracy, equity and fairness. Whatever the case maybe, there is no one fix formula in determining performance of civil servants that we can have to make us truly 'objective'. If such formula did exist we would be able to determine performance levels by using only computer software. Qualitative information and contexts are important components of performance evaluations. Thus we must accept the fact that any performance evaluation of individuals is considered a 'subjective' exercise. What we should do is design criterions that are logical, that would help us measure the values we want to achieve. Those criterions must be transparent and legitimate to the group of people who will be evaluated. It is up to the person who has the authority to evaluate to use the set criterions consistently throughout the evaluation process. That is what we mean by being 'objective' in performance evaluation. However the process to determine the criterions is inevitably 'political' in nature because it has to do with related actors negotiating on which values to use.[2]

1.2. Another issue that makes performance systems political lies in the decision of who should control the system. Often found are cases of bureaucratic politics between central agencies that are part of the system. They are such as the Treasury or the Bureau of Budget, the Civil Service Commission, and/or an agency that has been set up particularly for administrative reform. Also the decision to centralize performance evaluation processes versus to delegate to respective agencies often create tensions within the bureaucracy. [3]

1.3. Also, once performance is tied to budget, it becomes a political contestation among bureaus to compete by showing that they have met the set targets. In some circumstances it can drive rational actors to corruption of information in order to demonstrate their success. This can occur both at the organizational level and the individual level, especially through usages of performance agreements.[4]

Performance agreements must come with entire new civil service systems that are adaptable to flexible hiring and firing. Discretion must be given to not only high-level management but also mid-level managers as well. Salary scales must be designed to be flexible to accommodate for performance of individuals.

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[2] For a thorough discussion on problems of performance management systems in the U.S. see Radin, Beryl. *Challenging the Performance Movement: Accountability, Complexity, and Democratic Values.* Washington D.C.: Georgetown University Press, 2006.

[3] For discussion on paradoxes of top-down versus bottom-up approaches to performance management in the U.S. see Long, Edward, and Aimeen L. Franklin. "The Paradox of Implementing the Government Performance and Results Act: Top-Down Directions for Bottom-Up Implementation." *Public Administration Review*, May/June 2004: 309-319.

[4] This assumption is based on studies in Thailand conducted by the author in 2006, "Corruption of Performance Information: The Case of Thailand" (Draft)
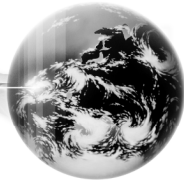
1.4. The budget has constraints depending on national policies, cycle of the economy, external factors such as global economic crisis, natural disasters and many more. So much so that it would not make sense to tie performance of organizations to level of appropriate budget for each year. The determination of budgets must take into account many more factors. Thus in trying to tie individual's performance to bonuses or rewards, we must keep in mind that there will always be ceiling caps. And that the amount might fluctuate up and down each year, rather than continuously rising. This can hamper public employees' motivation since the level of bonuses would not truly reflect their increased level of performance each year. Thus longer term usage of such scheme might be ineffective. The expectation among employees must be made clear from the beginning. Once performance-based compensation fails, it is nearly impossible to build back up trust in the system. Thus the initial stage of implementation is very important. Any misconduct, accusations of corruption or patronage will jeopardize the entire system.[5]

1.5. Another challenge to design and implement performance-based management system is in cases of network or collaborative settings to deliver public service. There are many public goals that require more than one agency to collaborate to reach the goal. Collaboration can be between government agencies and/or private and non-profit sectors. For example in managing national parks, the government might collaborate with private companies or environmental groups to manage certain areas or aspects of service within the park. In such circumstances it becomes very difficult to define performance indicators for individual employees because he or she can only control a fraction of the outputs and outcomes of the goal. He or she is usually preoccupied with managing contracts and relationships more than the actual output of the program. The process of determining such performance can become 'political' involving many stakeholders.

Conclusion

Performance management is a political process, far from rational management. A performance system is a product of political decisions based on competing values in the public sphere. However we can make the decision process become a learning process where stakeholders are involved in the design and implementation of the evaluation. Emphasis can be put at the design stage to have public employees be part of the discourse in determining when, how, and who should be part of the evaluation process.

Employee evaluations should be used as a vehicle for improvement of individual's performance. But not an end in itself, it should link up higher to the organization's performance. It should not be primary used for punishment but rather as incentive to expand ones' capacity. It should be flexible to context and useful for showcase of accountability to the public. Most important of all it should be designed in conjunction with the government's overall performance management system and not a standalone system for civil servants. Lastly, performance indicators without the heart (passion, vision, sincerity) will lead to distortion of information and gaming of performance measurement systems at the individual level and organizational level.

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[5] For current discussions on the limitations of performance-based pay see Perry, J., T. Engbers, and S. Jun. "Back to the Future? Performance-Related Pay, Empirical Research, and the Perils of Persistence." *Public Administration Review* 69, no. 1, January 2009: 39-51.

詹中原博士
《策略性績效管理與考績政策之研究》論文之評述[1]

Ora-orn Poocharoen 博士
新加坡大學李光耀公共政策學院助理教授兼學生事務助理院長

前言

自有公共行政以來，公共組織績效管理制度的問題即已存在，原因在於大多數的公共組織沒有明確且容易衡量的考核要素，私人組織恰恰相反，憑獲利即可考核績效。然而，績效資訊非常重要，對公共組織尤然。績效資訊有助於合理公共決策的制定，也能做為向人民負責的政策依據。

誠如《策略性績效管理與考績政策之研究》一文中所言，英國及其他許多西方國家自 1980 年代起，即在「新公共管理」（New Public Management，簡稱 NPM）運動的思維下，開始對多種績效管理制度進行試驗。然而，該文並未就這類制度進行重要省思，亦未論及政府開始行政改革前之必要思維。

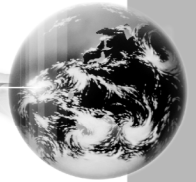此外，績效管理有政府整體、組織與個人等不同的層面，績效指標能以過程、或以輸出與結果為導向，且績效管理制度一般指適用於整體公部門的大規模制度，該文雖以論述整體層面起頭，其後卻獨重公務人員績效制度之考核層面。然則，在論述績效管理時，整體考量至關重要。

以下根據現有文獻與本人在此領域的研究，就績效管理制度提出一些省思。

績效制度與政治

績效管理具有政治本質，原因概述如下：

1.1 績效管理無法像自然科學一樣做到百分之百的科學，績效管理制度的基礎是建立在能推動此制度的特定價值觀上，例如對效率，或符合民主、平等與公平的價值觀。無論如何，決定公務人員的績效沒有固定的公式，無法做到真正的「客觀」。如果有這種公式存在，只需使用電腦軟體就能決定績效。質性的資訊及環境關聯都是衡量績效的要素，因此我們必須接受個人績效評估是主觀行為的事實。

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[1] 本篇論文發表於「變革中的文官治理國際研討會」，台灣台北公務人力發展中心，2010 年 1 月 9-10 日。

我們該做的是設計合理的標準，用以衡量想達成的價值觀。對於被考核者而言，這些標準必須透明、合理，而考核者則必須在考核過程中，按照既定的標準與一致的原則進行評估，此即為「客觀」的績效評估。然而，由於在標準決定過程中，相關人士必須就該採取的價值觀進行協商，因此這個過程不可避免地具有「政治」本質。[2]

1.2 績效制度之所以具有政治本質，另一個原因在於必須決定掌控權的歸屬。在中央機關之間經常可見官僚政治，例如財政部、預算局、公務人員委員會和（或）專責行政改革的機構。績效考核過程是要集中化、還是授權給各個政府機構，也經常在官僚制度中造成緊張關係。[3]

1.3 此外，一旦績效與預算有關，就會成為公共機關之間的政治爭議，各個機關會競相證明自己已達到既定的目標。在一些情況下，這種爭議甚至會驅使理性者「破壞資訊」，以證明自己的成功。這類情況有可能發生在組織與個人層面，特別是透過績效協定。[4]
績效協定必須搭配將彈性聘僱與解僱納入考量的新公務人員制度。中高管理階層均必須有自由裁量的決定權。薪級表的設計必須能彈性地反映出個人績效。

1.4 預算的限制取決於國家政策、經濟循環，以及全球經濟危機、自然災害等許多的外在因素，因此將組織績效與年度預算水準相連結的作法，並不合理。預算的決定必須考慮許多因素，因此在將個人績效與獎金及報酬相連時，必須記得這些獎勵必定會有上限存在，而且會每年上下波動，而非持續上升。既然獎勵水準無法真正反映出每年績效增加的幅度，公務人員的動機有可能降低，因此長期使用這種制度有可能是無效的。我們必須從一開始就給僱員明確的期望，因為一旦按績效計算的獎勵方法失效，就幾乎不可能讓僱員對此制度恢復信心。因此，實施初期階段非常重要。任何不當行為、賄賂指控或施恩的態度均會危及整個制度。[5]

1.5 設計實施績效管理制度的另一挑戰在於提供公共服務的網絡或合作環境。許多公共目標必須由一個以上的機構協力合作才能達成，這類的協作可以存在於政府機構、私部門和（或）非營利部門之間。例如：在管理國家公園時，政府可與私人公司或環保團體合作，以管理特定領域或方面的園內服務。在此情況下，很難制定適用於員工的績效指標，因為他們的輸出與結果僅佔目標的一部分，此外他們也會專注於處理合約與關係，而非計畫的實際輸出。這類績效的決定過程可能變得「政治化」，涉及許多利益攸關者。

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[2] 美國績效管理制度問題之深入探討請參考 Radin, Beryl. *Challenging the Performance Movement: Accountability, Complexity, and Democratic Values.* Washington D.C.: Georgetown University Press, 2006.

[3] 有關美國「由上而下」及「由下而上」的績效管理之間的矛盾探討，請參考 Long, Edward, and Aimeen L. Franklin. "The Paradox of Implementing the Government Performance and Results Act: Top-Down Directions for Bottom-Up Implementation." *Public Administration Review*, May/June 2004: 309-319.

[4] 本假設的基礎在於本文作者於 2006 年在泰國進行的研究，"Corruption of Performance Information: The Case of Thailand" (Draft)。

[5] 有關按績效給付的限制，請參考 Perry, J., T. Engbers, and S. Jun. "Back to the Future? Performance-Related Pay, Empirical Research, and the Perils of Persistence." *Public Administration Review* 69, no. 1, January 2009: 39-51.
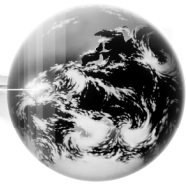
結語

　　績效管理是一個政治過程，遠非理性的管理。績效制度是政治決定的產物，而政治決定的基礎則在於公共領域相互競爭的價值觀。然而，我們可以使這個決定過程變成學習過程，由利益相關者參與考核的設計與實施，並以設計階段為重，邀集公務人員參與決定時間、方法與考核人員的「討論」。

　　人員考核應該用於改善個人績效，但這並不是終點，個人績效還必須向上連結至組織績效才行。考核的首要目的不在於懲處，而在於鼓勵個人發展能力。它必須具備能隨環境調整的彈性，並可用於展現對民眾的責任。最重要的是它的設計必須與政府整體績效管理制度相連結，而非一僅為公務人員制定之獨立制度。最後，未將情感（熱情、願景、誠懇）納入考量的績效指標將導致資訊的歪曲，以及個人與組織績效衡量制度之間的競爭。

個人考績與團體績效評比
扣合相關學理與作法之研析

蔡良文

考試院考試委員

摘　要

　　政府施政措施必須能符合人民的期望，亦必須能滿足國會行政課責及完成政府施政績效目標，以奠立良善治理（good governance）的基礎。我國公務體系對於團體績效產出與結果以及個人考績表現之確定，比較欠缺整合之體系，導致政府面對整體績效表現不佳之困境時，不易認定原因，無法規劃有效改進對策；在就人事管理之運作上，因團體績效與個人考績之因果關係難以確定，以致無法依據組織成員個別工作表現來區別確定責任。

　　本文將針對公務部門績效管理之運作，就如何有效建立「個人考績表現」與「團體績效評比」間有效連結與扣合之機制，進行討論，為期脈絡一貫，擬先討論績效考核與績效管理相關論理內涵及其工具方式，再討論個人考績與團體績效評比相關議題，暨彼此扣合機制之建立方策。謹就其機制、法制、管理及技術等面向，提出建議，並就教方家高明。
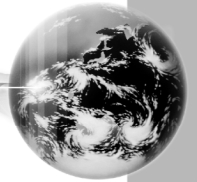
關鍵詞：個人考績、團體績效、績效管理、民主課責、良善治理
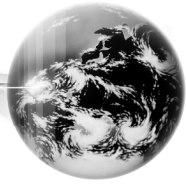
壹、前言

　　政府無論以績效導向與顧客導向，乃至於服務導向作為施政前提，其措施必須能符合人民的期望，亦必須能滿足國會行政課責及完成政府施政績效目標，以奠立良善治理（good governance），簡稱善治的基礎。公務人員的考績之獎優與淘汰（汰劣退場）機制與文官法制之健全、公務人員士氣之激勵等有極密切的關係，在面對全球化與政治變遷中，配合政府治理環境的「變」而掌握「時」，以求其「通」（蔡良文，2005：11-38），是筆者關心的議題，此即所謂「趣（趨）時是也」，以達求「變」、求「通」、求「久」也。且以「變革」為公共治理不變之核心議題及國家政務改革的發展方向，其目的均在於提升政府施政績效，作為公務部門改革之共同目標或理想。

　　績效考核在實務運作上，依公務人員考績法規範之考核種類、項目、等次及獎懲等，其規範密度較高，似乎難有多的彈性空間，加諸主管機關為管控各機關人員甲等比例過高之現象，故其與績效評估（Performance evaluation）或績效管理[1]（Performance management）（李允傑，1997：4-14；丘昌泰，1998：103-128；吳定，2000，49-56；孫本初，2002：38-46；關中，2009a：16-39）所強調之組織及成員整體表現及其相關激勵誘因機制（Incentive Mechanism），重視隨內外環境與需求動態調整與因應，必須授權各機關自訂極為彈性，及規範密度較低的績效管理與績效獎金制度（余致力，2002：45-60），有極大的差別。且以對績效產出與結果之特別強調，在組織及其成員管理上如何建構有效之機制，以提升單位、機關及政府整體績效，即成為文官改革之績效管理核心議題，就公務部門而言，首在政府之產出與結果是可被有效地衡量與評鑑，或至少須經由績效管理活動產生足夠之資訊，以達到促使進階績效改善之效果（Peters, 2007：19）。

　　茲就我國公務體系運作機制經驗，對於團體績效產出與結果以及個人考績表現之確定，比較欠缺整合之體系。由於現行公部門績效管理之運作，團體績效與個人考績分屬兩元之不同體系[2]，由於對整體績效產出與結果及個人考績表現之扣合機制尚未建立，導致政府面對整體績效表現不佳之困境時，不易認定原因，無法規劃有效改進對策；在就人事管理制度之運作上，因團體績效與個人考績之因果關係難以確定，以致無法依據組織成員個別工作表現來區別確定責

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[1] 有關績效評估可分為組織評估（包括政府績效評估）、政策績效評估，以及個人績效評估；至於績效管理之模式又可分為精緻的財務模式（Sophisticated Financial Models）、比較與標竿模式（Comparative and Benchmarking Models）、品質（管）模式（Quality Models）、宏觀模式（Holistic Models）等。另績效管理除績效評估及發展外，尚包括組織目標設置、確保組織成員及績效產出與結果暨與組織策略目標相符的一套完整與統合性系統架構與回應機制。而 Weiss & Harflw（1997）以及 C. Cokins（2004:1）等認為績效管理至少包括：是個過程；使成員對績效目標之達成內涵與作法均有共識；且必能增加成功或達成績效目標的可能性（吳定，2009:535-541）。

[2] 在團體績效產出面向，主要可分為機關與機關間、單位與單位間之評比，前者主要係透過「研考機制」之運作來進行衡量，而單位與單位間之評比，亦是晚近績效獎金制度之法定規範，未來負責之人事單位是否宜輔以研考單位協助值得思考；而個人考績表現之評量，則係經由「人事管理機制」，經由考績法制之運作來確定。經濟部 2004 年度實施績效獎金暨績效考評作業規定中，對適用對象包括該部所屬 11 個機關首長績效（工業局、國貿局…）以及單位績效及個人績效等。

任，導致人事管理功能，不易激發公務生產力（經濟、效率及效能與效果）及去蕪存菁之功能；且就課責之合理性及公平性而言，由於重視個人表現僅能單純以成員行為作為考核標的，在法制設計上未及於單位、團體或機關，政府等為基準之集體課責，易形成不符課責應具備之合理性及比例原則（參照陳志瑋，2005：131-148）。

綜之，本文將針對公務部門績效管理之運作，就如何有效建立「個人考績表現」與「團體績效評比」間有效連結與扣合之機制，進行討論，其相關議題至少包括：（一）探討民眾對政府或公務人員績效評價與公務人員自身之認知之落差原因何在；（二）現行公務人員考績制度如何增訂團體績效評比機制？其各種評比標準如何設定始為妥適；（三）如何強化個人考績與團體績效評比扣合之管理作為機制與方法。要之，為期脈絡一貫，擬先討論績效考核與績效管理相關論理內涵及其工具方式，再討論個人考績與團體績效評比相關議題，暨彼此扣合機制建立之方策。

貳、績效考核與績效管理相關論理基礎與工具分析

政府在進行績效評量與落實績效管理的同時，惟有釐清績效衡量與績效評估的觀念，才能有效進行績效評量、制定與執行政府政策，建構新的政府績效管理的功能結構關係。所以，公務人員考績法未大幅修正前，不論是機關首長、單位主管或受考核之成員個人，在績效考核過程中，均應有績效管理的理念、態度與作為。至於實際之考績原則可指導考績方法，而考績方法則在以落實考績目的與目標為前提，試分述於下（參照蔡良文，2008b：421-425）。
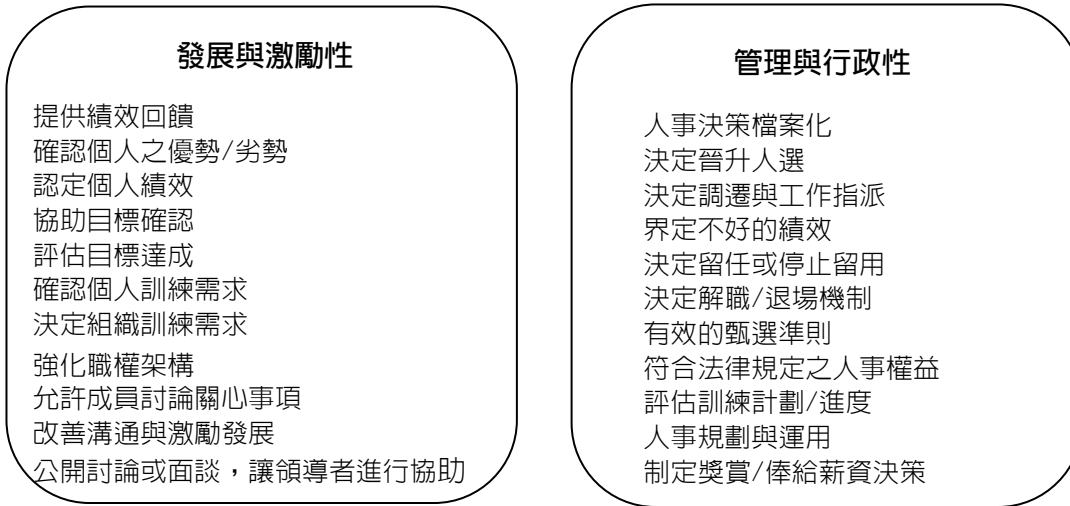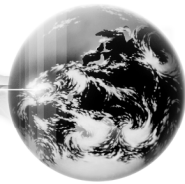
一、績效考核（評量）之論理及相關議題分析

瞭解考績功用及其未來改進方向，必須對傳統人事管理的績效考核與現代人力資源管理的績效考核併同述明。傳統人事管理的績效考核強調以組織為核心[3]，現代人力資源管理的績效考核強調以個人為核心[4]，對於傳統與現代二者，如何相互採用與截長補短，允宜併同重視（蔡良文，2008a：41-147）。公務機關之績效考核，亦可稱為績效考核（評量）或效率考評（efficiency rating, service rating）（許南雄，2006，495）。有關績效考核之目的除重視策略性人力資源管理目的外，至少應包括如圖1所示之內涵，透過方法期以落實執行。

有關績效考核相關內涵，略述如次：（參照蔡良文，2008a：143-145）

(一) 績效考核為對所屬人員的考核：依現制受考人必須具備下列條件，始享有受考績之權利，即：1.須為現職人員；2.須銓敘合格實授；3.須任職年終滿一年或六個月。即指考績涉及機關組織主管、成員與工作業務三者之間的關係，雖似分立，實則相關。即考績可作為工作輔導、改善關係、檢討組織或個人目標以及變革之工具。

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[3] 重視：(1)薪資與生產力相結合；(2)事業的選擇；(3)訓練需求的評估；(4)改進主管與部屬間之溝通；(5)工作協議的文件等等。

[4] 重視：(1)公正；(2)發展；(3)參與；(4)其他人力資源管理功能的整合與支持等。

發展與激勵性	管理與行政性
提供績效回饋 確認個人之優勢/劣勢 認定個人績效 協助目標確認 評估目標達成 確認個人訓練需求 決定組織訓練需求 強化職權架構 允許成員討論關心事項 改善溝通與激勵發展 公開討論或面談，讓領導者進行協助	人事決策檔案化 決定晉升人選 決定調遷與工作指派 界定不好的績效 決定留任或停止留用 決定解職/退場機制 有效的甄選準則 符合法律規定之人事權益 評估訓練計劃/進度 人事規劃與運用 制定獎賞/俸給薪資決策

資料來源：參照 Snell & Bohlander，2007：333。

圖 1：績效評量（估）的目的

(二)績效考核以工作績效與品德操行表現為主：公務人員之工作績效，是考核的要項之一。而公務人員品德操守是否忠誠篤實、勤慎清廉、熱忱關懷，影響人民對政府與公務人員的觀感，故亦為考核重點。個人考績內涵可參照考試院公布公務人員核心價值之廉正、忠誠、專業、效率及關懷來衡鑑。在績效評量內涵上，亦可依照 Bowman 主張將其方式分為，以個人特質為基礎（Trait-based），以個人行為為基礎（Behavior-based），以及以工作結果為基礎（Results-based）等三種多元途徑（1999：557-576），僅其密度可再提高，使其評量績效更為可靠。
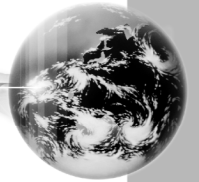
(三) 績效考核以平時考核、年終考績和專案考績三者並重：公務人員考績就時間觀點而言，有平時的考核和定期的年終考績；就事件內涵而言，可就重大功過事件辦理專案考績。其目的均在求綜覈名實，獎優汰劣，適時提昇公務人員士氣與建構良善的組織氣候與文化。

(四) 績效考核是達成人事行政目標的方法之一：人事行政的基本目標是獎優汰劣，提昇機關效率與效能。因考選係施之於任用之前，且是測驗一般智識水準；考績則是任用後的考核和實際工作能力的考驗。所以，考績可視為考試的延長，績效評量必須具備信度（reliability）與效度（validity），並配合策略性與具體性作為，始能衡鑑人才之優劣[5]。同時行政機關中的獎懲是選優汰劣的根據之一，而獎懲又以考績為基礎。因此考績實係激勵人才與增進效能的手段，亦即達成積極文官體制人事功能的主要途徑。

因此，滿足人民對政府的信任與需求，就成為民主政府存在的最核心價值[6]。為了確保政府及公務人員能真正負起對人民的責任，設計一套有效的行政或政治課責機制，即是民主行政不可或缺的重要策略。所以，考績的最終極目標應是回應人民的需求，創造人民福祉也。公務人

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[5] 在人事行政程序上，如僅有考試而無考績，即如有進場機制而無退場機制，此對已任用人員之工作才能及績效，無從評核其優劣，蓋目前之考試成績優異者未必即為將來工作績效優異者。

[6] 在民主國家中，公務人員所需負責的層次有三：(1)是對行政長官負責；(2)是對民選或政務首長負責；(3)是對人民負責。其中，最重要也是最高層次就是對最終權力來源之人民負責。

員考績法修法過程中，銓敘部 2009 年 6 月起多次邀集學者專家多數偏向考績就「工作績效、品德操守及其他與業務有關項目」進行評量。至於考核項目則由各機關自行訂定除獎優亦可汰劣外，其關鍵績效指標（Key Performance Indicator,KPI），可以提高考核之效度及符合機關組織之需要。

二、績效管理之論理及相關議題分析

(一) 績效管理的定義與策略規劃

　　一個組織的策略總目標和個別績效指標之間，是以一種垂直分化與聯結的方式，形成一個目標的體系，此亦即績效管理必須思考其動態過程的相關議題。譬如公共行政學者 Shafritz 和 Russell 兩人（1997：299, 302）提出績效管理的循環模式（如圖 2 所示）。第一、將機關內各個管理體系如預算、人事、績效評量，以及個人績效考核等體系加以聯結；第二、將高階人員的願望和基層人員的服務傳輸予以聯結；第三、將決策制定的核心單位和負責執行政策、處理顧客的末端單位之間作有效的聯結；以及第四、透過個人的績效獎金制度和組織層級之優先順序的轉移，來驅使成員的努力和獎勵之間作聯結。而且 Shafritz 和 Russell 兩人斷言，倘一個機關造成浪費、疊床架屋或無效率的話，其中主要原因之一是上述這個模式中的要素間缺乏有效聯結所致。策略規劃與績效管理制度之間必須作緊密的聯結，才能使成員的績效標準隨時都能符合組織的願景與發展策略。
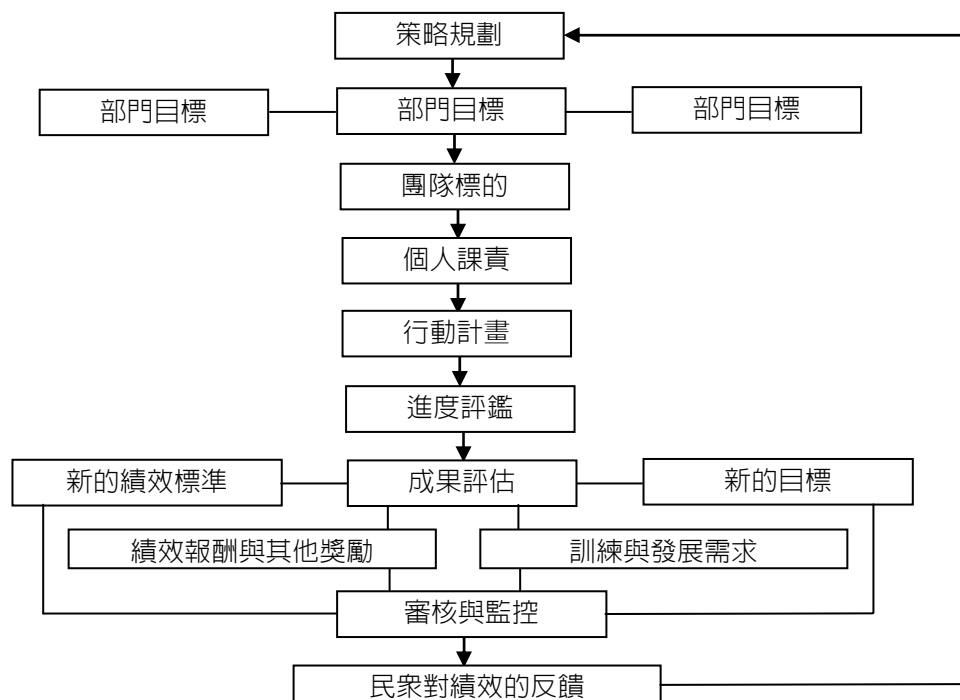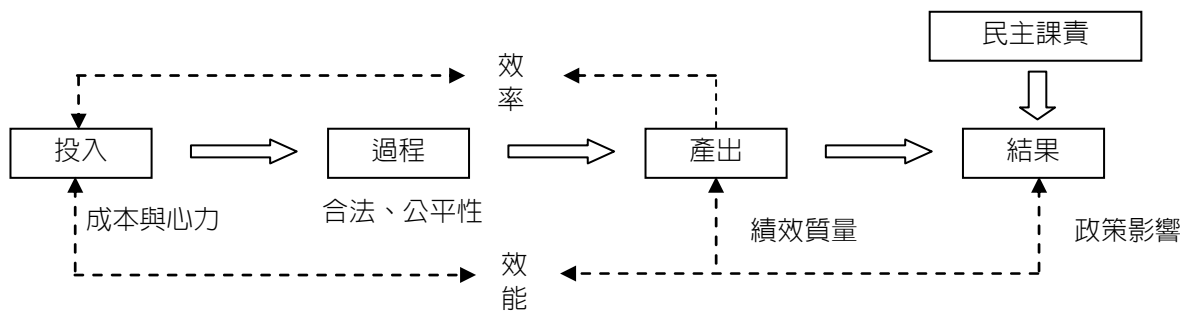

資料來源：參照朱金池，收錄吳定編，2009：334-335。

圖 2：績效管理的循環圖
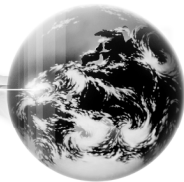
(二) 績效管理的基本內涵與架構體系

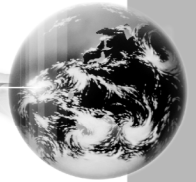績效管理的基本概念包含減少投入的成本、合法的過程與維持公平性、投入與產出間的效率問題、評估投入與產出及結果的效能關係（如圖 3）。

資料來源：參照 Talbot（1999）；胡龍騰，2009：8。

圖 3：績效管理基本概念圖

由於績效管理可分為對政府治理績效之評量（核）（Performance measurement）及對行政體系組織成員個別績效之評定[7]。或謂包括評量及管理（measurement and management）[8]（Cawte, 2009：6）而美國的相關績效管理之架構體系，其主要在使政府績效評估工作流程標準化，同時希冀改變文官行為與型塑良善有效能的管理文化，可供我國政府績效體系強化與建構之參考。其在個人考績最後之目標即是在團體績效之提高，以及達成政府績效管理。當然，包括政府政策制定、執行與績效評量、績效衡量與績效評核的聯結關係，然而績效衡量與績效評核的操作方法，卻是各級政府機構目前最感困惑的議題，兩者是相互關聯的。依據美國智庫研究中心（the Performance Institute）的設計，績效衡量是用以測量政府機構的活動（activity）並轉換為成果（outcome）的過程；而計畫的績效評核則是基於組織的努力（effort），了解機構對外部顧客或標的的影響力（impact）的過程（孫本初，2005：49）。

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[7] 如美國之績效與成果法（Government Performance and Results Act，GPRA），以績效與成果法的內涵觀之，其係經由國會等非行政部門的外部干預與介入，要求組織提出策略規劃，並進行預算控管，同時加上財務長法（Chief Financial Officers Act, CFO Act）搭配的財政控制，來共同發揮外部監督制衡的功能。事實上，美國績效與成果法的實施，其最大的意義，在於促成政府機構的改革典範從「官僚驅力」（bureaucracy driven）朝「公民驅力」（citizen driven）方向發展，而使得行政模式能與當代的治理結構（governance structure）結合。

[8] 在澳大利亞政府之績效管理認為是：用以增進個人與團隊績效，以達成業務目標的方法（a means to improve the performance of individuals anf teams to achieve business goals）；用以緊密連結組織與個人規劃的方法（used to align organizational and individual planning）；勇以激勵優良績效與管理不良績效的機制（a mechanism for rewarding and recognising good performance and managing under-performance ）；用以發展工作技能與永業職涯規劃的機制（a mechanism to support skill deveopment and career plannning）；從職場規劃角度，用以找出與開發成為高效能工作團隊所需的能力（from a workplace planning perspective，a mechanism to identify and develop required capabilities for a capable，adaptive and effective workforce）。（註：澳大利亞商工辦事處代表於 2009 年 12 月 7 日到考試院演講稿）。

(三) 績效管理作業中的謬誤與改進之道

績效管理原係企業用來強化成員表現之管理技術[9]，之後，有關績效管理之理論蓬勃發展，對績效管理之定義也趨於多元，或界定為一種管理之執行策略，以達成組織目標之管理過程；或認績效管理是成員與其直屬上司之互動關係，包括如何評量工作績效及找出阻礙績效之障礙並予以排除等；或謂績效管理者與屬下成員之間，進行持續、雙向之溝通，亦即希冀達到共同學習和成長之歷程（邱天欣，2006：16-17），而黃英忠教授認為是評核部屬貢獻度與發展潛能，並與組織目標相連結[10]。

茲以美國總統歐巴馬（B.Obama）任命之績效長 J.D.Zients 提出歐巴馬的績效管理改革系統的五大關鍵因素原則：1.由高階主管充分掌握績效管理過程（Senior leader ownership of performance management process）；2.連結目標與評量方式（Cascading goals and measurements）；3.績效導向、跨機關的目標設置與評量（Outcome-oriented, Cross-agency goals an measurements）；4.持續不斷的評估與課責（Relentless review and accountability），以及 5.過程透明化（Transparent Process）等（胡龍騰，2009：20-25），可供參考。

綜之，團體績效管理著重策略及目標之達成，主要係根據組織願景與使命，設定組織達成願景之策略，進一步擬訂明確之目標與衡量方式，並據以分配預算與資源，執行達成目標之行動方案，且定期衡鑑各單位目標之達成度，再分析或修正各單位目標達成度與整體組織策略目標之關係。至於個人績效管理，重點在於使人盡其才，且適才適所，除個人與職務間之契合外，更重視其與組織目標間之連結度與個人之貢獻度與契合度。雖實務上有其困難，但至少其制度之理念與精神是可以借鏡參照的。

三、個人考績與團體績效評比工具之分析

任何評量或考核評比的工具非主要目的，是僅為達成組織成員的共識價值觀與目標之完成，也包括機關組織卓越的運作與管理。最重要的在於贏得人民的信賴，提高政府效率與效能。當然，不同時期其績效管理與評量工具亦異，且不論是英國或美國績效考核之實務作為亦然[11]。茲就有關個人與團體的考績或績效評量方法，略述如次：

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[9] 最早係由 M.Beer、R.Ruh、J.A.Dawson、B.B.McCaa & M.J.Kavanagh 等人，於 1978 年 Personnel Psychology 期刊中首次提出。

[10] 績效管理將機關施政計畫、策略目標、單位目標及個人目標，做有效統整、轉化及連結的過程。所以，績效管理之範疇，已提昇至績效發展（Performance Development）與策略管理之境界，並將以往著重於「事後評核」，擴充至「事前規劃」與「隨時回饋評量」。換言之，透過事前規劃、雙向溝通、持續改善等過程，使成員之能力與潛力能充分發揮，提昇組織在激烈競爭環境之競爭力。無論績效管理係由那個角度切入，其最終目的均係為了組織績效之提升。參照劉宜君，我國民間企業績效管理制度之個案研究－公部門考績制度之標竿學習。

[11] 茲以英國外交部為例，其考核重點包括組織成員的創新能力，與人合作的能力及提供公務服務之品質。其服務優劣關涉到待遇獎金以及其快速升遷訓練等發展（參照英國駐台代表，2009 演講稿）；另參照 Lunger（2006）歸納晚近績效管理取向，應側重於機關組織之策略，建立新的價值導向；重視績效達成之協調；重視顧客導向與公共服務導向；勿忽略短期利益更重視長期導向公共利益抉擇；以個人績效為基礎的團體績效觀；重視跨域功能之連結與評量；留意過程中之監控成長與發展。
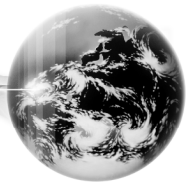
(一) 個人考績的方法方面

　　關於個人考績，考績的方法很多，各種方法的特性、運作、限制與實施對象均不同，難以認定某種方法的優劣或宜單獨使用某種方法。其實，考績有原則、有途徑，惟考績對象不同，方法亦應有別。如對專家與通才，對主管人員與非主管人員，對高階層行政人員及中下階層人員，……均有所不同。故對於考績方式不宜拘泥形式，只要合乎考績原理、價值倫理，但求從實品評優劣而作審慎有效之考核[12]以及運用績效評估的方法[13]（Rosembloom & Krachuk, 2005：226-231）；俾落實績效評估，貫徹政府組織策略。要之，相關之評估工具與方法，必須與時俱進及妥善運用，方可獲得預期效果。惟無論採何種評核方式，均須考量其對組織之適用性、持續性、連結性及共識性，積極應用新觀念與新方法，始能建立對組織有助益之績效評估制度。

(二) 團體績效評比的方法方面

　　茲再檢視相關績效評量的觀念與方法，筆者歸納前述學者專家意見，僅針對當前最重要且符合我國考績法制改革中，有關團體績效評比方法的觀念加以分析討論：（參照鄭瀛川、鄭夙珍，2007：3-9）

1. 平衡計分卡（BSC）：平衡計分卡係由 Kaplan 及 Norton 在 1992 年發表於 Harvard Business Review，主要在藉由簡明精確的測量企業目標與願景策略相關之活動，俾利經理人全面瞭解企業績效。所謂的平衡即指評量項目中不僅包含早期的財務指標，更包含非財務指標[14]。

   由 1992 年以降，不少學者提出不同向度組合，及可能參考指標。又為能克服選擇指標的問題，爰將指標之選擇與策略目標（strategic objectives）連結，並以策略地圖（strategic maps）方式呈現策略與指標間之關聯性；管理人必須找出每一向度所代表的五至六項目標，並在策略地圖上呈現目標間的因果關係；在目標間因果關係確認後，每一目標再找出代表性指標；此一取向由於較能展現組織脈絡與發展之系絡，在近十餘年廣被使用[15]。

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[12] 一般考績常用之方法，約如下述：(1)觀察判斷考績法；(2)按項目考績法；(3)比較考績法；(4)分配考績法；(5)績效標準法；(6)特殊事例列舉法等。除了上述的考績方法，另外仍有許多考績的技術存在，亦各有其優缺點，要如圖形評分表、加註行為評分法、交替評分法、強迫分配法、重要事件法及目標管理法（Dessler，2004：330）。至於，就績效評估而言，除瞭解以財務指標與間接成本的評估法外，更宜重視如標竿分析法（Bench Marking）、全面品質管理（Total Quality Management, TQM）、六個標準差（Six Sigma）、作業基礎成本制度（Adivitity Based Costing, ABC）以及平衡計分卡（Balanced Score Card, BSC）（林嘉誠，2004：1-20；施能傑，1998：35-51；余致力 2003；朱武獻，2003：301-405）等。

[13] 羅森布魯等提出，美國績效評估自 20 世紀 70 年代受到很大的關注，期間亦存在著評定結果呈現的主觀差距以及公務人員產出的不可量化，所以，他們主張某程度上政府績效評估是一種「尋求技術的過程」，且關注的是績效因素與成員特質。

[14] Kaplan 及 Norton 提出各項關鍵績效指標。同時需透過關鍵流程以支持達成策略目標的作業活動，並提供關鍵性績效指標，以數量化方式清楚衡量企業經營績效，達到企業有效管理的目標，提昇營運優勢與創造商業價值。

[15] 雖然平衡計分卡的範例在網路上唾手可得，然而學者認為直接採用現成的平衡計分卡並未能為組織獲取最大利益，善用平衡計分卡首重其執行模式，管理人若能有效轉換組織機關願景為可操作目標，並將目標間之關聯性釐清，蒐集具體指標反應績效發展，並據以調整發展策略，方能為組織與人民謀求最大福利（參
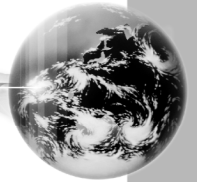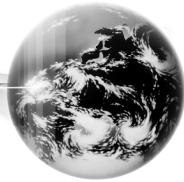
由於理論與實務界僅參照其四個構面，便統稱其為平衡計分卡。如此很容易造成公部門在推動 BSC 時，可能造成莫頓（R.K.Merton）所謂之目標錯置（displacement of goals）的現象[16]。因為公務部門比較多的是提供服務的事務性部門與公營事業單位等，前者所從事的工作難以得到量化的指標。又其他指標公務部門就算可具體找到量化指標，但顧客到底是誰？是否應思考公務人員是主要提供民主服務、公共服務與公共利益理念與價值，而非偏重提供顧客服務、公共管理與個人利益理念與價值（Denhardt & Denhardt, 2007:Xi-Xiii），是施政滿意度比較重要還是施政公平性？恐怕又得陷入政策辯論的議題，觀點不同指標就不同。所以公務部門推動 BSC，重點應該在於其精神以及指標構面的多元化，因部門提供的服務類別不同，而有不同的權重，例如人事單位、研考單位與環保單位其指標與組織目標結合時，就不能一體適用，數字意義亦不能等量齊觀[17]。

2. 目標管理法：目標管理制度在 1954 年由彼得杜拉克（Peter F. Drucker）提出，近來融入「尊重個人」、「追求生活與工作之意義」、「個人的潛能開發」等思潮，其相關的評估方法，廣泛地應用在各職場中[18]。整體而論，完全以成果為導向，推論作為衡量機關、單位成員良善互動的機制與提升績效的方法。非但個人目標能與機關組織目標相互結合，彼此之目標間要明確、正當、可完成並考量自制自約的，以人為中心之思考模式與作為。其表格儘量以數字來表達，而文字說明為輔。所以隨時的檢測追蹤查詢便格外重要。由於目標管理重視的是具體的、量化的目標，容易忽視一些定量性不明顯的指標，如只鼓勵生產率而忽略創造性等[19]。易言之，在透過目標管理的過程，讓所有組織的成員共同參與，同時也將組織策略目標變成共同願景暨重視其品質水準，並非只是指標建構的過程或方法而已（參照孫本初，2007：2-3）。

3. 標竿分析法（BM）：係指某一組織向該領域的第一名（標竿對象）看齊，簡單的說就是

照 http://en.wikipedia.org/wiki/Balanced_scorecard）。

[16] 所以，借用策略地圖來補這個缺口，且以四個構面分別展開在公務部門的問題是：財務構面在公部門事實上是受到預算與行政程序等法律的限制，而私部門之營業部門可有財務績效的指標，公部門則顯然有所違背。

[17] 當然指標建構過程目前常用的有因素分析法，但也受到多質疑的態度，在於題目是哪裡來的？適合測試公務部門嗎？結果剛好是四個構面嗎？此構面能反映組織目標嗎？各構面的權重一樣嗎？上述質疑倘若無法解決其中任何一個，都有可能陷入「文書作業」的窘境，並嚴重違背選用 BSC 的初衷。雖謂策略地圖就某種程度而言，可補足此一缺失，但對公部門真正的啟發則在於：我們應釐清公務部門的遠景是什麼？組織的核心價值是什麼？衍生出的策略是什麼？若都能確認並明白說出其中的各種關係，其執行過程便可轉換成指標系統並予以評估，這樣或許較能掌握 BSC 的精神，又能將指標趨向於具體化（參見孫本初，2007：2）。

[18] 目標管理能將組織整體的努力方向協調一致，由首長或主管對應於組織成員相互提出目標及對工作的衡鑑方法，並相互認可；另為其確保其成果對於設置目標及衡鑑方法定期檢視評估與建置回饋機制，以為年終檢討組織個人與組織之成果，以及對於公務生涯規劃提出培養計畫，最終在於達到機關組織最好的績效。

[19] Neely 提出績效評量四項基本過程為：(1)設計評量系統（measurement system）；(2)執行；(3)藉由評量結果管理；及(4)修正評量系統（Powell, 2004）（鄭瀛川、鄭夙珍，2007：10）。所以，在公務部門中，因其特殊的環境系絡、組織文化、預算限制等，目標管理常常變成績效考核的參考工具，除花大量的資源去追求目標的建構與訂定外，尤應重視其參與之基本精神並引入願景管理、學習型組織等。

取法乎外、見賢思齊[20]，且標竿分析法係由實務需要逐漸衍生，由於企業在營運過程中，無法確定是否仍持續保持高效率之狀態，藉由與其他公司比較，可以隨時得知營運效能及作業缺失，以增進內部效率與整體績效。由於標竿分析法係要求組織向該領域的第一名學習，但這種效法的精神，也可能忽略制度移植時可能產生的問題，且以公私部門的任務、使命和目標有相當大的歧異；即便是公務部門之間的相互仿效，亦將因內外環境之差異造成標竿理想的難以達成，不可不察也。

綜之，在公務部門引進各種績效管理工具時，宜先釐清組織的任務、使命與願景為何、所提的評核工具、及其亟待解決的問題；且因公務部門指標大多皆非量化概念，且都不易量化，在這樣的情形下，其適用性必須更加慎重。另外，績效管理若能確立相關的配套措施、課責機制等，或許能將績效管理的實質內涵與意義完全展現，更有利於績效管理的落實，以提昇公務部門之產出與結果，建構高效能政府。
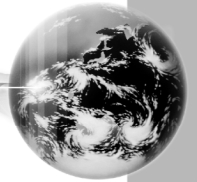
參、個人考績與團體績效的相關議題檢視分析

績效管理強調產出面之成果評核及衡量，其基本概念係以政府整體或特定機關、組織之產出績效為衡量單元，以瞭解政府之產出是否合乎民眾之需求？是否達到人民極高的滿意度？是否確實有效地解決公共問題，以提升公共及人民福祉[21]？此一面向關注之焦點，著重於政府本身與其外在環境間互動交界構面，亦即政府之服務輸送系統（service delivery system）是否有效運作；而就公共組織運作而言，與績效管理最為有關者，即為廣義之「課責」（accountability），亦即確定每一個政府組織成員，其個人行為及所產生之效果，與整體政府機關、組織產出績效之間的關係[22]，進而將課責之結果回饋到機關組織之管理及人事運作機制中，以決定組織成員在組織中之生涯發展，以及獎懲激勵等相關人事管理措施。因此，公務人員考績制度在完整的績效管理制度下，應包括團體績效產出與結果之衡量，以及個人考績表現與團體績效產出及結果連結或扣合關係（參照施能傑，2004：79-94）。

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[20] 所以組織內外或是世界性的標竿都可以成為學習對象。標竿分析法的比較標的有三，(1)廣義之比較（Broad comparisons），典型之比較標的如：企業組織、採購策略、人力資源調配、提供服務與解決問題之不同方式等，潛在之效益則可藉以激盪產生新的點子，找出較佳解決方法，將研究成果付諸實施等；(2)係為績效評量的方法（Performance benchmarking），典型之比較標的如：企業之生產力、資源運用數量、成本、效率、品質之管控等，潛在之效益則可藉此突顯出績效差異情形，探討差異原因，作為執行績效不良者改進之參考依據；(3)係為程序評量方法（Process benchmarking），典型之比較標的如：作業程序、管理系統、行政流程等，潛在之效益則可以強調現行作業典範，提出增進效能之建議。

[21] 2009 金馬獎最佳國片「不能沒有你」劇中所隱含之深意在如何激勵公務人員的熱情、關懷與同理心、傾聽人民的聲音（Hear the Citizens），回應民意及提升決策品質與人民福祉。在 2009 年公務人員全國傑出貢獻獎頒獎典禮時蕭副總統萬長與關院長中同時指出，亦先後提出日本「官僚之夏」來借鏡與回顧我國光復初期公務人員忠勤敬業事蹟，並勉勵全國公務人員，創造新的里程碑。

[22] (1)行政院人事行政局於 2009 年 10 月 15 日新聞稿對外界關注公務人員上班時間玩「開心農場」指出上班應盡職負責，非因職務需要，不得動用公務資源等，各級機關首長與單位主管應確實督導考核，督導不週應依規定議處。(2)八八水災期間，某南部鄉公所同仁上網玩遊戲，經媒體報導，影響社會觀感。

一、個人考績相關議題檢視分析

考績制度改革討論焦點之一，在於強調個人考績與團體績效間應有扣合機制。基本上，個人考績並非客觀不變的，而往往是主觀認定與評價結果，同樣之行為結果或產出，由不同考核者、運用不同之方法進行評估，將會產生不同之評價結果，因此，績效評比除技術方法及過程外，更包含人際互動及可能的權力運作。茲簡述之。
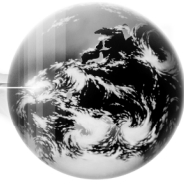
(一) 個人考績是團體績效的基礎：針對個人所為之工作績效管理，著重之點在於績效評核，採用科學的、系統原理及方法，評定及測量成員職務上之行為及工作成果。即經由以一定之機制、過程及方法，將每一位組織成員工作成果予以具體化地表現出來，進而作為組織績效管理之基礎；因此，個人之績效評估應非最終目的，而係作為組織團體績效管理之基礎。個人層次之成員績效評核，由於係以人為對象，無可避免地受主觀人性及社會互動之影響，而使個人績效評核不可能完全客觀。而評估組織成員之績效，除組織管理之本身需求外，更可瞭解成員之價值與尊嚴，亦能提升成員管理與潛能之發展。

(二) 個人考績的困難與謬誤：如前所述，績效考核必須具備信度與效度。通常績效考核有其指標與原則及相關的運用方法如圖 4 所示，可資參考，容後融入分析。在實際考核中，雖依公務人員考績法相關規定辦理，然又常發現行政機關在進行考核時，有下列困難與謬誤（error）。（參照林水波，1989a，以及 1989b：22-35）

激勵因子	環境要素	能力與潛能
生涯抱負	設備／原料	技術能力
成員衝突	工作設計	人際關係能力
挫折感	經濟情勢	分析能力
公平／滿意	工會／協會	解決問題能力
目標／期望	規則與政策	溝通協調能力
團隊／凝聚力	管理者的支持	生理限制
	法律規定	心理意向

資料來源：參照 Snell & Bohlander，2007：367

圖 4：影響績效的因素圖

1.難於公正或流於形式，其主因為考績者的主觀偏見，或是主管偏見與鄉愿作風所致；2.過寬、過嚴或趨中傾向的謬誤（leniency、strictness or central tendency），係指考核者偏向兩端的評定或考核；3.暈輪與單點謬誤（halo & horns），在於考核者有以偏蓋全的傾向；4.比較謬誤或好同惡異的謬誤，乃考核者對考績的評定，以受考者間的相互比較而定，而非以每位受考者實際工作的績效為評比衡定的基礎；5.服務年資或考核者特性而引發的謬誤，包括考核者往往有給予資深的人員較高考績的傾向，以及考核者如堅持自己的考績，絕不能低於部屬等，均可能造成考績的謬誤與不正確性。

(三) 建構個人考績完備的思維架構：政府推動績效管理，強調以績效作為考核的標準，同時又要重視廉正、品德與課責、授權、授能價值以及防止各種可能的謬誤等，與現行公務人員考績法規定是否相容，或有爭議，如何克服，值得重視（參照蔡良文，2006：444-449）。當然，政府部門進行組織成員績效評核之困難性，除了人情因素影響評估外，更因政府部門之工作性質及產出不易客觀量化，因而使成員之績效具有高度的模糊性（performance ambiguity），其成員考績評核之困難度也越高（陳海鳴、郭東昇，2005：559-572）。所以，為克服個人考績謬誤，在實務作為上，就必須從完備之過程、靈活方法之運用及陷阱之規避等面向，思考法制設計之架構。

1.完備之過程：目前個人考績過程之重點，在於「由上而下的指揮監督功能」，未來應強化「水平的溝通協商功能」，並須取得衡平[23]；2.靈活之方法運用：任何評核方法具有多種可能性，關鍵在於審酌何種條件及情境下，應該選擇何種與多重組合之評核方法，才能使評核最具有信度及效度[24]；3.規避陷阱之發生：績效評核必須避免產生陷阱[25]，所以，應調和彼此立場，避免過度主觀性，以及防止可能的陷阱，方能完備法制與運作的思維架構。

## 二、團體績效評比相關議題檢視分析

(一) 團體績效考核的現況分析

凡良好且有效的團體績效考核制度能客觀衡量組織績效，並檢驗績效是否符合組織預設標準，同時從中修正個人與組織目標的偏差，以符合組織發展需求。所以，有效的團體績效考核可帶動成員進行學習以改正偏差，進而整合資訊，發揮組織成員之顯性與隱性知識傳承功能，並凝聚組織成員的向心力，以落實推動知識管理（KM），引導（steering）文官體制創造生產力，實踐服務型政府之運作。惟就考績理論有關發展與激勵性功能之強化之做法，目前之現實情況下實難有效推行，個人考績幾乎流於形式，而行政機關之團體績效考核尚未建立，何能冀望藉由個人的考績來達到考績的發展與激勵性功能。

其次，公務部門的行政管理並非憑空存在，社會大眾、政策領導者與公務人員之間，彼此之間透過制度安排與政治活動而緊密地相聯結（參照林水波、陳志瑋，1999：319-354）。因此，團體績效考核，應考量人民的感受；即公務人員應該考量之指標內涵，可區分為：公共利益、憲法及法令；各層級的政府機關組織職能；媒體、專業與職業標準及社群價值觀；民主規範，

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[23] 在指揮監督功能方面，除重視其工作範圍評估指標外，並應考量其品德倫理之評量。在溝通功能方面，則表現在上述每個評估階段，都必須經由評估者與受評估者間之良善互動，並進一步商定未來績效改善或發展評量，以維持組織管理的穩定發展。

[24] 實務上進行團體績效評核時，先取決於組織文化、業務特性或重視組織發展等因素。至於組織成員則必要考量其行為舉止、重要事蹟等事項。而個人與組織團體績效之評比及其發展性，應予重視。

[25] 本項包括：(1)主管與成員視績效評核立場上互異；(2)績效評核由於不同立場及背景，對於績效評核的結果會賦予主觀之詮釋，使其產生有利於己之結果；(3)由於強調公平性，其評量採以格式化及一體適用方式，導致成員被評核項目與個人特殊工作職掌及能力間，呈現低度關連性；(4)績效評估之結果難免對和諧的人際關係與良好團隊帶來緊張，破壞團隊能力及凝聚力，對於組織團體績效造成不利影響。（引自世界經理文摘，2008：24-26）
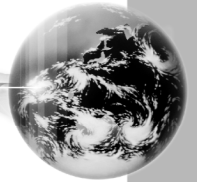
以及公民價值等等,此皆與課責(accountability)之運用有關[26]。Jabbra & Dwived 對於課責面向的區分(參照 Denhardt & Denhardt, 2007:42-43),相當周延,其主要為 1.組織課責(organizational accountability);2.國會課責(legislative accountability);3.政治課責(political accountability);4.專業課責(professional accountability)、5.道德課責(moral accountability),等項,值得參考(孫本初,2007,179-184)[27]。

再次美國歐巴馬的績效管理改革過程中,也呈現許多問題,包括障礙與謬誤。如評量指標未能衡鑑所欲達成之績效;指標與施政目標間因果關係不足;多以投入型、過程型指標作為評量標準;指標的方向性不明確;指標之分項權重分配不適當以及預定目標值不具挑戰性等。至於解決之道略以,在重視指標所評量的標的,須與最終的產出或結果,具有高度相關(不論正向或負向)。應重視結果指標,因其較能反應實質的績效,所以必須扣緊結果指標(含中介結果-intermediate outcomes 及最終指標-end outcomes);至權重之設定方法要為:層級分析法(Analytic Hierarchy Process,AHP)、敏感度分析法及專家德菲法等;另為期預定目標具挑戰性,可以過去該項指標達成度之平均值加上一個標準差等加以考量。(胡龍騰,2009:34-48)要之,上述各種績效管理作業中的可能問題及其解決之道,是值得重視的。
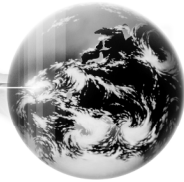
政府人力資源管理決策另一最重要的議題就是公平,因為公平對於組織成員而言是一項非常重要的激勵因素,如果組織成員感覺到組織人力資源的相關制度或決策缺乏公平性,則成員士氣將大受打擊。反之,則成員會因為認知到組織的公平對待,而以工作績效、對組織的承諾、以及良好的組織公民行為,作為回報。而個人考績或績效評比等相關人事管理措施,均必須考量公平原則。

(二) 團體動力到團隊建立與績效考核目的之評析

團體績效著重於團體行為模式,以及成員與成員之間的互動關係,即在團體動力(Group Dynamic)的運作下,所表現出來之團體特徵與行為;對團體而言,團體績效為團體運作之結果,亦為團體過程之現象(宋鎮照,2000)。又團體具有科層體制及領導與權威,而團隊強調平等化、分權化,成員共享領導權;團體重視分工及個人之工作成果與責任;團隊則是強調個人和團體之責任並重,較著重集體之工作成果。所以,如何在重視層級節制與指揮監督的行政部門環境中融入團隊精神,也是重要的課題也。

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[26] 嚴格的定義下,課責性與責任性並不相同。課責指的是組織中的某個人必須因為其決策或行動而接受責難或獎勵;責任的意義較為模糊,而且是透過層級結構的另一個方向進行。另外顯的課責是行政人員執行其行政任務並對之負責。而人們對於非因自己行為而直接產生的結果有內隱的責任。

[27] 課責的真義是:要算清楚的、需報告的、可依賴的、能解釋的、知得失的、負後果的、重成果的。「課責者」要能承擔全責,要確定「負責者」能完成工作,進而要能縱觀全局,也能細審關鍵,能細分課責與負責的不同責任深度與廣度(張文隆,2006,55-71)。由以上論述可知,公務人員淘汰制度的重要原則之一就是要符合「課責原則」。公務人員淘汰制度之所以必須遵守課責原則之目的,一是在明確規範公務人員所應負的責任範圍,以使其在從事行政行為與行政決定時,在行為態度上能恪守相關法規之規定與符合公共組織所定之績效標準,以回應民主國家公民對政府之公共課責。另一目的,則在於保障公務人員不受監督者濫權之侵害,因為當公務人員淘汰制度的課責範圍確定之後,除非公務人員違反應盡義務與責任,否則其身分權及因公務人員身分所享有之權利,均不可被任意剝奪。

再者，霍桑試驗（the hawthorne experiments）為早期重要之團體研究，而團體績效考評對於霍桑實驗延伸之正式組織與非正式組織的正反功能亦宜併同考量。有關團體績效部分，考量重點須放在團體互動，亦即其受「體動力」影響之情形，方能有效進行團體績效管理與評核。任何組織運作有其靜態結構如組織法制、人事法制等，更需瞭解其組織動態運作內涵，亦即團體動力產生之效果對於績效產出與結果之影響。

組織成員層級之高低對社會性監督或內部監督績效的影響程度是不同的，且團體中組織成員的背景因素，包括年齡、教育程度、性向等因素，及其彼此之互動，或產生加成作用，或產生減退作用，其團體表現亦有所不同。如何導引團體互動或團體動力正向功能，是必要正視的課題。又團體績效評比中，也關涉到個人考績及其陞遷發展，必須克服負面競爭的可能後果，如「一個和尚挑水喝，兩個和尚抬水喝，三個和尚沒水喝」的推諉現象。所以，「一種米養百種人」、「人心不同各如其面」，如何導引善心善念的匯聚與團隊的建立，是提升團體績效時，須認真思索的課題，亦是善治的基礎。

三、個人考績與團體績效評比間應考量的議題分析

(一) 現行考績制度改革背景分析

現行公務人員考績法制設計之本旨，係以受考人年度品德操守與與績效表現為主要考核範疇，並於公務人員考績法及其施行細則規定考列丁等及甲等之條件，其實施過程，如 1945 公務人員考績條例規定不得超過三分之一；1970 年公務人員考績法廢止考列甲等人數限制，惟 1971 年由總統府秘書長協調五院秘書長規定各機關考績考列甲等之比例，以三分之一為原則但不得超過二分之一。迨至 1987 年公務人員考績法施行細則明定可考列甲等之一般要件及特殊條件後，其比例又偏高，則有其變革措施[28]。如前所述，考量個人考績如未能結合機關整體績效與民意之相當落差，恐流於寬濫，且在各機關適用相同甲等人數比率情形下，如無團體績效評比作為衡鑑機制，會有不同機關或單位間具相同績效之受考人，卻可能在考績評定上產生不同結果，而欠缺衡平性；又基於給予機關適度之競爭壓力，督促機關努力達成目標管理，進而提升機關整體績效考量，確有實施團體績效評比之必要，考試院乃於 2005 年 7 月 14 日函送立法院審議之公務人員考績法修正草案第 13 條之 1 第 2 項規定：「主管機關及各機關得視其業務特性及需要，分別辦理所屬機關間及內部單位間之團體績效評比，評比結果作為評定機關及單位人員考績比例及獎勵之依據；其範圍、標準、程序及有關事項之實施辦法，由考試院會同行政院定之。」然該草案未完成立法，至今仍由銓敘部重新檢討研議中。

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[28] 銓敘部及行政院人事行政局自 2001 年起以首長聯名箋函請各主管機關配合依考績考列甲等人數比率以 75%為上限之原則辦理，且規定主管機關在該比率上限內，得對具有特殊業務績效表現之所屬機關，酌予調高其比率；又行政院人事行政局於 2002 年規劃特別重視業務推動之績效，乃試辦行政機關績效獎金制度，2003 年起全面實施，嗣因立法院審議 2007 年中央政府總預算案決議、中央政府總預算自 2007 年度起，人事費若有結餘，亦不得充作任何名目之獎金，爰 2007 之後即未再核發績效獎金。惟各機關內部仍有依團體績效評比結果據以分配各單位甲等人數比率之情形；另行政院研究發展考核委員會規劃經行政院於 2001 年訂頒之行政院所屬各機關施政績效評估要點（於 2009 年 4 月 17 日另訂行政院所屬各機關施政績效管理要點），自 2003 年起開始推動辦理機關間之績效評核。
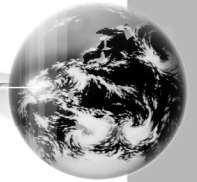
考試院第 11 屆考試委員上任後，即積極與行政系統推動文官制度之興革，組成文官制度興革規劃小組，就施政綱領與關中院長上任後所闡示之改革理念，以及各界所提供建言，多次開會討論後，彙整成 6 大方案，提該屆第 39 次會議通過，其中「落實績效管理提昇文官效能」方案，其具體興革建議，含括研修公務人員考績法「建立個人與團體績效評比機制及績效獎金制度」。按團體績效評比機制及績效獎金制度，雖分別有過去實務作法可資借鑑，惟擬併入公務人員考績法，予以法律規範時，允宜審慎配套妥善規劃制度內容，俾立法後得以順利實施。
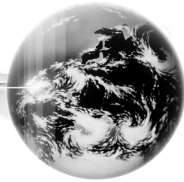
(二) 相關問題初步分析

現行公務人員考績與行政院各機關施政績效評估[29]，未來因有關考評時間點及受考評對象均不同，須考量考評時間、受考評機關及評量方法等，規劃考績法規團體績效評比制度相關規定，茲說明如次：

1. 考評時間：團體績效評比制度納入公務人員考績法規範，並作為分配考績甲等人數比率及發給績效獎金之參據，則各機關辦理所屬機關及本機關各單位間之團體績效評比從務實面言，團體績效在行政部門以漸進採行為宜，且其考核均應於年終前完成，始有辦法如期於年終辦理個別受考人之考績；又各機關辦理所屬機關間團體績效評比，並據以分配所屬機關考績甲等人數比率後，其所屬機關始能進而分配所屬各單位之考績甲等人數比率，基此，在團體績效評比方法上須力求簡化，儘量以量化或類比或序列之標準評比，否則勢必影響公務人員考績之辦理時程。

2. 受考評機關（單位）：應予考量者為：主管機關的定位，包括中央機關與地方政府之互動關係，其考績權責定位宜審慎研處；及以各相關單位之性質及規模大小來做區隔或分類，是必須慎重思考的[30]。

3. 評比方式之檢視分析：就個人績效部分，現行公務人員考績法、考績法施行細則及各機關平時考核等相關規定，已就個人績效考評及品德操守予以規範。2004 年試辦績效獎金

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[29] 個人考績年度終了辦理，其結果自次年 1 月起執行；依行政院人事行政局規劃辦理之行政機關績效獎金制度，各機關應於當年 12 月 15 日前，就其內部一級單位及其所屬機關間之績效完成評比分等為原則；復依行政院研考會規劃之行政院所屬各機關施政績效評估要點規定，行政院所評估之所屬各機關施政績效範圍，係以行政院下屬各主管機關（各部、會、行、處、局、署、院、省政府、省諮議會，即該要點所稱各機關）及其所屬機關之年度績效為範圍，並規定各機關應將其年度績效報告於次年 3 月 7 日前，提送研考會辦理評核，至於考試院所屬兩部二會如何比較與評核？似可併入中長期規劃事項。

[30] 由於政府業務多係由中央各部會負責政策之規劃，其所屬機關或地方政府負責執行，即中央各部會負責規劃之政策普遍須透過所屬機關之執行結果，始能窺見其成效，是行政院研考會規劃行政院評估所屬各機關施政績效，乃以行政院所屬各主管機關暨其所屬機關之年度績效為範圍；另地方各主管機關對其自治事項（由於直轄市長、縣（市）長、鄉鎮（市）長的「政治派系之山頭心態」，團體績效在地方能否確實推動實施，地方自治的因素應予考量，或許對此，在考績法規之團體績效評比受考評機關是否排除主管機關審議，可再審酌。另依據業務性質差異分組評比之可行性方面，因評比標準一致，可減少評比公正性之質疑，由於不同機關業務性質可能差異甚大，不同業務性質之評比標準，事實上難完全求其一致，由公正公平之考量，宜依據各機關（構）業務性質差異分組辦理評比，例如分國營事業機構稅務機關、戶政機關、地政機關等分別評比；又重視評比對象規模大小因素方面，以組織團隊成員多寡可能會影響業務推展，是以，團體績效分組評比對象之規模大小宜相近。即人數較少之機關，其團體績效難與同層級機關相互比較，於制度設計上兼須予考量。

制度時，通常以單位績效評量其等次，發給團體績效獎金，再由各該單位主管就其所屬同仁評比績效，按優異順序給予個人績效獎金。所以，未來制度設計上，將團體績效與個人考績扣合即可。

至於團體績效之評比方式，則又涉及績效評比標準及評比工具兩部分[31]，由於政府業務為公共服務性質，多屬質化之本質，實施績效評比之困難度高於民間企業，過去實務多以可以測量質化的績效指標進行評比，雖可簡化評比作業，然作法仍有予再研議之處：其一、就機關內部單位之團體績效評比而言，不同單位間業務性質差異甚大，雖可採目標管理方式，透過其目標之複雜度、挑戰度、執行度及達成度等進行評比，惟多未有由受服務對象參與之評鑑機制，恐機關內部之績效評比與外部觀感未必一致，而易受質疑，因此，制度設計可將服務對象之回饋納入評比標準，或委託公正客觀之民調公司調查，以供作參考[32]；其二、就所屬機關間之團體績效評比而言，上級機關對於所屬機關年度中之優劣事蹟宜即時建立資料庫記載，俾免由所屬機關自評可能形同文書作業與作文比賽之流弊。機關或單位年度業務如屬先期前置作業或設計規劃階段，致績效尚未呈現者，難以檢視其效益，如何評核或列入績效目標或排除之，應視個案處理。
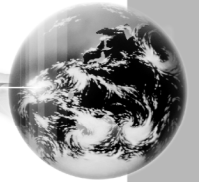
(三) 團體績效評比時應注意的課題分析

承上所述，實施團體績效評比至少應注意課題略以：

1. 實施團體績效評比須給予受評核者壓力與誘因，制度才易於推行成功，而壓力適切，誘因合理必能激發其動力。因此，除現行考績對個人之獎懲外，拉大單位團體績效評比之甲等比率，應有其激勵職能，至於適切合理發給團體及個人績效獎金亦有其制度推行之必要，惟應避免營私之流弊。

2. 須使機關首長或單位主管確實認知績效管理之重要性，而就制度而言，除應重視其公正性及避免深化自利個人主義之缺陷，須合理引入公民參與治理的內涵（參照 Box,2004:25-41；2007: Vii~Xii & 21-39），應設計拉大機關或單位績效評核好壞差距，決定機關首長或單位主管之去留，課予其對機關或單位績效表現之責任。至於民選首長似可經由公布績效表現成果，使其有民意與民主課責壓力，惟須留意評鑑之公正性。

3. 在團體績效評比建制後，各機關宜先就不同業務性質之所屬機關或單位研議所得使用之績效評核方法或工具，特別是在對不同機關採用不同績效評核工具，如考試院將其內部單位分成二類加以評比。而各機關或單位大小及人數不一，對於小機關或單位不易辦理績效評估者，於制度設計上應有彈性調整機制，例如各人事一條鞭人員併入上級機關整體績效考評[33]，由上級機關統籌辦理或合併小單位實施考評等。

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[31] 茲就後者而言，上述人事局及研考會規劃之作法，均以目標管理為主要評比工具；而前者則含括績效目標與績效評比指標，以政府各機關及各單位均有其一定之業務職掌，各該業務職掌依年度施政計畫不同，會有不同之工作重點，績效目標即係以年度工作重點提列，並據以訂定績效評比指標，誠為團體績效評比成功與否之關鍵。

[32] 政府不可全以民調施政，因民調的真意在於參照了解人民的感受與聲音，以降低官僚惰性，提醒行政部門提升其高度與廣度，以及前瞻精進戮力服務，協力完成政府施政目標與人民需求。

[33] 目前行政院人事行政局每年辦理之行政院所屬各主管機關人事機構業務績效考核成績審查，以 2009 年度

綜之，公務人員之價值感與使命感，係由行為理論探討個人內在需求與價值，亦為馬師婁（Abraham H. Maslow）所提出之自我成就或自我實現感或靈性之需求表徵，而績效管理與考核不宜僅由數量或書面及文字績效表達，對於內在抽象之要素衡量，宜從發展與激勵性的功能出發，將考績（核）結果用以協助人員瞭解本身之工作能力，並藉由適當的計畫以提昇、改善其工作智能，進一步建立個人未來目標，配合組織未來發展策略，方可衡鑑或凸顯績效考核之抽象概念的影響力。而關於行政性價值需求以考績結果作為調薪、獎金、陞遷、汰劣的憑據，因衡量標的不同，故無法於此精確衡鑑之，因此，清楚設定組織與個人目標與策略，並運用績效考核來衡鑑價值感與使命感的影響程度。又筆者經由討論有關個人考績之學理謬誤與解決之道後，於借鏡國外經驗，再討論團體績效評比的可能問題、謬誤與解決方法之後，初步結論是必要修正公務人員考績制度，至於其改革成功關鍵之一，乃在如何建構個人考績與團體績效評比之結合機制等相關議題後，方能期待考績制度步入康莊改革大道。

肆、個人考績評核與團體績效管理有效連結之分析

公務人員考績法原係針對公務人員個人及考績程序所定之規範，非做為評比團體績效之用，未來公務人員考績法增訂團體績效評比機制時，須經理性思考。又團體績效評比標準之設定，除國營事業外，須通盤考量一般行政業務涉及標準難以設定之實際問題。如何分定評比標準與評量方法？個人認為應僅以總綱架構規定，以保持其彈性原則。至於在實施過程上，其績效評比結果是否決定首長或單位主管之去留，應縝密設計，以避免淪為形式主義或政治操弄的工具。

復因組織運作有其複雜性，組織成員間又具差異性，因此，個人考績與團體績效評比之有效整合，難以直接以團體績效作為個人考績評比之依據，亦無法直接將個人考績之總和視為團體績效，而必須透過組織有目的性之管理作為，尤其是機關首長或單位主管之領導能力與評量經驗來評核之，其間之人事審議會議或考績委員會亦須扮演相當重要的角色，其目的，在於使個人考績與團體績效能達相互契應與契合之境域。就上述觀點，有關個人考績與團體績效評比扣合之管理作為，可從下列面向切入探討。

一、機制面向：互信參與建構共同願景與連結配套作為

團體績效與個人考績管理連結，係經由績效管理活動，對組織未來發展形成共識，亦即以「前瞻發展」評估（核）取代「回顧管控」之績效管理。基本上，績效評核以往在時間序列上較關注於過去之產出與結果，其績效評估（核）之進行，多為主管單向評述考核，較難建立成員與組織之間型塑共同體意識，同時使成員欠缺對組織之信賴關係，對於未來生產力產生不利的影響。因此，績效管理之核心，必須經組織與成員經由過去經驗下進行良性對話，即由相互

人事業務績效考核共分中央（含直轄市）人事處組；中央人事室第1、第2組；縣市政府人事處第1組、人事處（室）第2組，以及議會組第6組辦理評核，並列出其名次順序，據以表揚或對尚待加強部分，應予改進及列為追蹤查證重點，並作為評定各該主管機關人事主管年中考績及各該人事機構人員年終考績考列甲等比例之重要參據，上述實務經驗或可供未來運作之參考。
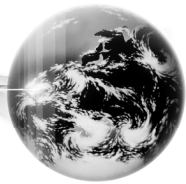
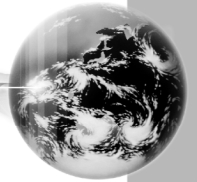對立到互相信賴，由組織疏離到組織承諾提升成員工作潛能與歸屬感，型塑共同願景與良善運作之績效管理機制。

再者，加強彼此對話及良善溝通，建立團體課責，有助於組織信任。在績效管理建構過程中，將個人與組織團體結合最直接之方法，即強化參與及對話之機制，使成員均能參與績效管理之規劃、目標設定、衡量作業及績效產出與結果之確認等，並能適切發揮影響力。以往績效評核多由上而下，在權力運作過程，課責之對象僅為個人。然實務運作上，以個人為課責主體對象並不具公平性與合理性，因成員之表現未必均與組織績效優異程度成正比，當個別成員之表現均為優異，但組織運作之產出或結果未能成功時，其主要關鍵原因在於領導及管理層面，而非成員本身。因此，績效管理應適度導入民主課責機制，組織成員既為被評估者，亦是績效管理之共同協力者，透過團體與民主課責，才能將組織團體與其單位及成果有效結合，成為運作良善且完整之有機體。所以，個人考績及團體績效評估結果與人事獎懲或預算分配尚得維持目前之思考模式與作法，惟長遠宜予漸次脫勾處理，因績效評估結果應導向發展與激勵性功能為主，至少不必強調兩者之緊密聯結；此乃源於績效良窳之因果關係不祉非常複雜，且以績效與政府預算之聯結，不單是簡單線性之邏輯，而是存在多元複雜之關係（參照張四明，2009：14），必須漸進配套改革之。

二、法制面向：研訂個人與組織目標之連結及評量工具規範

績效管理必須考量個人考績與團體績效評比的議題，而將個人考績與團體管理績效有效整合之前提要件，係經由「策略規劃」之活動，將組織所有成員均納入組織年度內之運作策略的架構下，以達成組織之策略。每位組織成員應有之作為為何？應扮演之角色為何？均可作為衡鑑成員績效之基礎。由於對每一位組織成員之要求，均以組織策略之達成為前提進行設定，因此，只要掌握每位成員績效達成度，即可推知組織策略達成度。未來公務人員考績法應規範配套性的績效管理工具，主要包括「目標管理」及「平衡計分卡」以及有條件參採 360 度績效評估回饋制度（徐木蘭，2000：239-246）。至於全國實施績效評估時的問題及其解決之道，亦可併同思考。

因為目標管理之重點，在於成員依據組織總目標，以及成員工作職掌，設定其特定工作目標，主管必須發揮領導與管理功能，協助成員達成目標及展現被期待之行為，完全奠基於成果之績效導向、參與式管理及成員自我控制之管理哲學。而完整的績效管理制度，須由上而下、由面而點，逐步建立順暢快速的回饋機制，目前公務人員考績制度為人詬病者，在於未能有效將組織目標和預算與個人目標設定做有效之連結與扣合，往往出現個人目標達成，組織目標卻未完成之管理謬誤，亦即出現人民觀感與公務人員考績甲等比例之落差現象，所以法制上應建立快速回饋參與機制，是讓個人考績與團體績效能有效扣合的關鍵所在。

復以目標管理為確保所設定目標之正確性，且為遷就目標必須達到「可被衡量」之原則，往往造成設定之目標偏向財務性目標，而無法完整涵蓋現代化組織高度智慧或知識管理的特性。爰配套的合於「策略地圖」應是可行的途徑。再以各機關使用平衡計分卡時，應先所提出完備之指標，呈現現代化組織必須實現之多面向價值，尋找組織短期與長期目標間、財務與非財務之量度間、落後與領先之衡量指標間、以及組織內部與外部績效構面間之平衡狀態。即在

參照或引進不同時期之平衡計分卡時，應視為因應不同的管理課題而定（Kaplan & Norton，朱道凱譯，2008），且應重視該策略價值之定位，以及其策略方法之精神所在即可，亦即考量降低不同單位之本位主義，或應避免因過度分化造成單位間之繁複協調互動與文書相關活動，方可避免目標錯置之謬誤現象。至於 360 度回饋制度，主要在考量行政倫理與組織文化因素，所以，不宜貿然全部採行。
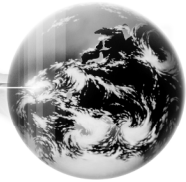
三、管理面向：強化首長與主管領導及考核能力

　　個人考績與團體績效之連結，其成功之關鍵，在於能以整體角度區別不同成員對組織之貢獻度，而成員若對組織沒有貢獻時，即應有補強訓練或有退場機制之設計。因此，有效的績效管理，除考量品德、操守、忠誠、廉正、關懷外，亦須留意知能、效率與績效，並以確實分工與責任歸屬為評量基礎，同時針對不同業務性質訂定適當而多面向之評估方法與工具，以利評鑑個人考績等次與團體績效。

　　再者，首長與主管必須承擔個人考績與團體績效評比的責任。首長考核主管時，除重視功績原則（merit principle）外，更須重視民意，以同理心傾聽與關懷民眾的心聲等政治性價值因素。易言之，績效管理的主要目的在獲得人民對公務人員的尊敬，所以須能為民興利爭取福祉，非僅消極防弊而已，且係對依法行政的積極作為之正解。當然亦須正視其可能之盲點所在：如團體績效評核基礎要能完全客觀公正而且「有效」，至少應掌握 SMART 原則，惟其指標是多元的，而宜掌握 4E 之共同標準[34]（關中，2009b：19-20）。且如各單位選出評估委員來評比時，對於單位人數較多者，是相對有利。又對於不公評核案件，退回該評估委員之評分表（包括單位主管或評鑑委員），是否違反績效管理原則，亦為須重視之議題。同時，政策評估非以短期之利益為考量基準，而需觀察其長遠的利益及所謂「超後果判斷」也。另筆者長期觀察，好長官讓工作積極能力強的成員發揮，甚至容許成員犯小錯，使渠展現才幹潛能。但當成員遇到不太信任或能力德行均不足的長官，如何與長官產生互補而相互成長？實務上，團體或個人之績效不彰的原因何在？改進之道為何？從管理者角度言，至少應留意首長或主管的角度或非主管或不同層級非主管角度？是值得思索的。

　　至於如何增進或測定主管正確考核部屬的能力方面，筆者贊同關院長中日前對初任各主管演講中所指出（2009）：善用考績法有關規定與工具，達到改善個人績效、單位績效及機關績效的目標；同時首長或主管人員必須要承擔一定的責任。參照渠提出之初步具體作法是：必須正確且有效的平時考核：主管不可為求單位和諧，縱容績效不佳的公務人員，致使機關包容怠惰，形成反淘汰之惡性循環，甚至於發展出許多陋規。另外，在團體績效承擔責任方面，於考評時需注意：（一）首長

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[34] 關院長中指出績效指標之設定應掌握 SMART 原則：S 代表具體（Specific），指績效評估的指標必須具體，不能籠統。M 代表可衡量（Measurable），指績效指標是可衡量的，例如可數量化或者行為化的，驗證這些績效指標的數據或者資訊是可以取得的。A 代表可實現（Attainable），指績效指標在付出努力的情況下可以實現，避免設立過高或過低的目標。R 代表相關性（Relevant），指績效指標與工作的核心內容有密切相關性。T 代表有時限（Time bound），指完成績效指標有一定的期限。而在績效評估的共同標準上，一般來說，慣用的指標是 3E，即效率（efficiency）、效能（effectiveness）和經濟（economy），近年來又增加公平（equity）的指標。也就是說用最少的資源達到最大的產出、愈接近目標達成度，就是績效。

或主管要有正確有效的考核能力，既能考評其產出有關之服務質量，亦可評鑑初期結果之目標達成度或所造成影響。（二）各單位應有分類差別，或僅列排名等第？確立各單位評分的寬嚴標準，或至少在各單位間有區隔，其獎懲亦有分數差異性。（三）同時要為部門同仁的能力優劣和績效產出表現負起責任，善用和開發同仁的能力與協助其成長，也是主管的責任之一；正確而有效的評估成員的績效只是手段，績效管理才是目的；（四）增加面談機制，協助成員了解其優缺點，並加以改善[35]。因此，首長或主管人員面談前的準備、面談的態度與技巧，面談時機（間）在上班或下班時、辦公室或非辦公室，都可能影響面談的結果。面談是可以協助首長或主管與成員良善互動，並決定成員之訓練需要，以及陞任遷調與潛能之評估與開發，在績效管理上是極為重要的。
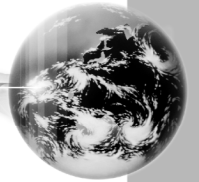
四、技術面向：配合雙軌多元之評核方式

由於績效管理主要重在落實執行策略，以達成機關組織目標及管理作為。其內涵至少包括機關組織績效、各單位績效、個人考績，以及三者間之互動連結關係。此亦可做為民意機關檢視評估行政機關施政作為之依據，並藉以確定民主政治的課責機制與功能。機關首長可經由單位績效與個人考績評量，以達到文官體制之政治控制；各單位主管經由個人考績評量來達到領導與協助首長指揮監督同仁完成既定工作目標；各機關組織成員可透過績效評量指標與考核，以確立個人工作標準與發展方向。

目前政府部門個人表現及整體績效產出與結果，係透過人事考績及研考評鑑之兩元體系進行，其結果除國營事業及相關機構外，施政績效不影響個人考績，個人考績少有反應組織績效產出與結果。從績效管理之觀點，人事考績及研考評量均為績效管理之內涵，在績效管理有效性上，應建立在兩者之相關連結，而非獨立運作；民進黨執政時曾經試圖於人事考績中，導入具績效理念之獎金制度，以配合實施團體績效之評核制度，但未能全面成功地實施，其設計之制度內涵，亦未能完整地思考與研考功能緊密接軌[36]。未來於考績制度修正設計中，除實施團體績效評核外，亦應將研考職能導入制度設計中，或賦予人事部門具有部分研考職能；而程序上亦應有完整地連結設計。績效考核主要根據施政目標，透過目標管理等方法進行所屬機關之團體績效考核，其等次分配之審查，係將團體績效考核結果，送考績審查單位進行先期審查，以決定所屬等次比例分配或其他考核標準；最後確定評核審查，由所屬根據先期決定之等次比例及考績標準，完成個人考績之初評，再送考績審查單位進行確認審查，俾使團體績效評核確實，並能於個人考績評核中發揮應有之功能。

據此，公務人員的考績表應該加以大幅改革，使其成為因應各機關不同情況的考核量表。

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[35] 未來主管每年必須與部屬進行一至二次的面談，面談內容及結果要列入平時考核紀錄；其目的是為促進考評者與受考人雙方之溝通與瞭解，由具考核權之主管，對其受考評員工就工作方法、態度、目標、如何執行職務及工作檢討結果等實施面談。面談的基本立場是溝通問題、解決問題、創造雙贏，而不是為了處罰組織員工，否則便無法取得同仁的信賴，更遑論改革。

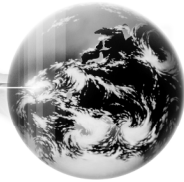[36] 如前所述，銓敘部配合考績法修正草案，於 2006 年間研擬「團體績效考核實施辦法」，但因公務人員考績法未完成修正，故仍為草案階段。

考核工作績效與發展潛能的核心，應該是成員的績效與服務倫理等。又在考量我國的行政文化較偏重追求形式之公平，經常造成主管之鄉愿妥協作風，應該明確規定獎優汰劣標準與比例。因為極為優秀的成員是極少數及容易辨識的；而表現拙劣者亦然，均應訂定一定比率，必能形成績效管理者的激勵與壓力因子，亦可發揮組織成員的潛能，如此方能進展至策略性人力資源管理層次，建構高效能政府。

伍、結語

在面對全球化、資訊化及知識經濟時代的變遷與發展，以及政、經、社、文、科各種環境變遷的嚴峻衝擊，各國政府為有效推動施政願景、政策理念與方針，及提昇國家競爭力，莫不致力於確認國家發展方向與提昇政府施政能力，而其成敗關鍵，則在於有無健全的文官制度，以提昇文官素質與效能。當前公共服務必須要跨域整合與協力治理，由個人至單位，由單位至團體，由團體至組織，由組織至機關政府體系，每一層級運作均須緊密整合，始能集中運用有限資源，經由協力而發揮綜效，而臻於善治之境域。

回顧現行公務人員考績法與績效管理有諸多未盡契合之處，而未來考績法修正案除納入考列甲等比例限制、團體與個人績效評量，以及平時考核之面談等較屬靜態的績效評量法制改革外，倘能顧及動態績效管理目標之達成，以建構一個彈性管理與行政高權倫理管制衡平的績效考核制度，應是最佳的決策。而型塑具有穩定周全的考核與適切淘汰退場機制，以及具有動態績效管理思維與方法之組織文化，是應戮力以赴的目標。因為透過績效管理制度的建立與執行在過程中，可對成員個人的心態及行為產生影響或導引之作用，使個人之努力目標能與組織目標一致，而發揮「目標趨同」（goal congruence）之作用。

綜之，公務人員考績法制，在融入績效管理及其達到目標趨同之過程，必須以策略規劃作為核心活動，使每一位成員之目標均由組織目標衍生而來，其評核過程能帶動組織成員參與，以建立共識，以策勵未來。當然，在鑑別不同成員對組織貢獻度差異之法制規範上，必須合乎公平理論的激勵原則，建立良善互動機制，方能建構個人考績與團體績效評估的扣合機制與作法，以有效連結個人及組織價值、行為與發展與提升組織團體動能，建立個人與機關團體雙贏之結果，建構高績效的政府，贏得人民的尊敬、信賴與支持，亦能助益於提昇國家競爭力。

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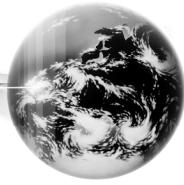吳　定（2000）。「建立公共服務卓越服務模式探討」，空專學訊，第 99 期。頁 49-56。

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An Analysis of Linking Individual Performance Evaluation to Group Achievement Assessment

Tsai Liangwen

Member of the Examination Yuan, R.O.C.

Abstract

Policy measures implemented by the government need to meet the needs and expectations of the people, while at the same time satisfying the demands of administrative accountability and achieving the government's performance objectives, thereby laying the foundations of good governance. Taiwan's current civil service system mostly lacks integrated mechanisms that can effectively control the performance and output of both groups and individuals in government agencies. This makes it difficult for the government to establish the exact causes of unsatisfactory overall administrative performances of agencies or ministries, and, by extension, renders impossible the task of developing effective solutions for improving administrative efficiency. In terms of human resources management, this means that since it is difficult to pinpoint the exact relationship between individual performance reviews and group performance, it is practically impossible to identify and assign responsibility to an organization's staff members in accordance with their individual work performance.

With regard to performance management in the public sector, this research will investigate the question of how to develop a mechanism that effectively aligns and interlinks individual performance reviews with group performance evaluations. Choosing a systematic approach, we will first discuss the theories and scientific tools pertaining to performance evaluation and management, before moving on to issues relating to individual performance reviews and group performance evaluations; our main objective in doing so is to explore ways of setting up mechanisms that provide proper linkage between these two types of performance reviews. We will offer suggestions with regard to the procedural, legal, administrative and technical aspects of achieving this goal in the hope of eliciting feedback and constructive criticism from other experts.

Keywords: individual performance review, group performance evaluations, performance management, democratic accountability, good governance
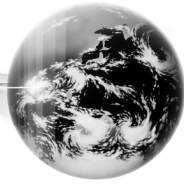
I. Foreword

Whether a government uses a performance-oriented, customer-oriented, or service-oriented approach to policy implementation, in any case the measures introduced must be consistent with the demands and expectations of the population, but also need to satisfy the requirements of administrative accountability (towards the legislature), and achieve the government's performance objectives to lay the foundations of good governance. The reward and penalty mechanisms (removal of unsuitable staff from their posts) enshrined in the civil service performance evaluation system are very closely connected to a sound public service legal system and a good morale among civil servants. In the face of globalization and political change, a matter of great concern to this author is how to respond adequately and timely to a changing political and social environment, so as to stay ahead of the curve (Tsai Liangwen, 2005: 11-38). This is meant by "good timing is of the essence to stay ahead of change, to solve problems, and to achieve sustainable results." Meanwhile, "change" is an enduring core topic of public governance, which has a great effect on the direction of a nation's political reforms. The ultimate goal of change and reform is to enhance the government's administrative performance. This is also the shared objective and ideal of new initiatives in the entire public sector.

In its practical application, performance evaluation is a rather strictly regulated and legally narrowly defined process. The Civil Service Performance Evaluation Act (CSPEA) lists in detail the various kinds of grades, ranks, and other items involved in the reward and penalty system, leaving little room for flexibility in their application. There is also the widespread phenomenon that most of the A-level grades are clustered in the management section of organizations. As a result, both overall organizational and individual output, and especially the relevant incentive mechanisms that drive performance evaluation and performance management[1] (Li Yunjie, 1997: 4-14; Qiu Chang Tai, 1998: 103-128; Wu Ding, 2000: 49-56; Sun Benchu, 2002: 38-46; Guan Zhong, 2009: 16-39) place particular emphasis on adjustments and responses to interlocking internal and external factors, as well as fluctuations in demands and requirements. In this context, the various departments/agencies often must have the authority to set down their own rules and regulations with a large degree of discretion, the net result of which is that in reality, there are vast differences between different agencies with regard to the strictness and degree of regulation (flexibility vs. rigidity) of performance reviews and bonus/reward systems (Yu Zhili, 2002: 45-60). When the focus is placed on performance output and results, the question of how to set up an efficient mechanism for organizational and staff management, thus enhancing the performance of individual departments and agencies (and by extension, of the whole government),

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[1] Performance evaluation can be divided into organizational assessment (including governmental performance assessment), government policy performance assessment, and individual performance assessment; whereas performance management models can be divided into sophisticated financial models, comparative and benchmarking models, quality models, holistic models, etc. Performance management, in addition to performance evaluation and development, includes formulation of organizational goals, as well as a complete and integrated systematic framework and response mechanism that ensure organization members and performance outputs and results are aligned with said organization's strategic goals. According to Weiss & Harflw (1997) and C. Cokins (2004:1) performance management should at the very least include a process, thereby allowing members to be in consensus concerning the content and method with regard to the attainment of performance goals; furthermore it must be able to increase either the success rate or possibilities of achieving performance goals (Wu Ding, 2009:535-541).
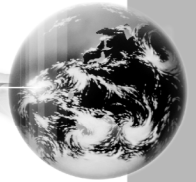
becomes a core topic of any proposed reform program aiming to improve civil service performance management. As far as the public sector is concerned, the government's output and results can be reviewed and evaluated with some degree of credibility, or at least sufficient data can be generated by performance management schemes to support gradual improvements in performance efficiency (Peters, 2007: 19).

Taiwan's current civil service system mostly lacks integrated mechanisms that can effectively control the performance and output of both groups and individuals in government agencies. Under the performance management system now in place in the public sector, group performance and individual performance systems are two entirely separate entities.[2] Since a mechanism has not yet been established for linking up overall performance output and results of organizations and departments with individual performance reviews, it is currently very difficult for the government to establish the exact causes of unsatisfactory overall administrative performances of agencies or ministries, and, by extension, renders impossible the task of developing effective solutions for improving administrative efficiency. In terms of human resources management, this means that since it is difficult to pinpoint the exact relationship between individual performance/performance reviews and group performance, it is practically impossible to identify and assign responsibility to an organization's staff members in accordance with their individual work performance. Under these circumstances, human resources management is hardly capable of contributing much to stimulating productivity in the public sector (be it in economical terms, or in terms of general efficiency, effectiveness and concrete results) by removing/reassigning unsuitable staff members and rewarding/promoting outstanding personnel. When it comes to reasonable and fair criteria for accountability, a notable problem is the fact that evaluations of individual performance generally focus very much on staff members' actions and attitude, and are divorced from larger aspects of human resources management, such as the legal standards for collective responsibility and accountability employed with regard to entire sections, groups, departments, or even the whole government. As a result, the system as a whole often fails to conform to crucial standards, such as reasonable terms of accountability and the ratio principle (cf. Chen Zhiwei, 2005: 131-148).

To sum up, this research will investigate the question of how to develop a mechanism that effectively aligns and interlinks individual performance reviews with group performance evaluations. Important issues pertaining to this question include: 1) Examining the population's assessment of government performance, as well as the performance of individual civil servants, and attempting to discover the reasons why public evaluation of government performance often fails to be in agreement with civil servants' self-assessment; 2) Exploring the question of how we can introduce an effective mechanism for group performance reviews to the current civil service performance evaluation system, and what the most adequate standards and criteria would be for such group performance reviews; 3) Exploring the mechanisms and methods for strengthening the

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2   Group output-oriented performance can be divided into intra-agency and intra-departmental comparison and assessment. The former is primarily measured through "research and development mechanisms", while the latter makes use of recent legally mandated performance bonus systems; however, whether those departments in charge of personnel matters should, in the future, work with those departments involved in research and development is a direction worth considering. As for individual performance, it is measured through "personnel management mechanisms", which are carried out by a legally mandated performance appraisal system. In 2004, the Ministry of Economic Affairs, in accordance with related provisions, implemented performance bonus and appraisal system, to be applied to its 11 agency heads (Industrial Development Bureau, Board of Foreign Trade ...) as well as departmental and/or individual level of performances.

connection between individual reviews and group performance reviews for administrative purposes. Choosing a systematic approach, we will first discuss the theories and scientific tools pertaining to performance evaluation and management, before moving on to issues relating to individual performance reviews and group performance evaluations; our main objective in doing so is to explore ways of setting up mechanisms that provide proper linkage between these two types of performance reviews. We will offer suggestions with regard to the procedural, legal, administrative and technical aspects of achieving this goal.

II. The Theoretical Basis and Analytical Tools of Performance Evaluation and Performance Management
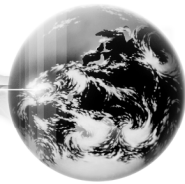
When conducting performance reviews and implementing performance management mechanisms, the government needs to clearly define its concepts of performance assessment and evaluation, before starting to put into practice concrete administrative and policy measures in support of establishing the functional structures for an effective review system. Before the CSPEA undergoes its next major revision, everybody (including agency leaders, department heads, and individual staff members subjected to periodic evaluations) should act in accordance with the proper performance management concepts, attitudes and courses of action during evaluation reviews. Practical principles can serve as a guide for performance reviews in this situation, with the ultimate goal being to achieve the objectives and goals of performance reviews. The specific methods to be employed to this purpose are discussed below (cf. Tsai Liangwen, 2008b: 421-425).

1. Analysis of Performance Review (Evaluation) Theory and Related Issues

If we want to understand the functions of performance reviews and the future direction of improvements to such reviews, we first need compare the types of performance evaluation embedded in traditional human resource management with those employed within the framework of modern human resource management methods. In traditional human resource management, performance evaluation was centered around the organization as a whole, integrated entity[3], while modern human resources management stresses the importance of individual productivity in performance reviews.[4] It is well worth the effort to try and find a way of balancing these two approaches so as to adopt the advantages of each, and eliminate their shortcomings (Tsai Liangwen, 2008a: 41-147). Performance evaluations in public agencies can also be termed efficiency ratings or service ratings (Xu Nanxiong, 2006: 495). In addition to strategic human resource management objectives, performance reviews comprise a number of other functions as shown in Chart 1.

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[3] Such as: 1.Linking of salaries and productivity issues 2. Career choices 3. Assessment of training needs 4. Improvement of communication between supervisors and subordinates. 5. Documents outlining workplace agreements, etc.

[4] Such as: 1. Fairness 2. Development 3. Participation 4. Other integrative or supporting functions in human resource management.

Development and Motivation	Management and Administration
provide performance feedback	establish human resource policies
confirm individual advantages/shortcomings	select staff members for promotion
determine individual performance	select staff members for transferal, delegate tasks and projects
support determination of objectives	define what constitutes bad performance
assess whether objectives have been achieved	personnel decisions (hirings & firings)
determine individual training needs	mechanism for removal of unsuitable staff members
determine organizational training needs	effective criteria for staff selection
strengthen authority frameworks	legally sound human resource mechanisms
allow staff to discuss issues of concern	assess training programs/progress
improve communication & motivational development	human resource planning and application
open discussions/interviews, support by leaders	draw up reward and bonus policy

Source: cf. Snell & Bohlander, 2007: 333.

Chart 1: The Objectives of Performance Reviews

In the below, we take a more detailed look at the functions of performance reviews (cf. Tsai Liangwen, 2008a: 143-145):

i) Performance Reviews Are Evaluations of an Organization's Staff: Under the current system, only individuals fulfilling the following requirements qualify for performance reviews: a) they are current staff members; b) they have passed the ROC civil service examination; c) they have been employed in their current post for six months or a year. Performance reviews examine the relationship between an organization's leaders, staff members, and work content, all of which are separate yet closely intermeshed entities. In this context, performance reviews can serve to provide work-related guidance and counseling, improve the relationship between staff members, examine the organization's or individual's objectives, and function as a tool for reform.

ii) Performance Reviews Focus on Work Performance and Moral Conduct: The work performance of civil servants is a key item in any performance review. Another crucial aspect is the moral conduct of civil servants: are they honest, sincere and reliable? Are they incorrupt, loyal and enthusiastic? The answer to these questions greatly affects public perception of the government and the civil service system. For a more detailed list of the content of performance reviews, compare the core values of civil servants promulgated by the Examination Yuan: righteousness, loyalty, professionalism, efficiency and sincerity. Another authority on the content of performance evaluations is Bowman, who proposes to integrate several approaches into performance reviews: the trait-based approach, the behavior-based approach, and the results-based approach (1999: 557-576). When fleshed out with concrete methods for application, this makes for a more efficient and reliable way of conducting performance reviews.

iii) There Are Three Equally Important Types of Performance Reviews, Namely Periodic Reviews, Annual Reviews, and Case Reviews: Routine and annual reviews are periodically held evaluations (usually at regular intervals), while case reviews deal with staff's performance on particular tasks or projects, or

with major contributions or mistakes (merits/demerits) that deserve detailed investigation. The point of these reviews is to ensure a close correspondence between performance and rank/terms of employment, and strengthen the reward/penalty system. This in turn boosts morale among civil servants and creates a positive organizational climate and culture.

iv)Performance Reviews Are One of the Methods for Achieving the Objectives of Human Resources Administration: The most basic function of human resources administration is to reward good performers and weed out bad ones, thereby enhancing the organization's overall efficiency and effectiveness. Employees are selected via entrance exam, in which they are mostly tested in general knowledge. This is different from performance reviews, in which the focus is on examining their actual work skills and practical capabilities. Therefore, one might say that performance reviews are an extension of entrance exams, and like any kind of exam, they need to deliver in terms of reliability and validity (in addition to being aligned with strategic and concrete requirements) if they are to be a useful tool in assessing employees' abilities.[5] At the same time, rewards and penalties are an important basis of selecting good performers and deselecting bad ones in administrative agencies. In other words, performance reviews provide useful incentives and motivation for talented employees, and are also a good means of enhancing an agency's overall effectiveness. If we wish to create a more motivated and committed civil service system, performance evaluations are one of the most important weapons in our arsenal.

Garnering the trust of the people, and fulfilling their needs and demands, is the core value of democratic governance and governments.[6] To ensure that government and civil servants can truly fulfill their obligations towards the people, democratic administrations need to rely on a set of effective administrative or political accountability mechanisms. Put differently, the ultimate objective of performance reviews is to satisfy the needs of the population and create prosperity for everyone. While revisions of the CSPEA were being drafted, the Ministry of Civil Service during the June of 2009 held several meetings and symposiums, inviting scholars and experts to assess from various angles critical aspects such as "work performance, moral conduct, and other items relating to the administrative process." It was found that the specific content of performance reviews was to be decided by the agencies at their discretion, and that in addition to reward and penalty systems, key performance indicators (short KPIs) are also an excellent tool for rewarding the good and weeding out the bad, thereby increasing evaluative efficiency and fulfilling the organization's overall requirements.

2. Analyzing the Theory of Performance Administration and Related Topics

i) The Definition and Strategic Planning of Performance Management

The equilibrium between an organization's strategic overall objectives and individual performance indicators is marked by vertical differentiation and integration, which form an objective-driven system. This

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[5]   In accordance with present personnel administration procedures, employees only face an entrance exam without a later performance assessment, i.e., workplace admission mechanisms lack corresponding exit mechanisms. As a result, it is impossible to assess the performance of those already employed; a problem, as today's outstanding examination results do not necessarily translate into future workplace performance of similar quality.

[6]   In democratic countries, the responsibilities of civil servants are three-fold. They are responsible to (1) the Chief Executive, (2) elected officials or ministers without portfolio, and (3) the people. Of the three, the most important and also highest level of responsibility is to the people— the ultimate source of governing power.
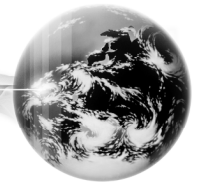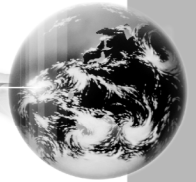
needs to be taken into account when discussing the issues relating to performance management processes. Shafritz and Russell (1997: 299, 302), two scholars researching public administration, proposed a circular model of performance administration (as shown in Chart 2). They state that first of all, all the various administrative aspects of an agency, such as budget, human resources, performance evaluation and individual performance reviews, should be interconnected; secondly, the objectives and expectations of the agency/department leaders should be aligned with the service output of the basic-level employees; thirdly, the central departments in charge of policy and decision making should be effectively interconnected with the employees in charge of executing the policies and dealing with the clients (i.e. the service end of the organization); and fourthly, one should establish mechanisms of commensurate rewards for good efforts/output by employees through a performance-based system of rewards/bonuses, and by rearranging the organization's ranking priorities. Shafritz and Russell even go so far as to state that if waste, redundancy, or lack of efficiency become a problem within an organization, the main underlying cause is generally that one or more of the four conditions described above were not achieved because of ineffective alignment/linkage of the specific factors involved. In particular, the organization's strategic plans need to be tightly interlinked with the administrative system if the performance criteria are to be readily adjusted whenever this becomes necessary to keep them in sync with the organization's long-term objectives and development strategy.
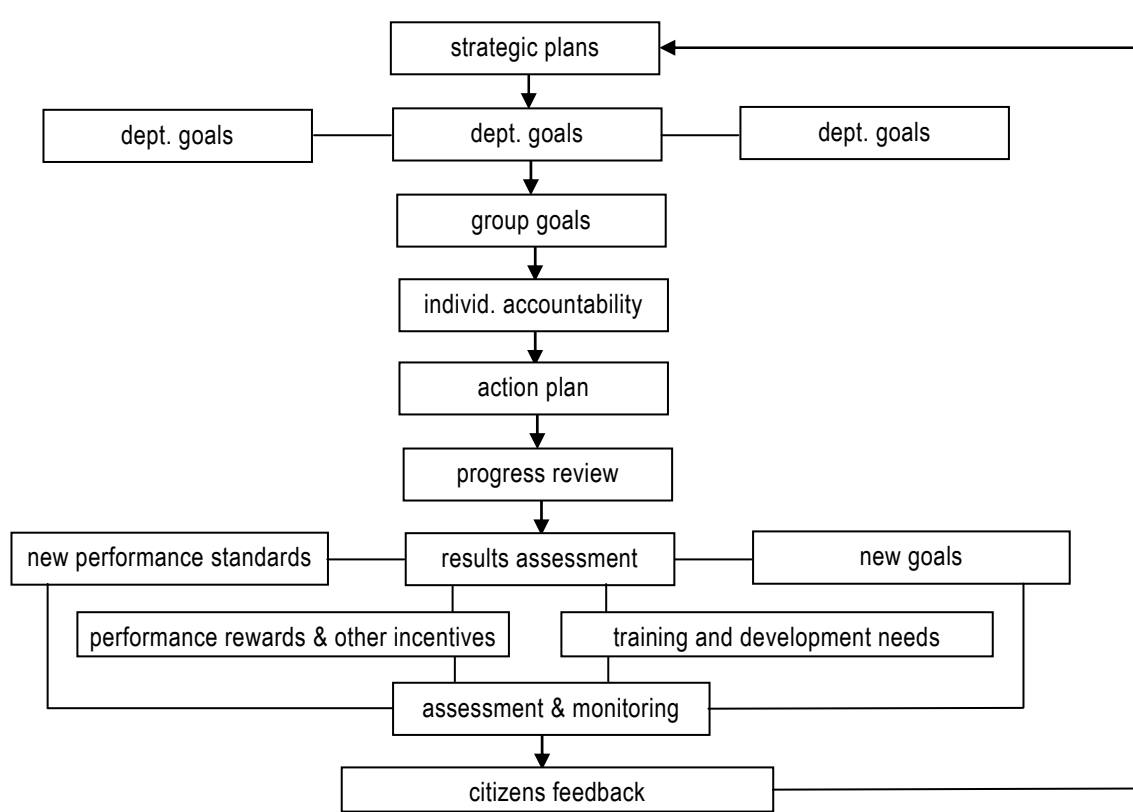

Source: cf. Zhu Jinchi (ed. Wu Ding), 2009: 334-335.

Chart 2: Circular Model of Performance Administration

ii) The Basic Functions and Structures of Performance Administration

The basic concepts of performance administration include cost reduction, legality of process, fairness and impartiality, efficiency of input and output, and assessing the effectiveness relationship between input and output, and final results (see Chart 3).
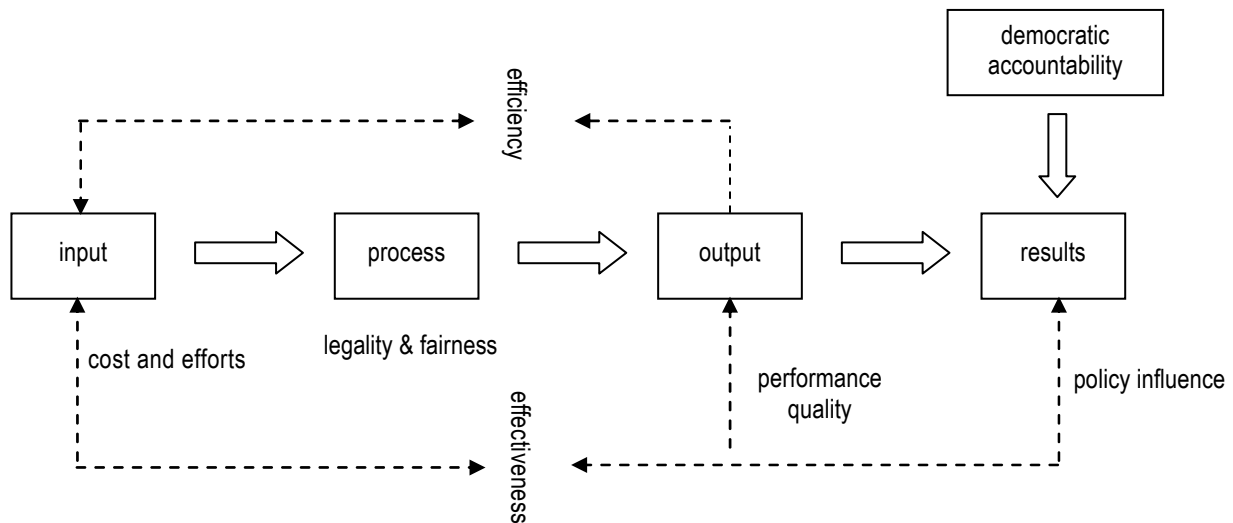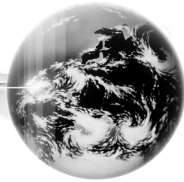

Source: cf. Talbot (1999); Hu Longteng, 2009: 8.

Chart 3: Basic Concepts of Performance Management

There are several types of performance management, including assessment of the government's governance/administrative performance, and reviews of the performance of individual members of organizations and departments that are part of the administrative apparatus.[7] Others differentiate between measurement and management (Cawte, 2009: 6).[8] The main focus of US performance management systems is to standardize the performance evaluation process within government agencies, and put into place reforms that can change civil servants' attitude and behavior, thereby shaping a positive and effective management culture. These are aspects worth considering when we try to strengthen the performance control mechanisms and structures of Taiwan's government. The ultimate goal of conducting individual performance reviews is to improve the overall

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[7]   The U.S. Government Performance and Results Act, (GPRA) states that Congress, or other departments not affiliated with the executive branch of government, have the power of intervention and can implement budgetary controls, or require that organizations provide a road map of their strategic plans. Together with corresponding financial oversight as laid out in the Chief Financial Officers Act (CFO Act), the GPRA is an important player in maintaining checks and balances through external oversight. Perhaps the greatest significance within the U.S.'s implementation of the GPRA lies in the transformation of "bureaucracy driven" models of government reform into "citizen driven" reform, thus facilitating the integration between administrative models and contemporary governance structures.

[8]   The Australian government describes its performance management philosophy as follows: A means to improve the performance of individuals and teams to achieve business goals⋯used to align organizational and individual planning; a mechanism for rewarding and recognizing good performance and managing under-performance; a mechanism to support skill development and career planning from a workplace planning perspective; and a mechanism to identify and develop required capabilities for a capable, adaptive and effective workforce. (Source: written transcript of Australian Commerce and Industry Office representative's speech presented to the Examination Yuan on December 7, 2009.)

performance of the entire group or organization, and help to implement effective performance management for all government agencies. The areas affected include properly linked policymaking, policy execution, performance evaluation, measurement and appraisal. Within this framework, the thorniest issue currently faced by government institutions around the world is how to install effective methods for properly linking two obviously connected factors: performance measurement and performance appraisal. According to the Performance Institute, a private US think tank, performance measurement is a tool for assessing a government agency's activity, and how that activity is transformed into specific outcomes. Meanwhile, appraisal of plan performance is based on the examination of an organization's efforts, and helps to understand the impact an organization has on customers or external objectives and processes (Sun Benchu, 2005: 49).

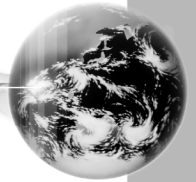iii) How to Deal with Errors in the Performance Management Process

In its origins, Performance management is a management technique employed by businesses to strengthen the performance of their employees.[9] Then, performance management theories became a much researched topic, and a number of different definitions of performance management arose. Some defined it an executive strategy for efficient management, designed to achieve an organization's objectives via a number of specific processes; others stressed the importance of interactive relationships between employees and their superiors in order to establish ways of assessing work performance, and identify performance obstacles and ways of removing them. Some approached performance management from the top-to-bottom angle, examining the relationship between supervisors and their subordinates, and asking how continued and sustainable communication in both directions can be achieved to make possible joint learning and growth (Qiu Tianxin, 2006: 16-17). Prof. Huang Yingzhong maintains describes performance management as the art of successfully connecting appraisal of employees' contributions and potential development with the objectives of an organization.[10]

Recently, J. D. Zients, appointed Chief Performance Officer by US President Barack Obama, described five key factors in the performance management reform proposed by Obama which may serve as a useful reference: a)senior leader ownership of performance management process; b)cascading goals and measurements; c)outcome-oriented, cross-agency goals and measurement; d)relentless review and accountability; and 5) transparent process (Hu Longteng, 2009: 20-25).

To sum up, performance management is concerned with long-term strategy and the achievement of objectives. In application, overall goals and strategies are defined in accordance with the organization's prospects and mission; then specific short-term objectives and measurement/review mechanisms are put into place. Next, budgets are allocated and resources distributed in support of action plans for achieving the

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[9] First proposed in 1978 by M. Beer, R. Ruh, J.A. Dawson, B.B. McCaa & MJKavanagh et al., in *Personnel Psychology*.

[10] Through the combination of governmental agency policy implementation, strategic goals, as well as departmental and individual goals, performance management creates an effective process of integration, transformation and linkage. As such, the scope of performance management extends to areas of performance development and strategic management, as well as expanding the previous emphasis on "post-action assessment" to "pre-action planning" and "assessment feedback at any time." In other words, as a result of the process of pre-action planning, two-way communication, and continuous improvement, members are given full rein to express inherent abilities and potentials, thereby enhancing organizational competitiveness in a highly competitive environment. Regardless of which area of performance management one starts with, the end goal is the same—enhancing organizational performance. For further information refer to Liu Yi-Chun's *Case Study of Performance Management of Corporations: The Benchmark to Public Performance Evaluation System*.

proposed objectives. During the work process, periodical assessments help to evaluate and monitor how well individual departments are fulfilling their tasks and achieving their specific goals. Analyses are performed (and, if necessary, adjustment implemented) to establish how well the performance and output of individual departments are aligned with the organization's overall strategic objectives. Individual performance management, on the other hand, places emphasis on enabling employees to perform to the best of their capabilities and potential. In addition to focusing on finding the right people for the right job/position, individual performance management stresses even more the proper linkage between individual output/contributions and the organization's overall objectives. While it can be difficult to realize all these goals in practice, the ideals and philosophy described in the above are certainly worth our consideration.
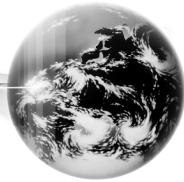
3. Analysis Tools for the Comparison and Assessment of Individual Performance and Group Performance

Any tool for measuring, comparing and appraising performance is not an end in itself, but just a means to an end, which is to foster a shared set of values and goals among the members of an organization, allowing them to work for a joint objective. It is also a means for streamlining an organization's operations and management. The most important overarching goal is to win the trust of the people and enhance the government's efficiency and effectiveness. Of course, different times and circumstances tend to produce distinct types of performance management and assessment, something that can be witnessed both in the British and the American approach to performance reviews.[11] In the following, we will give an overview of methods for measuring and evaluating the performance of individuals on the one hand, and groups on the other.

i) Methods of Individual Performance Evaluation

There are numerous methods for evaluating the performance of individual employees, all of which have distinct characteristics, modes of operation, objects, and limitations. It is difficult to identify or list the exact advantages and disadvantages of each method; neither is it usually a good idea to rely on only one single method in conducting performance reviews. The truth is that depending on who exactly is the target of a performance review, the principles, processes, and very methods involved should differ. The same principles and criteria simply cannot apply both to experts and general staff, or both to management and basic-level employees. Different standards also apply for high-level administrative staff and medium and low level employees. It is therefore wise not to adhere too strictly to just one method, or place too much emphasis on formal rules. It is more important that whichever specific approach one opts for, it is in sync with the basic

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[11] Taking the British Foreign and Commonwealth Office as an example, assessment focus includes the creative ability of its members, their ability to work with others, and the quality of public service offered. The quality of such service— good or bad—has a direct influence on work bonuses, as well as promotion and extra training opportunities (see transcript of United Kingdom's representative to Taiwan 2009 speech). In Lunger (2006), recent approaches in performance management are summarized as follows: focus on strategy with regard to government organizations; establishment of new value orientations; emphasizing coordination with regard to fulfillment of performance goals; attention to customer and public service orientation; work on short-term interests, with a greater emphasis, however, placed on long-term public interest-oriented decisions; individual performance as the foundation of group performance assessments; emphasis on cross-domain functions of linking and measurement; and attention to the process of monitoring growth and development.

principles and values of performance evaluation, and allows for a careful and effective assessment[12] of the actual quality of employees' output through reliable performance review methods (Rosenbloom & Kravchuk, 2005: 226-231).[13] This way, the basic functions of performance evaluations can be realized, and the objectives of government agencies be achieved. In short, the appraisal tools and methods involved need to be flexible enough to undergo adjustments and fine-tuning in accordance with changing requirements, if they are to consistently achieve the desired results. No matter which method of evaluation one chooses, it is always essential to first take a long hard look at what one wishes to achieve and how, i.e. one should carefully consider whether a given method fulfils the following criteria with regard to the organization/agency involved: adequacy, sustainability, interconnectedness, and potential for consensus. In applying any method (s), one should be open for introducing new concepts and approaches if one wishes, in the interest of the organization, to maintain the highest degree of evaluation efficiency.

ii) Methods of Group Performance Evaluation

Turning now to the concepts and methods of group performance evaluations, we will first have a look at the results and opinions voiced in past research. In particular, we analyze and discuss methods and concepts of group performance reviews in relation to the current revision of the CSPEA (cf. Zheng Yingzhou, Zheng Suzhen, 2007: 3-9).
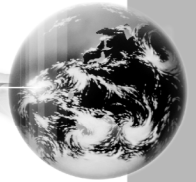
a) Balanced Scorecard (BSC): this concept was first published in 1992 by Kaplan and Norton in the Harvard Business Review. The article described employs simple and precise methods for measuring activities relating to business goals and long-term strategies to allow management a comprehensive understanding of their company's overall performance. The term "balanced" in BSC refers to the fact that under this concept, not only financial/budgetary criteria are included in the evaluation process, and that non-financial indicators are given their due as well.[14]

Since 1992, a number of scholars have proposed a fairly broad variety of sets and combinations of factors involved in BSC, and of potential reference indicators. In order to deal with the problem of how

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[12] Commonly used methods of assessment are as follows: 1.Observation and judgment assessment 2.Project assessment 3.Comparative assessment 4.Distribution assessment 5.Performance standards assessment 6.Special case assessment. In addition to the above assessment methods, there are several other assessment techniques available, each with their advantage and disadvantage. Among them are: The Graphic Rating Scale Method, Behaviorally Anchored Rating Scale Method, Alternate Rating Scale Method, Forced Distribution Method, Critical Incident Method, and Goal Management Method (Dessler, 2004:330). As for performance evaluation, in addition to using financial indicators and the indirect costs as assessment criteria, one should also be familiar with other methods of evaluation, including: Bench Marking, Total Quality Management (TQM), Six Sigma, Activity Based Costing (ABC) and Balanced Score Card (BSC) (Lin Chia-cheng, 2004:1-20; Shi Neng-jie, 1998:35-51; Xu Zhi-li, 2003; Wu Zhu-xian, 2003:301-405, et al.)

[13] According to Rosenbloom et al., performance evaluation has been the subject of considerable attention in the U.S. since the 1970's. During that time it has been acknowledged that appraisal results exhibit subjective disparities and the output of public servants is not quantifiable. Therefore, they contend that governmental performance evaluations, to a certain extent, are a reflection of a search for techniques in which performance factors and member characteristics are emphasized.

[14] Kaplan and Norton present several performance indicators; however, in addition to providing key performance indicators it is necessary to make use of key processes that support operational activities which are themselves utilized in the achievement of strategic goals. By using quantitative methods to clearly measure business performance, the result is the attainment of effective management goals, improvement of operational advantage, and creation of business value.
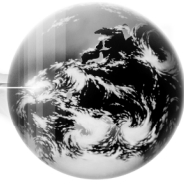
to choose adequate criteria, researchers linked the selection of performance indicators to strategic objectives, and presented the connection between strategy and criteria in strategic maps. For each basic aspect/factor, managers need to identify five to six concrete goals represented by it, and mark in the strategic maps the causal relationships between these various goals. After this has been achieved, the next step is to identify representative indicators or criteria for each of the goals. Since this approach meshes fairly well with existing organizational structures and developmental patterns, it has been very widely used over the past 15 years.[15] The main four theoretical and practical factors involved in BSC performance management are not without their limitations. AS R. K. Merton has pointed out, when agencies in the public sector make use of BSC methods, this can lead to a phenomenon known as displacement of goals.[16] The public sector can mainly be divided into agencies that provide various types of service, and state-owned enterprises. With regard to the former, it can be very difficult to define quantitative performance indicators. In other cases, quantitative performance criteria may be identified, but the question then is: who exactly are the customers? And would it perhaps be more appropriate to consider the services provided by civil servants primarily to be democratic services, public services, and public interest concepts and values, rather than the more emphasized customer services, concepts and values related to public management and individual interests (Denhardt & Denhardt, 2007: XI–XIII)? And, therefore, should customer satisfaction or overall fairness be considered more important? This line of questioning quickly leads into a quagmire of policy disputes—in the end, if your perspective is different, then your performance criteria will also be different. Practically, this means that when implementing BSC methods, the public sector should stress their substance rather than their specifics, in particular the diversification of criteria. Since different departments provide different services, they are also endowed with distinct types and amounts of authority. This aspect comes into play when, for example, one needs to align the indicators and organizational goals of personnel departments, R&D/evaluation departments and environmental protection departments: clearly, one size will not fit all, and any results and numbers generated cannot be directly compared to each other.[17]

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[15] Although Balanced Scorecard examples are readily available on the Internet, scholars believe that the direct use of existing Balanced Scorecards does not provide the best results for the organization that uses them. Effective use of Balanced Scorecards starts with an effective implementation model, which includes the conversion of organizational vision into operational goals; the clarification of relationships between such goals; the collection of concrete indicators reflecting performance development, followed   finally by a corresponding adjustment in development strategies. In this way, the organization and its members can reap the greatest benefit from the use of Balanced Scorecards (see: http://en.wikipedia.org/wiki/Balanced_scorecard).

[16] Concerning use of strategic maps to make up for these inadequacies, as well as the individual use of four perspectives within the sphere of public administration, the problem lies in the fact that financial perspectives in the public sector are subject to the legal constraints of budgetary and administrative procedures, with financial performance indicators used by sales departments in the private sector, for example, clearly contrary to the workings of the public sector.

[17] Of course, factor analysis is a commonly used method when constructing indicators, but its application raises the question of how is the target chosen? Is it suitable for testing departments within the public sector? Do the results match the four perspectives? Can these perspectives accurately reflect organizational goals? And can each perspective be given the same weight? If any of the above questions cannot be answered, there is a danger of the whole process drifting from the original intent of BSC, becoming nothing more than just "paperwork". Although a strategic map, to some extent, can help fill in such gaps, with regard to the public sector, real lessons instead comes from answering the following questions: What is the vision of public service? What are the organization's
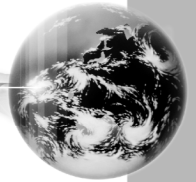
b) Management by Objectives (MBO): this method was proposed by Peter F. Drucker in 1954, and has more recently been appropriated by proponents of concepts such as "respect for the individual," "search for the meaning of life and work," or "development of the individual's potential." Drucker's appraisal mechanisms are widely used in all kinds of work environments.[18] On the whole, MBO is entirely results-oriented, and is meant to serve as a method for assessing the mechanisms of positive interaction between agencies and the members of their individual departments, as well as the methods employed to improve performance. Individual goals can readily be aligned with organizational objectives, but in the process it is mandatory to clearly define these goals and objectives, and to ensure their adequacy and achievability. Central parts of MBO are autonomy and self-restraint, with the individual being at the center of all considerations and actions. MBO also makes use of charts, with a heavy focus on numbers and only a supporting role for descriptive text. In such a setup, constant checks and controls are particularly important. Since MBO focuses on concrete, quantitative goals, it tends to neglect or completely fail to pick up on characteristics and criteria that are less easily quantified. For example, MBO mechanisms may encourage productivity but fail to take into account the importance of creativity and innovation.[19] Put simply, MBO methods allow all members of an organization to participate in the crucial processes, and turn the organization's strategic goals into joint visions. Ideally, sufficient emphasis is placed on the quality of these visions, and the standards adhered to in their realization, i.e. at its best, MBO is more than just a process or method for establishing a framework of quantitative performance indicators (cf. Sun Benchu, 2007: 2-3).

c) Benchmarking (BM): this involves comparing an organization's processes and performance to another that is considered to be a standard benchmark in the area. In other words, it is the attempt to emulate methods and processes that have already been shown to be successful in practice.[20] Furthermore,

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core values? What strategies have been derived from such values? By recognizing and understanding the various relationships amid such questions, their implementation gives rise to indicators which can be used to appraise performance. In this manner, as indicators become more concrete and specific, one can better grasp the true spirit behind BSC (Sun Ben-chu, 2007: thesis draft).

[18] Goal management can be used to coordinate the movements of an entire organization, focusing its efforts in one direction. As part of their interaction with organization members, organizational heads or supervisor should put forth mutually agreed upon work goals and methods of workplace appraisal. Ensuring that such actions have the proper results and that the organization achieves desired levels of performance, periodic review and feedback mechanisms can be instituted, forming the basis of year-end organizational and individual performance evaluations, as well as the creation of civil servant career planning training programs.

[19] Neely puts forward four basic processes involved in measurement of performance (1) the design of a measurement system, (2) its implementation, (3) management based assessment results, and (4) the revision of the measurement system (Powell, 2004) (Zheng Ying-chuan, Cheng Su-Zhen, 2007:10). In the public sector, because of its unique working environment, organizational culture, and budget constraints, management goals often become tools of reference during performance appraisals, i.e., in addition to spending a large amount of resources in the defining and setting such goals, emphasized is a mindset of using goal management to evaluate performance.

[20] Therefore, both internal and external organizational benchmarks, or worldwide benchmarks, can serve as areas of comparison. In benchmark analysis three exist three methods of comparison: (1) Broad comparisons, whose typical comparisons include business organizations, procurement strategies, human resources, provision of services, and different methods of problem solving. The potential benefits of broad comparison are that it can generate new ideas, offer new methods of problem solving, and aid the concrete implementation of research results, etc. (2) Performance benchmarking, which typically includes comparison of enterprise productivity, as well as issues of quantity, cost, efficiency, quality control in the utilization of resources, etc. Potential benefits

benchmarking stresses the gradual evolution and fine-tuning of practical tasks and projects. If an enterprise can no longer be certain whether its operational processes are still running at the highest possible efficiency, a comparison with other companies may help to collect data on operational effectiveness and identify procedural shortcomings, allowing management to adjust and improve internal efficiency and overall performance. Since the essence of benchmarking is basically to learn from other organizations, preferably the best performer in a specific area, problems can occur when methods and standards observed are adopted uncritically, or transferred to a different environment not really suited for them. Another issue is that it can be difficult to transfer certain methods from the private to the public sector, since tasks, missions, and objectives tend to be very different. Even when the BM approach is employed between two entities in the public sector, it may still fail due to the diverse nature and environment of the agencies involved. This is a problem that merits close attention.
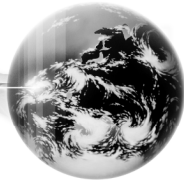
In summary, whenever public sector agencies plan to introduce a specific performance management tool, or a combination of tools, it is advisable to first identify exactly what the organizational tasks, mission, and vision are, as well as what kind of problems need to be addressed, and what appraisal mechanisms are required to address them most effectively. Particular care is needed in choosing the right tools, because in the public sector, most performance indicators tend to involve non-quantitative concepts, which moreover are not readily translated into quantifiable factors. It is thus necessary to put into place a set of complementary measures and accountability mechanisms to support the proper implementation and full effectiveness of management administration in specific contexts, and ultimately to improve the output and results of public agencies, and, by extension, create a highly effective government.

III. An Analysis of the Issues Involved in Individual Performance Evaluation and Group Performance

Performance management stresses the measurement and appraisal of output results, usually focusing either on the government in its entirety, or examining the performance of individual agencies or organizations. The goal is to determine whether or not the administration's output is in alignment with the needs of the population, whether or not the people are fully satisfied with the services provided by government agencies, and if government agencies have a sufficient grasp on public issues, allowing them to deal with problems relating to people's lives, and create a better, more prosperous society for everyone.[21] This perspective

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are that performance differences can be highlighted, reasons for the differences can be explored, with conclusions serving as a reference for the implementation of decisions regarding the future improvement of poor performance areas (3) Process benchmarking, which typically include areas of operating procedures, management systems, administrative processes, etc. The potential benefits lie in the ability to emphasize existing operating models, while putting forth proposals to improve efficiency.

[21] The subtext of *Not Without You*, winner of Best Film at the 2009 Golden Horse Awards, points to the question of how to create a class of civil servants who are enthusiastic, caring, empathic, "hear the citizens", respond to public opinion, and work to enhance the quality of their decision-making and the welfare of the people they serve. At the 2009 Public Servant Outstanding Contribution Award Ceremony, Vice-President Vincent Siew and Examination Yuan President Kuan John Chung, who both, on several occasions, referred to Japan's "fair weather bureaucracy" as a warning, encouraged Taiwan's civil servants to create a new milestone in public service by emulating the loyalty, diligence, respect of the public servants during the early days of Taiwan's

focuses on the interface at which interaction between the government and its environment takes place, i.e. the administration's service delivery system. Whether or not this system is operating efficiently is the issue that lies at the heart of all performance management. It relates directly to the question of accountability of public organizations. Accountability in this context depends on the actions and output of every single employee of every single public agency, and on the effects that the actions of all employees together have upon the overall organizational performance of the entire government.[22] The results of accountability analysis may then provide valuable feedback for adjustments to the future management and operational mechanisms within government organizations, thus directly affecting all employees' work situation and career development, as well as the human resource management measures in place, such as reward and bonus systems and other incentive mechanisms. Therefore, a comprehensive civil service performance evaluation system comprises a method for measuring the group performance output and results, as well as ways of assessing the alignment or interlinking between individual performance and group performance output and results (cf. Shi Neng jie, 2004:79-94).

1. Analysis of Issues Pertaining to Individual Performance Evaluation
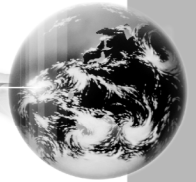
One of the main issues with regard to the reform of performance review systems is the importance of proper mechanisms for linking up individual performance reviews with overall group performance. Basically, individual performance assessments tend to be far from objective, and the results obtained are, more often than not, the product of subjective attitudes and evaluations. The same performance, output and results may garner very different responses and evaluations depending on the person or persons put in charge of performing the review, and the review methods employed. In other words, performance measurement and evaluation involves not only abstract methods and rigid processes, but is also affected by social interaction, power structures, and authority hierarchies. We will now take a closer look at these issues.

i) Individual Performance Reviews Are the Basis of Overall Group Performance:

Work performance management for individual employees involves work appraisal conducted in accordance with scientific principles and methods, the ultimate goal being to measure and assess the behavior and work results of individual members of an organization. To achieve this, agencies rely on standardized mechanisms, processes, and methods for analyzing the work and output of individual members of the organization. The concrete results of these appraisals are then used as the basis for organizational performance management. It is clear, then, that individual performance assessments are not an end in themselves, but form the foundation of performance management for entire groups and departments. Unfortunately, in evaluations at the individual level, the human factor tends to be magnified, meaning that for those conducting performance reviews, it is almost impossible to completely avoid subjective judgments, or remain entirely unaffected by social interaction and interpersonal relationships. Consequently, the results of individual performance reviews can never be completely objective. On the other hand, these reviews can do

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retrocession.

[22] (1) On October 15, 2009, the Executive Yuan's Central Personnel Administration released a press statement in response to reports of public servants playing the online game "Happy Farm" during work hours. In the statement, the CPA emphasized its stance that public servants not use public resources for items other than workplace responsibilities while at work. Furthermore, agency heads at all levels and department managers were responsible for monitoring the situation; if they failed in their supervising role, punishment would be meted out in accordance with the relevant laws and regulations. (2) As Taiwan was suffering the effects of Typhoon Morakot, officials in a southern Taiwan township were reported by the media to be playing online games, causing much public discussion over the role and perception of civil servants.

more than just provide necessary individual performance data for organizational management: they also help management to gain a better understanding of employees' values and mind-set, thereby better enabling superiors to improve their management methods and help to develop the potential of their subordinates.

ii) Difficulties and Errors in Individual Performance Reviews:

As stated further above, reliability and validity are two essential characteristics of useful performance evaluations. Most evaluation mechanisms rely on a set of indicators, or criteria, as well as specific principles and methods, as shown in Chart 4. This chart can also serve as a reference point for our further discussion. When evaluation methods are put into practice (generally in accordance with the relevant rules and regulations stipulated in the CSPEA), a number of difficulties and errors are often revealed (cf. Lin Shuibo, 1989a, and 1989b: 22-35).

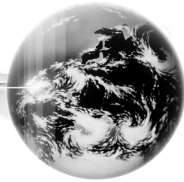| Incentives	Environmental Factors	Capabilities and Potential
career ambitions conflicts with other employees frustrations fairness/satisfaction goals/expectations team/unity	equipment/resources work design economic trends unions/associations rules and policies management support legal provisions	technical skills interpersonal skills analytical skills problem-solving skills communication and mediation skills physiological limitations psychological inclinations

Source: cf. Snell & Bohlander, 2007: 367.

Chart 4: Factor Affecting Performance

a) It is difficult to achieve impartiality/fairness, and/or the evaluation process may be reduced to a mere formality, due to subjective factors such as the evaluator's bias or prejudices, or an insincere/hypocritical attitude of department heads or other superiors whose actions or influence may affect the review process; b) errors or inaccuracies may occur due to (exaggerated) leniency, strictness, or a central tendency, rooted in the evaluator's preferences and habits; c) halo and horn effects may also contribute to errors, in particular where the evaluator has a tendency to generalize or take an overly simplified view; d) there is possibility of contrast errors and cognitive bias, due to the evaluator's tendency to judge the performance of individual employees' not on their own merits and actual work/output, but solely based on comparison's with the performance of other employees; e) errors and inaccuracies may occur due to seniority differences, or certain personality traits of the evaluator, who may, for example, tend to give more senior employees a higher rating, or may feel that his own performance should under no circumstances be lower than that of any of his subordinates—thus leading to ratings that are motivated not by objective criteria, but subjective considerations and self-interest.

iii) Establishing a Comprehensive Cognitive Framework for Individual Performance Reviews:

In its effort to promote performance management, the government places performance at the center of evaluation criteria and standards, while at the same time stressing uprightness, moral conduct, accountability, empowerment and delegation, and the need for preventing all kinds of errors and inaccuracies. It is worth pondering whether or not these concepts and requirements are compatible with the current CSPEA, and if not, how the discrepancies between the law and these concepts can be addressed (cf. Tsai Liangwen, 2006: 444-449). In addition to the human factor (e.g. interpersonal relationships, favoritism), government agencies

also face other difficulties when trying to implement effective performance evaluation mechanisms. For example, the type of work done and output/services provided by the public sector are often not easily quantifiable, leading to a high degree of performance ambiguity, which is reflected in great difficulties in conducting effective and meaningful performance reviews (Chen Haiming and Guo Dongsheng, 2005: 559-572). In order to overcome the problem of errors and inaccuracies in individual performance assessments, it is therefore necessary to adopt a multi-pronged and practical approach that includes a combination of comprehensive procedures and flexible methods with special techniques for avoiding the pitfalls inherent in all work evaluations, all within the framework of the provisions of the law.

a) Comprehensive procedures: currently, most individual performance review processes focus on "vertical command-and-monitor modes," but it is important that in the future we strengthen "horizontal communication-and-negotiation functions" to achieve more balanced results;[23] b) flexible methods: most evaluation methods can be applied in a number of different ways, making it absolutely essential to weigh carefully the specific conditions and circumstances involved before selecting a method, or combination of methods, best suited for a specific situation or environment—this will greatly enhance the reliability and validity of the results obtained;[24] c) avoiding pitfalls: it is mandatory to eliminate as much as possible the distortion of evaluation results, in particular where it may be caused by a number of already identified pitfalls.[25] All involved should therefore examine, and where necessary adjust, their attitude and point of view to avoid excessive subjectivity and cognitive bias. This is the only way develop a useful cognitive framework for performance reviews within the parameters provided by the law.

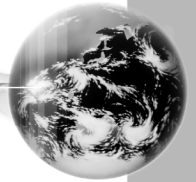## 2. An Analysis of Issues Pertaining to Group Performance Evaluation

i) Group Performance Evaluations: The Current Situation

An effective performance evaluation system is capable of objectively measuring an organization's performance, and can help to assess whether or not this performance is in alignment with the organization's standards and objectives. At the same time, good evaluation mechanisms also support the adjustment and fine-tuning of both individual and organizational goals in order to eliminate discrepancies or divergences in or between these goals, thereby bringing them into line with the organization's needs. It follows that effective group performance evaluations can promote employee learning and self-correction of errors and divergences,

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[23] Concerning supervising functions, attention must be given to the scope of the workplace evaluation, as well as any relevant moral or ethical factors. As for communicative functions, it is important that a healthy interaction between those assessed and their evaluators be maintained during each assessment phase. Furthermore, how to measure future improvements in performance must be discussed and agreed upon, so as to maintain the stable development of organizational management.

[24] When appraising group performance, organizational culture, its operational characteristics, and the attention paid to organizational development are all important determining factors. As for organization members, their behavior and workplace achievements are two factors that come under consideration. Finally, for both individuals and organizational performances, attention should also be paid to their development and ranking.

[25] Including: (1)Differing or dissenting stances taken by managers and rank and file members regarding performance assessment. (2)Subjective interpretation of performance assessment results resulting from differences in background and opinions; manipulation of results to benefit oneself. (3)Over-emphasis on assessment fairness, resulting in the strengths and unique work responsibilities of the individual not being accurately represented in the assessment items. (4)Evaluation of results often harm harmonious interpersonal relationships, undermining both the ability and cohesion of the group and thus adversely affecting group performance (World Executive Digest, 2008:24-26).
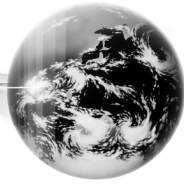
as well as the integration of data and the transfer of explicit and tacit knowledge between the individual members of the organization. This can lead to improved focus and cooperation, creating an environment that encourages employees to gel as a team, which in turn helps to realize concepts such as knowledge management (KM), and steers the civil service system towards creative practices and innovation. Ideally, the net result is a streamlined, service-oriented government. Unfortunately, under the system currently in place, it is difficult to effectively implement (in accordance with performance evaluation theory) methods for strengthening functions such as development and motivation. The upshot of all this is that individual performance assessments are currently little more than a formality with little or no real impact on improving efficiency and results. In addition, most administrative agencies still lack proper mechanisms for group performance reviews, making it even more difficult for individual performance evaluations to be fully effective as catalysts of development and motivation.

We should also remember that performance management in the public sector does not exist in a vacuum, but is closely intermeshed with the general public, policymakers, and the body of civil servants in its entirety. Through political activities and various arrangements and mechanisms embedded in the administrative and social systems, all these entities interact with each other, thereby creating constantly changing conditions that will affect any form of performance management (cf. Lin Shuibo and Chen Zhiwei, 1999: 319-354). Therefore, any type of group performance review needs to take into account public perception, which adds a number of factors and criteria to the evaluative equation, which can be categorized as public interests and the constitutional and regulatory environment; duties and functions of government agencies at all levels of administration; professional and occupational standards and value systems of groups and communities; democratic norms and values of the citizenry. All these are closely connected with the concept of accountability.[26] Jabbra & Dwivedi provide an extensive list of subcategories of accountability (cf. Denhardt & Denhardt, 2007: 42-43), the most important of which are: a) organizational accountability; b) legislative accountability; c) political accountability; d) professional accountability; e) moral accountability (Sun Benchu, 2007, 179-184).[27]

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[26] Strictly speaking accountability and responsibility are not the same. Accountability refers to the acceptance of the outcome of one's actions, whether it be censure or praise. The definition of responsibility is a bit more vague, and to be found in the hierarchical workings of the organization. Put another way, accountability is an administrative official's execution of his administrative tasks and his responsibility to those same tasks. While responsibility, on the other hand, is when people feel responsible for a situation that is not the direct result of their own actions.

[27] The true meaning of accountability is clarity, answerability, reliability, explainability, oversight, responsibility, and result orientation. "Those accountable" must be able to bear full responsibility and determine whether the "responsible person" has the capabilities to complete the work at hand; they must be able to see the big picture on one hand and the key details on the other; they must be conscious of the differing breath and depth of tasks in which issues of accountability and responsibility play a part (Zhang Wen-long, 2006,55-71). From the above discussion we can see that in discussing the dismissal of a public servant the principle of accountability plays no small part. First, when the areas of responsibilities for public servant are clearly specified—in both behavior and attitude—public servants will comply with the provisions of relevant laws and regulations and meet performance standards set by public organizations in response to citizen's expectations of government's accountability to the public in a democracy. Second, public servants will be protected against abuse of power by those conducting supervision. When the guidelines for dismissing public servants are clearly defined, the identity rights as well as the rights which accompany a public official may not be arbitrarily deprived, unless the public servant acts counter to the defined obligations and responsibilities.
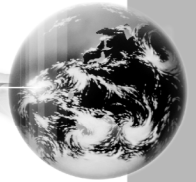
Turning to the situation in the United States, the performance management reform process launched by President Barack Obama is also riddled with problems. The obstacles and errors by the current US administration include: evaluation indicators incapable of measuring the desired performance output and results; a lack of linkage/causal relationship between performance indicators and policy goals; an over-reliance on engaged and procedural indicators as evaluation standards; insufficiently targeted or poorly defined indicators; inadequate weighting of sub-indicators and insufficiently challenging targets and objectives. To deal with these shortcomings, it is necessary to unambiguously align the targets (as measured by the key indicators) with the desired final output and results, regardless of whether the targets are positive or negative in nature. It is also necessary to pay particular attention to the outcome indicators, since these usually allow a more realistic assessment of overall efficiency. Therefore, all outcome indicators (including those for intermediate and final outcomes) should be linked up very tightly. Meanwhile, a better weighting of indicators and sub-indicators can be achieved with a range of methods, including: analytic hierarchy process (AHP), sensitivity analysis (SA), and the Delphi method. Last not least, in order to generate more challenging targets and objectives, one might rely on average weighted indices based on the data about achievement rates for previous targets and objectives, adjusted for standard deviation (Hu Longteng, 2009: 34-48). The specific problems encountered in performance management processes, as well as the possible solutions, given in the above provide valuable reference points for Taiwan's civil service system.

Another important issue in human resource management in government agencies is fairness. Fairness, or impartiality, is an essential motivational factor for the members of an organization. If employees feel that the systems and policies relating to human resource management in their organization are skewed and unfair, this will have a very negative impact on morale. The opposite is also true: if employees feel that they are treated fairly, they tend to reciprocate by improved performance, increased commitment, positive behavior, and actions that are well aligned with the organization's interests. Consequently, human resource management measures pertaining to individual performance reviews or comparisons always need to take the fairness factor into account.

ii) Group Dynamics and Team Building and How They Relate to the Analytical Assessment of the Goals of Performance Evaluations

Group performance is closely connected to group behavior and the interactions between individual group members, i.e. group performance, as manifested in group characteristics and behavior, are heavily affected by group dynamics. In other words, group performance is the result of group actions, as well as a concrete manifestation of group processes (Song Zhen Zhao, 2000). Important aspects of group dynamics are bureaucratic/hierarchical structures, leadership, and authority. The concept of "team," however, stresses horizontal structures, division of authority, and shared leadership. Groups emphasize division of work and individual output and accountability; teams are about each member sharing in the joint responsibilities of the entire team, with the focus being on collective rather than individual results. One big question of administrative reform is thus how to successfully integrate a concept like "team spirit" into the hierarchically organized structures of traditional bureaucracy with its comparatively rigid mechanisms of command and supervision.

The Hawthorne experiments, involving some of the earliest research on groups and group dynamics, revealed the existence of informal groups within formal groups. These cliques generate informal rules, as well as specific mechanisms to enforce them, a phenomenon that can have both positive and negative effects on group performance (and which should therefore be factored into any method for evaluating group performance).

When dealing with group performance, the focus has to be put on interactions within the group, i.e. the "systemic forces" that affect group behavior and output, for effective group performance management and evaluations to work. Organizational operations have their own static structures, including organizational law and personnel management, but in addition to understanding these, it is even more important to grasp an organization's dynamic structures, i.e. the systemic or group forces that are the driving force and main factor behind an organization's actual output and results.

The differences in rank and/or seniority between individual members of an organization will also affect, in varying degrees, the role and effects of societal supervision or internal monitoring of performance. Furthermore, a group's overall performance will be affected by a number of individual background factors, such as age, level of education, and fields of interest, which will exert a subtle yet powerful influence on the interaction between the group's individuals by reinforcing or weakening certain traits and behaviors. A crucial issue, then, is how to steer group interaction and group dynamics in a positive direction that enhances the group's functionality. Of course, group performance evaluations will also affect individual performance reviews, and thus employee's career prospects and development. Consequently, it becomes necessary to implement mechanisms that can prevent or overcome the effects of negative competition, and counteract tendencies to avoid responsibilities, or shift them to others. As they say, it takes all kinds to make a world, and: there are as many opinions as there are people. The art lies in guiding individuals in ways that will focus and integrate their best impulses and capabilities, allowing them to gel smoothly and form a cohesive team. This is the basis for improving group performance, as well as, on a larger scale, for good governance.

3. An Analysis of Issues Pertaining to the Relationship between Individual and Group Performance Evaluations

i) The Background of the Reform of the Current Performance Evaluation System

The Civil Service Performance Evaluation Act (CSPEA) currently in place states "that civil servant performance shall be based on the objective appraisal of overall merits and shortcomings, with commensurate rewards and punishments." Ratings are given for work performed from January through December, and in addition to work performance, particular emphasis is also placed on moral conduct and attitude. The grading system as described in the CSPEA and its Enforcement Regulations features four grades, A-D. The Law and its Enforcement Regulations also list the conditions for assigning individual grades, in particular grades A and D. The 1945 version of the Law states explicitly that not more than one third of all grades should fall into the categories A or D. During the 1970 revision of the CSPEA, this provision was scrapped for A-level grades, but in 1971 the secretary-general to the president, after consultation with the secretary-generals of the five Yuans (administrative branches) determined that in all government agencies, the ratio of A-level grades awarded should ideally be around one third, and should never exceed half, of all grades awarded. When the 1987 Enforcement Regulations were laid down, containing detailed provisions on the criteria and special conditions for assigning A-level grades, the ratio of A-level grades had again risen to disproportional heights, which led to the implementation of various reform measures.[28] As we have seen further above, if individual performance

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[28] Starting from 2001, heads at the Ministry of Civil Service and the Central Personnel Administration have jointly sent out notifications asking the various competent authorities to take steps to ensure that the number of employees who received an A rating does not exceed 75% of the total; however, those agencies who exhibit outstanding work performance may have their ratio increased. In 2002, the Central Personnel Administration laid out a plan emphasizing, in particular, performance with regard to advancement of workplace operations, as well

reviews are not in some way linked up with the agency's overall performance, and do not take into account the perceptions and expectations of the population, they are bound to become mere formalities without practical value. Furthermore, if there are no balancing mechanisms in the form of group performance reviews, the widespread practice of assigning more or less identical proportions of A-level grades throughout different agencies and departments is bound to lead to unjust ratings, since employees whose performance and output are basically at the same level may yet end up receiving different evaluations, which makes for often severely skewed review results. Another reason for coupling individual with group performance evaluations is that this puts healthy competitive pressure on all government agencies, pushing them to implement more efficient management methods and work harder to achieve set targets. On July 14, 2005, the Examination Yuan submitted the following draft revision to the Legislative Yuan (CSPEA, Article 13, Paragraph 1, Section 2): "Supervisory agencies and agencies at all other levels shall, in accordance with their duties and needs, conduct intra-agency and inter-departmental group performance evaluations, the results of which shall serve as criteria for the distribution of grades across and within agencies and departments, and thus as part of the reward and incentive system. The scope, standards, procedures, and other issues pertaining to the implementation of this system shall be regulated by the Examination Yuan in collaboration with the Executive Yuan." However, this draft revision did not pass the legislature, and is currently still being reviewed by the Ministry of Civil Service.

After the 11th Examination Yuan assumed its responsibilities, it immediately set about reforming the administrative structures of the civil service system. A Civil Service System Reform Planning Team was set up and charged with holding a series of meetings to discuss proposals for change in accordance with policy guidelines, experts' suggestions, and the reform concepts put forward by the new President of the Examination Yuan, Kuan Chung, after he assumed office. The result of these meetings were six major proposals, all of which were passed by the Examination Yuan's 39th plenary session. One of the proposals, "Implementing Performance Management to Improve Civil Service Efficiency," contained the concrete suggestion to revise the CSPEA in order to "establish individual and group performance evaluation mechanisms and a system of performance bonuses and rewards." The methods and approaches employed in the past offer valuable examples and ideas for the realization of efficient mechanisms of group performance evaluation and effective bonus and reward systems, yet when one attempts to formulate universal regulations and integrate them into the existing laws, it becomes necessary to also put into place a set of complementary plans and measures that help to ensure a smooth implementation of reforms.

ii) An Initial Analysis of Related Problems

In the future, Taiwan's system of civil service performance evaluation, including the assessment of the Executive Yuan's efficiency in terms of policy implementation,[29] will need to take into consideration a variety of

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as the creation of a performance bonus system for those agencies within the Executive Yuan. Although the plan was fully implemented in 2003, following the Legislative Yuan review of the 2007 central government budget, when it was stipulated that remaining funds from personnel budgets shall not be used in the form of employee bonuses, there have been no issuing of performance bonuses. Various inter-agency departments are still using group performance ranking results to guide the allocation of the number of A ratings permitted to be handed out by each department. Since 2003, the Research, Development and Evaluation Commission, in response to the Executive Yuan's 2001 promulgation of *Directives for Administrative Performance Appraisal for the Agencies under the Executive Yuan* (as well as *Directives for Administrative Performance Management for the Agencies under the Executive Yuan*, promulgated on April 17, 2009), has begun handling inter-agency assessment.

[29] Results of year-end performance reviews for individuals are implemented starting from January 1st of the following year. In accordance with the performance bonus system for agencies within the Executive Yuan set
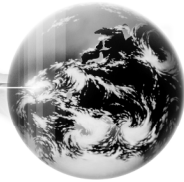
factors that tend to differ for different agencies and departments, such as time-spans and targets covered by performance reviews, as well as the specific methods employed. There is thus a need for drawing up rules and regulations within the framework of the CSPEA to provide clear and detailed guidelines for what the future group performance evaluation system should look like, and how it should function in different environments. What follows is a more detailed look at some of the relevant issues:

a) Evaluation Time: As a system for group performance evaluation is being integrated into the CSPEA, and is to serve as one of the reference points for the assignment ratio and distribution of A-level grades, and thus the allocation of rewards and bonuses, all agencies will conduct group performance reviews both within and between all departments under their supervision. In practical terms, it will be best to take a stacked, or gradual, approach. However, all evaluations should be completed within one calendar year's time to facilitate year-end individual assessments. The inter-departmental performance reviews are necessary to determine the exact proportion of A-level ratings for each individual department. Once the distribution of A-level ratings has been decided, the individual departments can begin to assign ratings to individual employees. Based on the above, it is mandatory to simplify and standardize the methods used for group performance reviews as much as possible. Ideally, quantitative, analog, or sequential analysis should be employed in order to ensure speed and efficiency, and avoid scheduling problems.

b) The Agency (Department) Being Evaluated: A matter that deserves attention includes the position of the supervisory agency, in particular the relationship between central government agencies and local governments—competencies and responsibilities with regard to performance evaluations need to be defined with great care. Since there are often considerable differences in the size and nature of operations of individual agencies/departments, evaluation and ranking mechanisms should be designed to reflect these differences, for example by creating distinct review categories employing specific review criteria.[30]

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down by the Central Personnel Administration, all agencies should complete their ranking and grading of the performance of internal first level departments and their subordinate agencies before December 15th. In accordance with the provisions of the Research, Development and Evaluation Commission's directives for administrative performance appraisal for agencies under the Executive Yuan, those agencies to be evaluated as stipulated in the directives shall all be subordinate to the Executive Yuan (ministries, councils, branches, departments, bureaus, yuans, county governments, provincial consultative councils). The above agencies are required to send a yearly performance report to the Research, Development and Evaluation Commission for review before March 7th. Regarding the question of how to compare and review the two departments and their respective two councils that fall under the oversight of the Examination Yuan, they can perhaps be evaluated through a medium or long-term plan.

[30] Many government operations are carried out by central government ministries responsible for policy planning, while their subordinate agencies or local authorities are responsible for implementation of such policies; that is to say, policies for which the central government ministries are responsible commonly need to be implemented by agencies subordinate to these ministries. Observing the results of such policy planning and implementation is the Executive Yuan's Research, Development and Evaluation Commission, which is in charge of administrative performance appraisal for the agencies under the Executive Yuan, the scope of which extends to the yearly performance review of all agencies subordinate to the Executive Yuan.

Regarding local authorities, issues of self-authority, (for example in mayors of special municipalities, mayors of counties or cities, and village or township heads) and ingrained political factions' "king of the hill mentality", are issues to consider when deciding on whether or not group performance assessment at the local level can be promoted and implemented. Concerning this problem, with regard to the regulations of *Civil Service*

c) Analysis of Evaluation Methods: The CSPEA, its Enforcement Regulations, and the regulations for routine evaluations of individual agencies clearly define the standards and criteria for reviews of individual performance and moral conduct. During a 2004 test run for a new reward and bonus system, the departments were graded according to their overall performance, and allotted a lump sum for rewards and bonuses in accordance with their rating ("group performance premium"). This lump sum was then divided and distributed among the members of the department in accordance with the results of the internal individual performance reviews. When designing a reward and bonus system as part of the ongoing civil service reform, the above procedure offers a very good approach to effectively linking up group performance with individual performance reviews.

How exactly, then, should group performance reviews be conducted? This brings us back to the question of performance evaluation standards and tools/methods.[31] The government serves the public, and most of the services provided fall into categories that are not amenable to strictly quantitative assessments, which makes performance evaluations more difficult than in most private businesses. Regardless of this, most review tools and standards employed in the past focused very much on quantitative, rather than qualitative, aspects to analyze the output and results of government agencies, and while this approach made evaluations more straightforward and manageable, it also left quite a few things to be desired. First of all, just as there are considerable dissimilarities between different agencies, so the size, scope, tasks and operational duties of individual departments within a given agency also tend to display a considerable degree of diversity. One way to deal with these differences is to rely on the management by objectives (MBO) approach, since this method allows for flexible assessments that take into account a variety of factors, such as complexity of goals, different degrees of difficulty of tasks to be achieved ("challenges"), or the degree to which plans were executed and objectives achieved. One problem, however, remains even with this method: since the target of the services provided (i.e. the general public) is in no way integrated into the evaluation process, and perceptions from

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Performance Evaluation Act, which state the ranking of group performance is subject to evaluation, whether or not to eliminate the review by related competent authorities is an option to consider.

Regarding the feasibility of creating different groups for ranking in accordance with differences in the nature of their operations, one must first look at the ranking criteria. When all agencies are subject to uniform ranking criteria, there exist fewer doubts about ranking impartiality. However because differences in the nature of operations of differing agencies can be very broad, different types rankings standards perhaps will also vary largely, making it hard to find uniformity. In the interests of fairness and impartiality, one solution is to group agencies (structure) in accordance with nature of their operations. For example, state-owned enterprises such as the tax authority, household registration authorities, land authorities should all be ranked separately. Factors of size should also be taken into account, as the number of members within an organization can influence operational development. Thus, when grouping agencies for performance assessment, the size of the agencies should be relatively similar. Furthermore, when designing ranking and assessment mechanisms, the difficulty of comparing an agency with relatively few members with other agencies of the same level or grade must be taken into account.

[31] In the latter, within the previously mentioned practices of the Central Personnel Administration and the Research, Development and Evaluation Commission, management objectives serve as the main tool during ranking procedures. The former includes performance objectives and performance ranking indicators. As various government agencies and departments all have specific operational duties for which they are responsible, it follows that the annual implementation of such operational duties are bound to be different—a result of differences in workplace priorities. Performance objectives are an important provision in the annual workplace priorities, and along with indicators determining performance ranking, they become a key component in the success of group performance ranking.
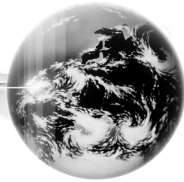
internal and external perspectives are bound to be quite different, the objectivity and validity of evaluation results may still be questioned. This is why improved designs of review systems should include public feedback (i.e. responses from the "service recipients") as a possible evaluation criterion. To this purpose, the government might commission an independent survey and research company to conduct opinion polls, which could serve as a useful reference.[32] Secondly, to ensure a smooth review process, supervisory agencies should set up databases that keep a detailed track record throughout the year of the performance of all agencies under their control. The information thus acquired can then be used to compare the output and results of the various subordinate agencies. This mechanism would be superior to the traditional approach, which involved subordinate agencies basically evaluating their own performance. This form of self-evaluation tends to produce little more than formalized statements and biased assessments. Yet it remains to be seen how the preprocessing and the designing/planning necessary for this method will affect its effectiveness: data mining can only begin when actual performance/output is taking place, and all the relevant mechanisms have already to be in place by that time, with little room for adjustment during a given period of observation. Also, it might be difficult to integrate or exclude performance objectives, depending on the concrete situation. Here, a case-by-case approach might be useful.

iii) An Analysis of Issues Deserving Special Attention during Group Performance Evaluations

Based on the above, the following issues deserve our attention when implementing new mechanisms for group performance evaluation:

a) When performing group reviews, it is essential that the employees undergoing evaluation are exposed to both pressure and incentives to create ideal conditions for performance assessment. The pressure applied should be adequate (neither too light nor too severe), and the incentives reasonable. Part of this approach is that in comparison to the current reward and punishment system, the proportion of A-level grades awarded to individual employees should be lowered. This will enhance the motivational function of top grades, since it will be harder to attain them. As a complementary measure, the allocation of rewards and bonuses to groups and individuals needs to be regulated by a set of specific standards and procedures to avoid manipulation of the system for personal gain.

b) It is necessary that agency leaders and department heads are fully aware of the great importance of performance management, if we are to realize a system that is not only fair, impartial and less prone to corrupt practices, but also gives reasonable space to public participation and governance (cf. Box, 2004: 25-41; 2007: VII-XII & 21-39). The full spectrum of grades and ratings should be used to provide stronger incentives for good performances. By the same rationale, agency leaders and department heads should be made personally responsible for the performance of their agencies/departments. This system of direct accountability should entail that the very rank and position of leaders and upper management depends on the performance of their agencies or departments. Publicly elected leaders should principally be subject to the pressures of public opinion and democratic accountability, for example in the form of publicly announced performance review results—provided these reviews are conducted in a fair and impartial manner.

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[32] Public opinion cannot be the sole factor behind the implementation of governmental policy. Instead public opinion should be better understood as a reflection of public's overall feelings and opinions. Their voice, which can help in the reduction of bureaucratic inertia and the meeting of government's policy objectives and the citizen demands, also acts as a reminder to those within administrative departments for the need to continually enhance the height and breadth, as well as the qualities of foresight, diligence, and cooperation of their service.

c) After the new performance evaluation system has been implemented, the various government agencies will put in place adequate performance review mechanisms and tools that are adapted to the specific tasks and operational duties of the agencies and departments involved. This means that different agencies will employ different evaluation tools, a process of differentiation that is also carried over into the evaluation mechanisms on the departmental level. For example, the Examination Yuan will divide its internal departments into two categories, with different evaluations standards applying for each category. Agencies and departments differ considerably in size and staff numbers, and for small agencies/departments with few employees, it may not be easy or convenient to conduct performance reviews. In these situations, the performance evaluation system should provide for a flexible application of its mechanisms, and allow for necessary adjustments. For example, the staff of smaller subordinate agencies or departments may, for performance review purposes, be incorporated into higher-level agencies,[33] i.e. the supervising agency may organize and conduct the performance review for the smaller agency, or group several smaller departments together to conduct a joint review.

In summary, the self-esteem and sense of mission of civil servants is largely derived from inner needs and values, as described by Abraham H. Maslow in his hierarchy of human needs, which includes concepts such as self-actualization and achievement, and even purely spiritual needs. Against this backdrop, it is clear that performance management and evaluation should not be limited to quantitative analysis or purely factual aspects, but also take into account more abstract, qualitative factors to arrive at a more balanced view of performance and output. Where inner needs and values are also considered, the motivational approach becomes particularly useful: performance reviews can serve as a way of helping employees to gain a better understanding of their own capabilities and potential, and, by extension, help them to improve their work skills and enhance their efficiency. Through guidance and individually devised plans, employees may establish future goals that are in alignment with organizational objectives and developmental strategies. In short, this is an area where the powerful influence of the more abstract aspects and concepts of performance evaluation comes into play. Of course, the administrative side of things also needs to be taken care of, i.e. the results of performance reviews provide an empirical basis for wage rises/adjustments, rewards, bonuses, and promotions, but also for demotions and dismissals. Since the standards applied will vary depending on the concrete circumstances and entities involved, we cannot give a very precise account here of how exactly review results should be linked to decisions about rewards and penalties. It is therefore all the more important for every agency and department to clearly define both organizational and individual goals and strategies, and to wisely apply performance reviews as a means of assessing and balancing the influence of crucial attitude factors such as values or sense of mission. From a discussion of potential errors and inaccuracies entailed in some theories and methods of

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[33] At present, the Central Personnel Administration conducts a yearly review of the performance results of operational performance assessments given to various human resources organs attached to agencies subordinate to the Executive Yuan. In 2009, those subject to the review were divided into several groups: the central government (including municipalities) HR department; central government HR office one and two; county and city government's HR departments one and two, as well as city council's group six. Results for those departments or offices subject to the review were listed in accordance with their review rankings; areas of citation, areas that had not yet been satisfactorily strengthened, or area that still needed improvement were marked for future review. As for the ratio of HR supervisors and various HR organ members granted a superior grade during the mid-year review, this experience can perhaps serve as an important tool for future reference.
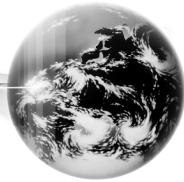
performance evaluation, and ways of dealing with them, I proceeded to look at experiences made in other countries. This led to an assessment of the potential problems of group performance reviews, a discussion of the errors that may occur when implementing and conducting such reviews, and the presentation of ways to remedy these errors. The preliminary conclusion reached is that the current system for performance evaluation in the civil service sector is in need of a thorough revision. One of the key factors for successful reform is to establish a mechanism that links individual performance reviews with group performance evaluations in an effective manner, thereby laying the groundwork for a healthy, fair, and efficient civil service system.

IV. How to Effectively Link Up Individual Performance Evaluation and Group Performance Management: An Analysis

The CSPEA was originally designed as a set of legal provisions for regulating only the standards and procedures of individual performance reviews, with no provisions being made for group performance evaluation. Future revisions of the Act will add stipulations for performance review mechanisms, and it is vital that these revisions are carefully drafted. When designing standards for group performance reviews, we cannot focus solely on the situation of state-owned enterprises, but need to adopt a broader view that also encompasses the operations and duties of administrative government agencies, for which uniform standards are practically impossible to implement or enforce. The question, then, is how to come up with various sets of tools and standards, i.e. a range of review methods, in order to address the specific requirements of different agencies and departments. This author believes that we should have a framework of general principles to ensure the system's flexibility and broad applicability. When putting new rules into practice, much consideration should be given to the question of whether or not the position of agency leaders or department heads should be directly linked to the results of relevant performance evaluations. If people can be removed from leading positions based on performance reviews, there is always the danger of the system being abused for political purposes, or of other extraneous factors exerting an undue influence on personnel decisions.

Another factor is the sheer complexity of organizational operations, which is exacerbated by individual differences between members of organizations and departments. When pondering the exact mechanisms for linking up and integrating individual performance reviews with group performance evaluations, it is therefore clear that group evaluations cannot and should not serve as a direct basis for individual performance reviews. Neither can group performance be defined as simply the sum of all individual performances of the group members. Rather, additional modules need to be interposed, such as goal-oriented management and the experience and leadership qualities of agency leaders/department heads in charge of conducting performance assessments. In this context, staff review meetings and performance evaluation committees also have an important role to play, since they help to create an environment where individual and group performance reviews can be linked up in meaningful and controlled ways. In the following, we will take a more detailed look at how the functions and results of individual performance reviews and group performance evaluations can be closely interconnected and balanced through a variety of management measures.

1. The Mechanisms: Establishing Shared Visions and Implementing Complementary Measures through Mutual Trust and Participation

The linking up of group performance and individual performance reviews through management measures involves performance management activities and mechanisms that help to foster a consensus on the organization's future development and objectives. This means that with regard to performance measurement and evaluation, retroactive management and controls are replaced by proactive planning and development. Traditionally, performance reviews tend to focus almost entirely on assessing past productivity and results, and the process involves mostly one-way evaluations conducted by superiors without consulting subordinates. This approach makes it difficult to let employees develop a sense of community and teamwork, and tends to lead to a lack of mutual trust between the organization and its individual members. In turn, these factors will have a negative impact on future productivity and output. The core of good performance management is therefore constructive dialogue and feedback. If superiors and subordinates can establish an atmosphere of mutual trust in place of traditional "us-and-them" attitudes, and regularly exchange their experiences and ideas, the whole organization will profit. Employees will no longer feel alienated from their department or agency, and instead develop a sense of belonging and a belief that, together with their colleagues and superiors, they can fully develop their potential. In this kind of working environment, it will be much easier for performance management mechanisms to have their desired effects: allowing all members of the organization to develop and maintain a shared vision and effective operational procedures.

The strengthening of dialogue and communication also helps to establish group accountability and build organizational trust. When putting in place the basic structures of performance management, the most direct and effective way to fuse employees and organization into a tightly knit, integrated unit is to boost mechanisms for participation and dialogue, allowing employees to take part in the various steps of performance management, such as planning, setting of goals/objectives, measuring and evaluation, and the examination and validation of output and results. This will greatly enhance the efficiency of operations. In the past, performance evaluations were mostly a top-to-bottom affair with the sole focus on individual performance and accountability. But the operational reality of most administrative organizations is such that it is neither fair nor reasonable to place exclusive emphasis on individual accountability: the performance of an individual employee is by no means always in direct correlation to the performance and results of the organization or department as a whole. If, for example, each individual employee delivers excellent work, but the organization's output and results are still below par, then the main reason for failure clearly lies not with the employees, but with the leaders and management. Consequently, it makes good sense to introduce certain concepts of democratic accountability into the performance management process. After all, while employees are the subjects of performance evaluations, they are also needed as cooperators in the process of performance management. Only through group and democratic accountability can an organization's success be properly linked to the output and results of its individual departments, and can operational processes be implemented that allow an agency to function as an organic whole. While at this point in time it may still be necessary to retain some of the current thinking and practices with regard to individual and group performance evaluation results, human resources management, rewards and penalties, or the budget allocation process, in the long term it will be beneficial to gradually phase out old methods and approaches. In the future, the results of performance evaluations should mainly be employed as motivational and developmental incentives, and less to underpin established patterns of distributing an organization's resources, or as tools to advance personal interests and careers. The reason why
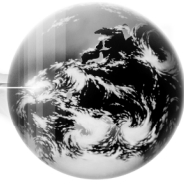
we need to disentangle the webs of traditional administrative patterns is that they were based on overly simplified assumptions: the relationships between individual, group, and organizational performance, as well as the connection between performance (input) and productivity (output), are much more complex than previously understood. Therefore, the allocation of government budgets and resources based directly on perceived performance bears witness to the application of a linear logic that fails to reflect a complicated reality of complex networks and relationships (cf. Zhang Siming, 2009:14). The gradual implementation of administrative reforms, including a set of complementary measures, is called for if we want to improve the efficiency of the civil service apparatus.

2. The Legal Provisions: Drawing Up a Framework for Aligning Individual and Organizational Goals and Establishing Methods for Measurement and Evaluation

At the core of performance management lie the issues individual performance reviews and group performance evaluations. First of all, it is essential to link up individual performance reviews with group performance to create an integrated system that allows for strategic planning, which involves all members of the organization and makes them function as a team. Annual organizational targets and objectives are achieved through strategic cooperation. What exactly should each individual member of the organization contribute to the realization of shared objectives? What role should he or she play in the operational processes? These are questions that may serve as a basis for assessing the performance of individual employees. Since the tasks and responsibilities given to each employee are all designed and assigned with the single purpose of achieving the organization's strategic goals, it is possible to some extent to assess the degree to which the organization is attaining its goals simply by looking at the degree to which all individual employees are managing to achieve their tasks and duties. In the future, provisions should be added to the CSPEA regulating the implementation of complementary measures and tools for performance management, including mainly management by objectives (MBO) and balanced scorecards (BSC), but also, under certain circumstances, the careful implementation of the 360 degree feedback/performance appraisal method (Xu Mulan, 2000: 239-246). When these changes are introduced, it will also be a good opportunity to deal with related issues, such as various problems that are likely to be generated when the new measures are put into place on a nationwide basis.

The core concept of MBO is to allow individual employees to define specific work targets in accordance with their own duties and overall organizational objectives. For this method to work, supervisors or department heads need to fulfill their role as leaders and managers of the operational process. They can do so by supporting and helping employees to achieve their targets, and by giving them the feeling that they are needed, and that their contributions are being valued. This approach is based on result-oriented concepts of performance management, as well as participative management theory and the philosophy of management through self-discipline. A comprehensive performance management system needs to have smoothly functioning mechanisms for quick feedback through vertical and concentric channels. One of the main criticisms leveled at the current system of civil service performance evaluation is that it fails effectively link up organizational objectives and budgets with individual tasks and targets. As a result, it quite often happens that organizational objectives are not attained, even though all the individual tasks and targets were achieved. These failures of management and leadership put the civil service in a bad light, leading to a negative public perception of administrative services (e.g. people may wonder why so many civil servants are assigned A-level grades for
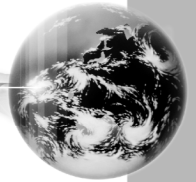
their performance, when the output and services provided seem to fall so short of public expectations). All the more reason, then, to speedily implement legal provisions for the establishment of mechanisms for feedback and participation, which will be the crucial step to properly linking up individual performance reviews with group performance.

Meanwhile, MBO is a very useful tool for ascertaining the validity of set goals and objectives, but if targets are set almost exclusively with the criterion of "measurability" in mind, then in practical terms most targets set will be of a financial/budgetary nature (i.e. easily quantifiable). This is a tendency that runs counter to the modern reality of organizational structures and operations, which do in fact entail an urgent need for knowledge-based management and professional human resource management. Therefore, it might be good idea to remedy the problems caused by over-emphasis on readily quantifiable performance indicators by using "strategic maps." If this approach is combined with the BSC approach at all organizational levels, it will become possible to produce adequate criteria that properly reflect the need for complex, pluralistic values in modern organizations, and draw up valid short and long term goals that strike a reasonable balance between financial and non-financial aspects, as well as between lagging and leading indicators, and internal and external performance factors and structures. In this context, referencing or introducing balance scorecards from different periods or phases should be viewed as a way of dealing with distinct management issues (Kaplan & Norton, tr. Zhu Daokai, 2008). Also, while particular attention should be paid to the definition of strategic values, it will suffice to capture the essence and spirit of the various strategic methods employed (which should be used flexibly). In other words, management should try to reduce the impact of departmentalism, as well as avoid over-specialization and exaggerated division of work or responsibilities, since all of these can easily lead to the creation of bloated structures and the need for excessive consultations and written communications or exchange of documents between different departments and sections. Combined, the above measures should help to prevent the confusion of goals or misinterpretation of targets, and similar problems. The 360 degree feedback system, however, should only be employed in certain situations, or just partially applied, since it strongly affects administrative ethics and organizational culture.

3. The Management Factor: Strengthening the Leadership and Evaluative Capabilities of the Management/Supervisors

The crucial factor in linking up individual performance evaluations with group performance is the ability to adopt an all-embracing outlook and clearly discern the type and amount of contribution made to the organization by individual employees. If certain employees are not contributing anything to the organization, they should be given training to strengthen their abilities. Or, where this is not feasible, mechanisms for removing these employees from their post, or dismissing them from service, should be in place. Effective performance management needs to focus not only on moral conduct, general attitude/behavior, loyalty, uprightness, and commitment, but also has to take into consideration aspects such as knowledge, skills, efficiency, and work performance. At the same time, proper division of work and responsibilities are an important basis of performance reviews, and tools and methods should be in place to allow the fair evaluation of employees/departments with different operational duties and specialized tasks. This kind of comprehensive approach will facilitate a more realistic evaluation of individual performance in relation to group performance and efficiency.
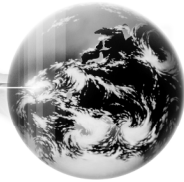
Just as important as all of the above is that leaders and management fully shoulder the responsibility for individual performance reviews and group performance. When an agency leader is evaluating a department

head's performance, he should not only pay attention to the merit principle, but also take public opinion into account and listen to people's concerns and expectations with concern and empathy. These political factors deserve full attention for the simple reason that the main goal of performance management is to cultivate a positive public perception of the civil servants. This is what is meant by "creating prosperity for the general public"—to actively and proactively work, in accordance with the legal provisions and through administrative measures, for the well-being of society as a whole (instead of taking the "passive" approach of trying to avoid the worst effects of corruption and other bad practices). Possible shortcomings or blind spots in the system also need to be addressed. For example, to ensure that the basic principles and standards employed in group performance evaluations are as objective, fair, and "effective" as possible, the SMART principle should be applied, since it provides a whole set of diverse criteria. The SMART principle works particularly well in combination with the 4Es (Kuan Chung, 2009b: 19-20).[34] When departments select members for evaluation committees, departments with many employees will enjoy a relative advantage over those with fewer employees. Another procedural issue deserving our attention is dealing with unfair assessments: does it violate the principles of performance management if a scorecard is rejected that is deemed to contain overly subjective evaluations (even and particularly when the scorecard is that of a department head or a member of an evaluation committee)? At the same time, policy evaluations should never be conducted with short-term interests in mind, but must focus on long-term interests and so-called "meta-results assessments." Based on long-term observations, this author also believes that good superiors give dynamic and dedicated employees with superior skills frequent opportunities to perform, and may even allow them to make small mistakes if it helps to prod them into developing their full potential. On the other hand, when employees encounter a superior who does not trust in their abilities, or whose skills and moral conduct are well below par, it will be almost impossible for everybody involved to develop a relationship of mutual trust, support and growth. It can then seem difficult to find answers to questions such as: who or what is the reason for deficient group or individual performance? How can performance be improved? From a manager's point of view, in situations such as these, it will be critical to examine problems from the agency leader's or department head's perspective, as well as from that of subordinates at different levels of the organization.

When it comes to measuring or improving the ability of leaders and department heads to adequately assess their subordinates' capabilities and performance, this author agrees with what the President of the Examination Yuan, Kuan Chung, said in a 2009 address to administrative executives who had just assumed office: in order to improve the performance of individual employees and departments, and by extension of the entire agency, it is crucial to make good use of the provisions of the CSPEA, and the tools offered by its

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[34] Kuan John Chung, head of the Examination Yuan, laid out his SMART strategy with regard to the creation of performance indicators. S stands for *Specific*, meaning that indicators evaluating efficiency must not be vague, but should be as concrete and specific as possible. M stands for *Measurable*, meaning that performance indicators should be measurable, for example, either quantifiable or behavior-oriented, while data or information used to validate these performance indicators should be easily obtainable. A stands for *Attainable*, meaning that performance indicators can be attained with the proper effort; performance goals are not set too high or low. R stands for *Relevant*, meaning that performance indicators and the work content they measure should be closely related. T stands for *Time Bound*, meaning that the evaluation of performance indicators should be completed within a certain time frame. More commonly, performance evaluation is measured by the 3Es, namely, *efficiency*, *effectiveness*, and *economy*. In recent years, a 4th "E" has been added—*equity*. In other words, performance is using the smallest amount of resources to achieve the maximum output possible while striving for the achievement of set goals.

stipulations. At the same time, leaders and supervisors have to take on responsibilities commensurate with their position. Kuan offers some preliminary ideas on how to proceed: first of all, one needs to conduct effective routine evaluations. In these evaluations, superiors should never, not even for the sake of internal harmony, tolerate deficient performances, since this will only lead to widespread acceptance of passivity and negligence of duties, and thus to a vicious circle of eliminating the good instead of the bad. Eventually, this kind of environment will give rise to a number of objectionable practices. With regard to responsibility for group performance, the following points deserve attention during evaluations: i) Leaders or supervisors who possess adequate evaluative skills will be able to assess the quality of service required to achieve the desired output, and will also be capable of making predictions about future performance and achievement of targets based on initial results. ii) Should the various departments of an organization be divided into different categories and subcategories, or is it enough to draw up charts listing them in a sequential order? Whichever approach one takes, it is necessary to allow for different standards and criteria (and some discretion in terms of stringency of application) to be used for different departments, something that will also be mirrored in the grading and rewards and punishments system. Such distinctions are necessary to reflect the fact that each department has unique operational tasks and duties. iii) Leaders and supervisors are responsible for the performance and output of employees under their supervision. They also should put to the best possible use the strengths of each employee, and help each subordinate to develop their potential and grow on the job. It is important to keep in mind that valid and effective performance reviews are not an end in themselves, but rather a means to facilitate successful performance management. iv) Communication mechanisms, such as regular opportunities for interviews and dialogue, should be put in place, because they allow employees to better understand their own strengths and weaknesses, and thus can help them to improve their performance.[35] There are a number of factors that will affect the course and effectiveness of such interviews, such as the amount of preparation put into them by leaders or supervisors, their attitude and skill in conducting them, as well as the timing and setting (e.g. during or after work hours; in an office or non-office setting, etc). Interviews can help supervisors to establish patterns of positive interaction with employees, and to determine the training needs of their subordinates. Last not least, dialogue with employees will provide valuable data for assessing who should be promoted or transferred to a different post, or who deserves special support to develop his or her full potential. In short, communication can help to improve virtually every aspect of performance management.

4. The Technical Side: Employing Two-Track, Diverse Evaluation Methods

Performance management is all about implementing strategies to realize an agency's organizational and administrative objectives. There are at least three distinct yet mutually intertwined and interacting levels involved: organizational performance (i.e. performance at the agency level), performance of the individual departments, and performance of the individual employees. The output and results at these three levels can serve as useful performance indicators, which can help survey and research companies to accurately assess

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[35] In the future, supervisors will be required hold interviews one or twice yearly with subordinates, with the content of such interviews and their results to be included in the supervisors' regular evaluation report. The purpose of these interviews is to promote communication and understanding between those carrying out the evaluations and those subject to it. During the interview, the supervisor who has evaluated the working methods, attitude, and goals of his subordinates, will discuss how to carry out work responsibilities, along with results of employee's workplace review The interview is based on the idea of the communication and solving of problems; working to create a win-win situation, rather than a time to punish subordinates, otherwise supervisors will be unable to obtain the trust of their colleagues, let alone carry out real reform.

the services provided by administrative agencies, and determine how well the accountability mechanisms of democratic politics are working in practice. Agency leaders can use data on departmental performance and individual performance reviews to achieve better control of the civil service system, both in its administrative and political aspects. For department heads, the adequate implementation and utilization of individual performance evaluations are key pillars of good leadership, since they allow supervisors to support the command and control mechanisms used by the agency leadership to ensure that all employees can and will achieve their individual goals and targets. Last not least, performance criteria and reviews provide valuable information to employees about their efficiency and output, helping them to define individual work standards and goals, and allowing them to determine the direction of their future development.

Under the current system, evaluation of individual performance and overall organizational output and results in government agencies is conducted with the help of a two-track system that combines staff (HR) reviews with assessments conducted by administrative research, development and evaluation committees (RDECs). One problem with the current approach is that with the exception of state-owned enterprises, an agency's overall performance has no effect whatsoever on individual performance reviews, and the results of individual performance evaluations only rarely reflect the status of the organization's output and results. From a performance management perspective, HR performance reviews and RDE assessments are both valid tools, part of a two-pronged approach that helps to improve administrative efficiency and performance. Instead of being used independently, both methods should be integrated to further enhance their effectiveness. During its time in power, the DPP launched attempts to introduce a performance-based reward and bonus system into the HR evaluation process, hoping thereby to support and strengthen newly implemented mechanisms for group performance assessment. Unfortunately, the government failed to successfully put all the relevant measures into place, and the methods designed to firmly establish the new system lacked suitable mechanisms for closely linking up the HR and RDE sides of the evaluation process.[36] Future amendments to the performance evaluation system should therefore place more emphasis on the proper implementation of functioning mechanisms for group performance appraisal, and, even more importantly, should make RDE reviews a central part of the evaluation process, in particular with regard to professional skills and functions. These new structures will need to be supported by complementary procedural measures, merging all new elements into an integrated system. The main criterion to be employed in performance appraisals is the attainment or otherwise of administrative goals and objectives. The group performance of subordinate agencies and departments should be evaluated with the help of MBO methods. This means that preliminary assessments need to be conducted by special evaluation committees in order to establish which review category individual agencies or departments fall into. The grouping or ranking thus achieved will serve as a basis for drawing up specific standards and criteria for the appraisal of groups/departments in the various categories. This will in turn affect the distribution of levels and grades, as well as the standards for promotion and the bonus system. The final step in the performance measurement and evaluation process involves the assessment of individual performances in accordance with the categories and standards defined during the preliminary appraisals. The individual performance reviews are carried out by the subordinate agencies or departments, and then submitted

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36   As mentioned earlier, following proposed amendments to the Civil Service Performance Evaluation Act, in 2006, the Ministry of Civil Service drafted its *Regulations for the Implementation of Group Performance Appraisals.* However, since the draft amendments to the Performance Evaluation Act are still unfinished, the Ministry's regulations are still in the draft stage.

to the evaluation committees for a final review that takes into account the results of both group and individual performance appraisals. This comprehensive approach ensures more reliable results in group performances, while at the same time linking them up adequately with the individual performance review process.

In view of the above, it is clear that the civil service performance evaluation system is in need of sweeping reforms for it to become a mechanism that is capable of assessing the output of various agencies in departments in accordance with their specific operational tasks, duties, and environment. The purpose of appraisals is to evaluate work performance and help to develop the potential of all members of an organization, with the main focus placed on output, efficiency, service attitude and ethics. A particular concern with regard to Taiwan's administrative culture is the over-emphasis on a system that pursues "formal" rather than "actual" fairness, which has given rise to hypocritical leadership styles and a tendency to compromise in matters of quality and performance. We therefore need to set up unambiguous standards and reasonable ratios for performance rating and grade distribution, and thus for rewarding and promoting the good and weeding out the bad. It is a fact that the number of truly outstanding employees is very limited, and that such superior performers are usually easily recognized. The same is true of employees at the extreme other end of the spectrum. Therefore, a proportional system should be put in place with clear criteria and ratios for top and bottom grades. This will provide effective incentives for, and generate healthy amounts of pressure on, management and supervisors, while at the same time motivating basis-level employees to develop their potential and improve their performance. All the above are essential steps on our way to introducing strategic HR management into the civil service system and establishing a highly efficient administration.

V. Conclusion

In the face of changes and developments brought on by globalization and the advent of information societies and knowledge economies, as well as the great challenges created by other political, economic, social, cultural, and technological changes, governments around the world are struggling to define their national development direction, and devise and implement clear-cut policy concepts and guidelines to enhance their country's competitiveness. To realize these goals, much attention is being paid to finding ways of improving administrative effectiveness and efficiency, the key to which is a healthy and well-functioning civil service system with properly trained, professional employees. Today, public services need to engage in cross-disciplinary integration and collaborative governance, with all levels of administration closely connected and tightly integrated: all the individual employees, units, sections, and departments, all the groups and teams and organizations and agencies, have to form one organic system in order to pool and utilize limited resources, achieve efficient performance, and, through finely tuned cooperation, work towards the ideal of good governance.

Looking at the CSPEA and the performance management systems currently in place in Taiwan, we find that there is much room for improvement if the above goals are to be achieved. It is mandatory that future revisions and amendments to the CSPEA introduce a proportional system with unambiguous criteria and ratios for A-level grades, and reasonable standards for both individual and group performance evaluations. Other static methods in need of an overhaul are routine reviews and interviews, which need to place more emphasis on two-way communication and efficient dialogue. Only if these improvements are put into place can we even begin to work on achieving the targets of dynamic performance management, and establish an evaluation

system that strikes a good balance between flexible administrative mechanisms and rigorous ethical and political standards. This should be the main objective of our future efforts. Another area that deserves attention is the implementation of a stable and reasonable mechanism for dismissing or transferring employees who consistently under-perform or are unsuited for their position. We should also work on establishing an organizational culture that stresses dynamic ideas and methods of performance management, because this will encourage supervisors to show leadership qualities and exert a positive influence on their employees' attitude and behavior. In this way, individual efforts and goals can be properly aligned with organizational objectives, and such goal congruence will greatly improve overall efficiency.

The process of introducing new forms of performance management and realizing goal congruence will have to be accompanied by detailed strategic planning to ensure that the goals of all individual employees are extensions of organizational objectives, i.e. generated by and derived from an agency's operational targets. Furthermore, performance reviews should be carried out with the active cooperation of employees to facilitate the establishment of a broad consensus and a shared vision for the future. Naturally, when comparing and assessing the contributions to the organization made by different staff members, it is essential to adhere to the principles of fairness and motivational psychology, and to put in place mechanisms for mutually beneficial exchange and interaction. In doing so, it will be possible to build effective mechanisms for interconnecting and integrating individual performance reviews with group performance evaluations, thereby efficiently linking personal with organizational values. Once the interests and development of agencies and their staff are aligned in this way, organizational dynamics and staff motivation will be greatly enhanced. Thus, we will be one step closer to creating a true win-win situation for individual and organization, and to realizing the ultimate goal of building a high-performance government that can win the respect, trust and support of the public, while at the same time making a major contribution to sharpening the nation's competitive edge.
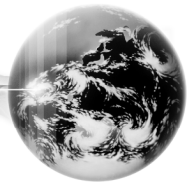
個人考績與團體績效評比
扣合相關學理與作法之研析－蔡良文
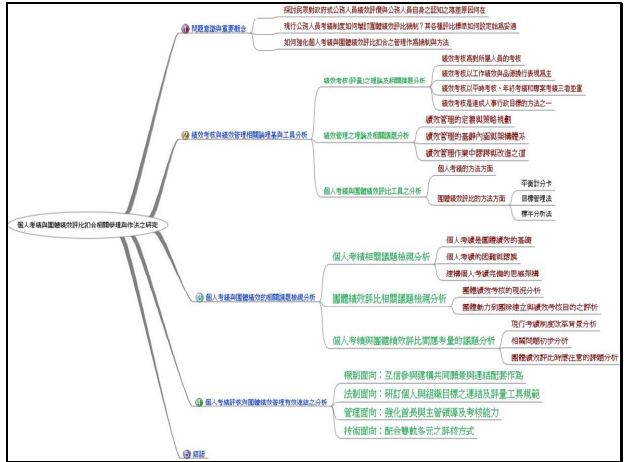
政府無論以績效導向與顧客導向，乃至於服務導向作為施政前提，其措施必須能符合人民的期望，亦必須能滿足國會行政課責及完成政府施政績效目標，以奠立善治（good governance）的基礎。

我國公務體系運作機制經驗，對於團體績效產出與結果以及個人考績表現之確定，比較欠缺整合之體系。
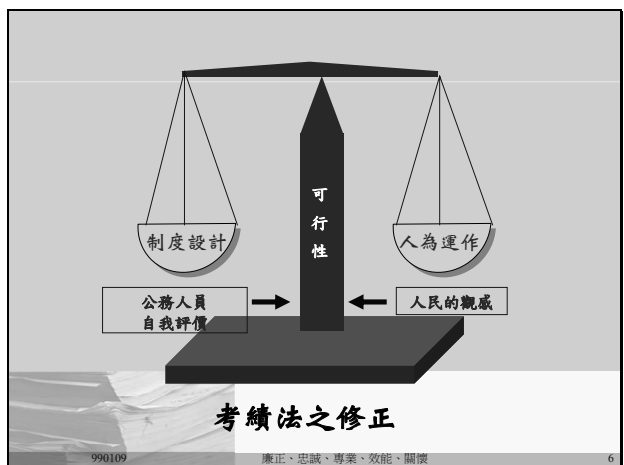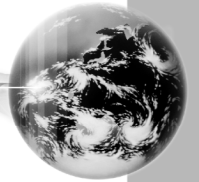
如何有效建立「個人考績表現」與「團體績效評比」間有效連結與扣合之機制，進行討論，其相關議題至少包括：

（一）探討民眾對政府或公務人員績效評價與公務人員自身之認知之落差原因何在；

（二）現行公務人員考績制度如何增訂團體績效評比機制？其各種評比標準如何設定始為妥適；

（三）如何強化個人考績與團體績效評比扣合之管理作為機制與方法。

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貳、績效考核與績效管理相關理論基礎與工具分析

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發展與激勵性

提供績效回饋
確認個人之優勢/劣勢
認定個人績效
協助目標確認
評估目標達成
確認個人訓練需求
決定組織訓練需求
強化職權架構
允許成員討論關心事項
改善溝通與激勵發展
公開討論或面談，讓領導者進行協助

管理與行政性

人事決策檔案化
決定晉升人選
決定調邊與工作指派
界定不好的績效
決定留任或停止留用
決定解職/退場機制
有效的甄選準則
符合法律規定之人事權益
評估訓練計劃/進度
人事規劃與運用
制定獎賞/俸給薪資決策

圖 1　績效評量(估)的目的

資料來源：參照Snell & Bohlander,2007：333

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銓敘部2009年6月起多次邀集學者專家多數偏向考績就「工作績效、品德操守及其他與業務有關項目」進行評量。至於考核項目則由各機關自行訂定除獎優亦可汰劣外，其關鍵績效指標（Key Performance Indicator, KPI），可以提高考核之效度及符合機關組織之需要。

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民主課責

效率

投入
成本與心力

過程
合法、公平性

產出

結果

績效質量

政策影響

效能

圖 3　績效管理基本概念圖

資料來源：參照Talbot(1999)；胡龍騰，2009：8。

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□ 茲以英國外交部為例，其考核重點包括組織成員的創新能力，與人合作的能力及提供公務服務之品質。其服務優劣關涉到待遇獎金以及其快速升遷訓練等發展。

資料來源：英國駐台康代表，2009演講稿

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圖 美國高級文官年度績效評鑑

資料來源：Performance Management Guidance 2008/09 for Permanent Secretaries and The Senior Civil Service, covers the business Year 1 april 2008-31 March 2009, UK Cabinet Office

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澳大利亞政府之績效管理認為是：

❑ 用以增進個人與團隊績效，以達成業務目標的方法(a means to improve the performance of individuals anf teams to achieve business goals)；

❑ 用以緊密連結組織與個人規劃的方法(used to align organizational and individual planning)；

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❑ 用以激勵優良績效與管理不良績效的機制(a mechanism for rewarding and recognising good performance and managing under-performance)；

❑ 用以發展工作技能與永業職涯規劃的機制(a mechanism to support skill deveopment and career plannning)；

❑ 從職場規劃角度，用以找出與開發成為高效能工作團隊所需的能力(from a workplace planning perspective，a mechanism to identify and develop required capabilities for a capable，adaptive and effective workforce)。

（資料來源：澳大利亞商工辦事處代表處2009年12月7日到考試院演講稿）。

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茲以美國總統歐巴馬(B.Obama)任命之績效長J.D.Zients提出歐巴馬的績效管理改革系統的五大關鍵因素原則：

1、由高階主管充分掌握績效管理過程(Senior leader ownership of performance management process)

2、連結目標與評量方式(Cascading goals and measurements)

3、績效導向、跨機關的目標設置與評量(Outcome-oriented, Cross-agency goals an measurements)

4、持續不斷的評估與課責(Relentless review and accountability)

5、過程透明化(Transparent Process)等(胡龍騰，2009：20-25)

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三、個人考績與團體績效評比工具之分析

（一）個人考績的方法方面

考績有原則、有途徑，惟考績對象不同，方法亦應有別。如對專家與通才，對主管人員與非主管人員，對高階層行政人員及中下階層人員，……均有所不同。故對於考績方式不宜拘泥形式，只要合乎考績原理、價值倫理，但求從實品評優劣而作審慎有效之考核以及運用績效評估的方法(Rosembloom & Krachuk,2005：226-231)；俾落實績效評估，貫徹政府組織策略。

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(二)團體績效評比的方法方面

1.平衡計分卡

平衡即指評量項目中不僅包含早期的財務指標，更包含非財務指標

又為能克服選擇指標的問題，遂將指標之選擇與策略目標(strategic objectives)連結，並以策略地圖(strategic maps)方式呈現策略與指標間之關聯性；管理人必須找出每一向度所代表的五至六項目標，並在策略地圖上呈現目標間的因果關係；在目標間因果關係確認後，每一目標再找出代表性指標；此一取向由於較能展現組織脈絡與發展之系統，在近十餘年廣被使用

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2.目標管理法

目標管理制度在 1954 年由彼得杜拉克 (Peter F. Drucker) 提出，近來融入「尊重個人」、「追求生活與工作之意義」、「個人的潛能開發」等思潮，其相關的評估方法，廣泛地應用在各職場中 。

在透過目標管理的過程，讓所有組織的成員共同參與，同時也將組織策略目標變成共同願景暨重視其品質水準，並非只是指標建構的過程或方法而已（參照孫本初，2007：2-3）。

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3.標竿分析法

係指某一組織向該領域的第一名（標竿對象）看齊，簡單的說就是取法乎外、見賢思齊，且標竿分析法係由實務需要逐漸衍生(可做單位或個人排序之參考)

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參、個人考績與團體績效的相關議題檢視分析

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不能沒有你

(一)依法行政
(二)服務態度
　　1、人在公門好修行
　　2、抱定做善事的心
　　3、不會有私利、私心、私慾
　　4、要有同理心

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官僚之夏(有你真好)

此日劇是描1960至1970年間，日本文官奮力讓日本成為經濟強國的過程，劇中每個文官都具急迫感，文官的急迫感是由使命感所帶動，他們有決心讓日本成為世界第一流的國家。

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一、個人考績相關議題檢視分析

(一)個人考績是團體績效的基礎
(二)個人考績的困難與謬誤
(三)建構個人考績完備的思維架構

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政府人力資源管理決策另一最重
要的議題就是公平
個人考績或績效評比等相關人事
管理措施，均必須考量公平原則
地方機關最應重政治性因素

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　　績效評比中，也關涉到個人考績及其陞遷發展，必須克服負面競爭的可能後果，如「一個和尚挑水喝，兩個和尚抬水喝，三個和尚沒水喝」的推諉現象。所以，「一種米養百種人」，「人心不同各如其面」，如何導引善心善念的匯聚與團隊的建立，是提升團體績效時，須認真思索的課題，亦是善治的基礎。

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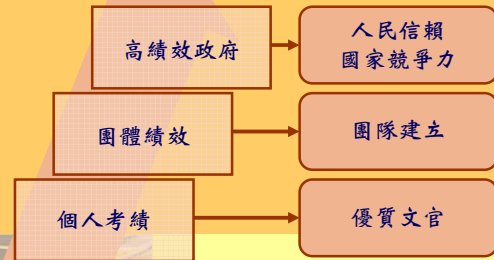
990109　　　廉正、忠誠、專業、效能、關懷　　28

考績改革之基本面向
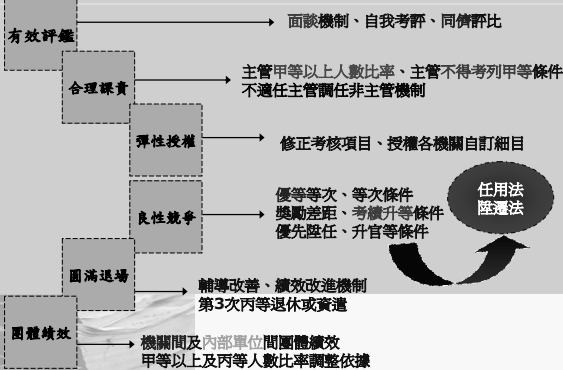
資料來源：公務人員考績法修正三重點簡報，銓敘部,98.12.29　廉正、忠誠、專業、效能、關懷　　29

考試院文官制度興革方案
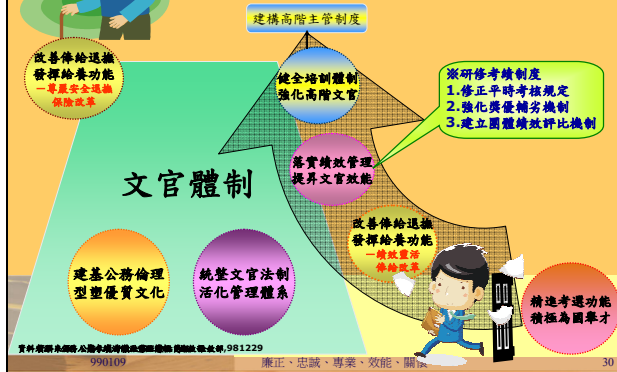
990109　　　廉正、忠誠、專業、效能、關懷　　30
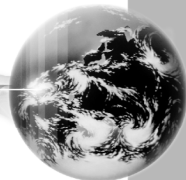
肆、個人考績評核與團體績效管理有效連結之分析

990109　廉正、忠誠、專業、效能、關懷　31

文官改革思想價值　→　必要落實到制度　→　形成機制運作

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中央與地方政府

精確衡鑑　　　　有效管理

功績價值　→　　←　民主價值

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一、機制面向：互信參與建構共同願景與連結配套作為

- 「前瞻發展」評估(核)取代「回顧管控」之績效管理
- 績效管理之核心，必須經組織與成員經由過去經驗下進行良性對話，即由相互對立到互相信賴，由組織疏離到組織承諾提升成員工作潛能與歸屬感，型塑共同願景與良善運作之績效管理機制。

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傳統　→　現代

回顧管控　　　　前瞻發展
團體課責　→　　組織信任
長官信任　　　　民主課責

參與暨對話的有機體

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「績效獎金」隱含強烈的道德風險(moral hazard)

- 創造同仁的福利
- 前提符合人民期待與創造人民福祉

資料來源：張四明

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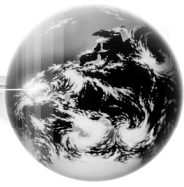
二、法制面向：研訂個人與組織目標之連結及評量工具規範

未來公務人員考績法應規範配套性的績效管理工具，主要包括「目標管理」及「平衡計分卡」以及有條件參採360度績效評估回饋制度（徐木蘭，2000：239-246）。至於全國實施績效評估時的問題及其解決之道，亦可併同思考。

「同仁自評先予納入」，同儕互評則應斟酌。

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考績法制是文官制度之樞紐
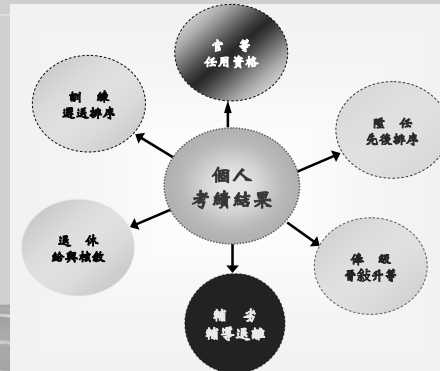
資料來源：公務人員考績法修正草案關鍵，銓敘部，981229

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扣合作法之相關法制體系內涵
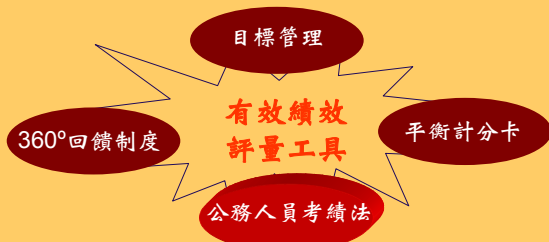
990109　　　廉正、忠誠、專業、效能、關懷　　　39

三、管理面向：強化首長與主管領導及考核能力

有效的績效管理，除考量品德、操守、忠誠、廉正、關懷外，亦須留意知能、效率與績效，並以確實分工與責任歸屬為評量基礎，同時針對不同業務性質訂定適當而多面向之評估方法與工具，以利評鑑個人考績等次與團體績效。

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可行考績衡量系統之關鍵因素
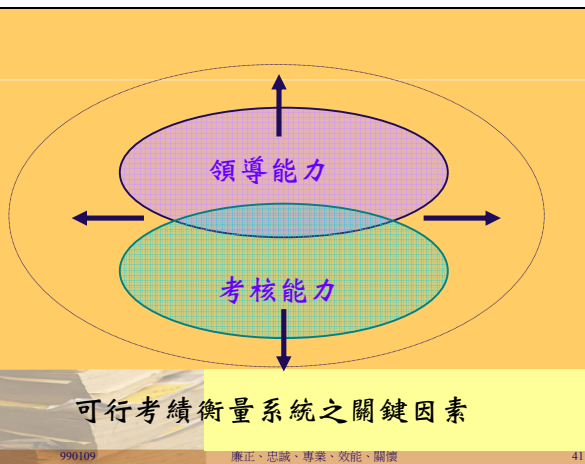
990109　　　廉正、忠誠、專業、效能、關懷　　　41

□ 如團體績效評核基礎要能完全客觀公正而且「有效」，至少應掌握SMART原則，惟其指標是多元的，而宜掌握4E之共同標準（關中，2009b：19-20）。

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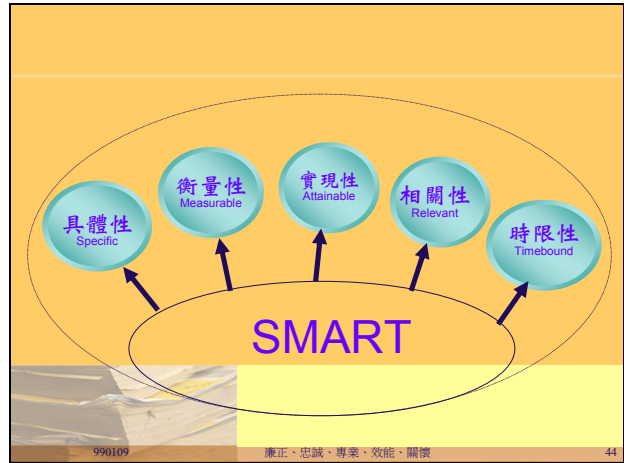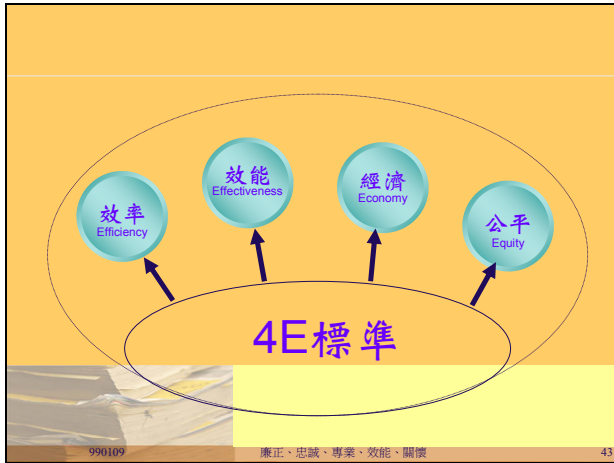
4E標準：效率 Efficiency、效能 Effectiveness、經濟 Economy、公平 Equity

SMART：具體性 Specific、衡量性 Measurable、實現性 Attainable、相關性 Relevant、時限性 Timebound

- 另筆者長期觀察，好長官讓工作積極能力強的成員發揮，甚至容許成員犯小錯，使渠展現才幹潛能。
- 但當成員遇到不太信任或能力德行均不足的長官，如何與長官產生互補而相互成長？
- 實務上，團體或個人之績效不彰的原因何在？改進之道為何？
- 從管理者角度言，至少應留意首長或主管的角度或非主管或不同層級非主管角度？是值得思索的。

四、技術面向：配合雙軌多元之評核方式

- 內涵至少包括機關組織績效、各單位績效、個人考績，以及三者間之互動連結關係。
- 目前政府部門個人表現及整體績效產出與結果，係透過人事考績及研考評鑑之兩元體系進行，其結果除國營事業及相關機構外，施政績效不影響個人考績，個人考績少有反應組織績效產出與結果。

伍、結語
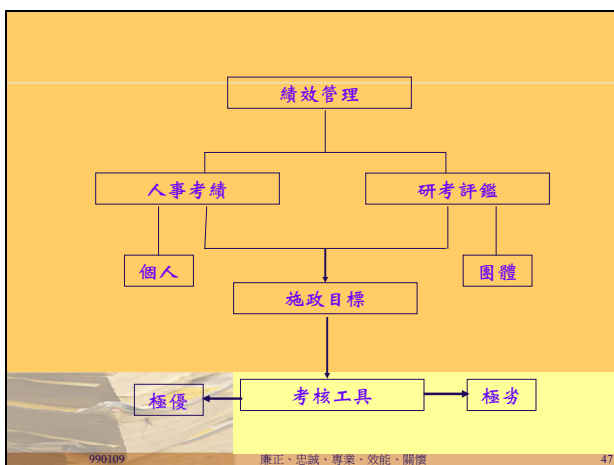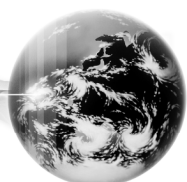
科特，《急迫感》

要有
方向感
（不能毫無頭緒）

急迫感

使命感

要拿出
具體貢獻

要專注在
重要事務上
（不要為小事分心）

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☐ 當前公共服務必須要跨域整合與協力治理，由個人至單位，由單位至團體，由團體至組織，由組織至機關政府體系，每一層級運作均須緊密整合，始能集中運用有限資源，經由協力而發揮綜效，而臻於善治之境域。

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☐ 因為透過績效管理制度的建立與執行在過程中，可對成員個人的心態及行為產生影響或導引之作用，使個人之努力目標能與組織目標一致，而發揮「目標趨同」（goal congruence）之作用。易言之，個人目標與團體目標結合，形成共識的思維與作為。

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☐ 建構個人考績與團體績效評估的扣合機制與作法，以有效連結個人及組織價值、行為與發展與提升組織團體動能，建立個人與機關團體雙贏之結果，建構高績效的政府，贏得人民的尊敬、信賴與支持，亦能助益於提昇國家競爭力。

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敬請指教！！
蔡良文：考試院考試委員
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　liangwen@exam.gov.tw

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個人考績與團體績效評比扣合之相關作法研析

發揮兩種考核的激勵功能，提高政府的公共服務效率

與談人：顧愛華

遼寧大學哲學與公共管理學院教授

　　拜讀了蔡委員良文先生《個人考績與團體績效評比扣合相關學理與作法之研析》大作很受啟發。政府的績效考核是引導政府及其公務員樹立正確導向、盡職盡責做好各項工作的重要制度安排，它是政府在履行公共責任的過程中，對內部制度與外部效應、數量與質量、經濟因素與倫理因素、剛性規範與柔性機制等方面，以公共產出的最大化和公共服務最優化為目標，實施的一種全面的、系統的管理。這種管理從存在方式角度來看，分為組織（團隊）績效與個人績效；從表現形式角度來看，分為顯現的績效與潛在的績效。顯然前者更為重要，因此，蔡委員探討個人考績與團體績效評比之間的契合機制是抓住了問題的關鍵。

　　政府績效管理強調以績效為本，以服務質量和社會公眾需求的滿足為政府的基本價值取向，運用績效目標、績效資訊、績效激勵、績效合同、績效成本、績效程式、績效規制、績效申訴和績效評估等管理手段和管理機制，提高政府能力，優化政府形象，蘊含了公共責任和顧客至上的管理理念，是一種帶有綜合性的複合管理制度。其中既有對政府行為基礎的公務員進行考績，即個人考績，也有對行政管理主體的組織考績，即團隊考績，二者是相輔相成的關係。沒有公務員的優異表現，很難有行政團隊的整體成就。政府的績效管理就是圍繞提高團隊績效這一組織目標而實施的人力資源管理原則和技術，包括民主管理、參與管理、公務員素質與能力分析、團隊精神的塑造、考核制度的完善與改進、績效工資制和其他激勵措施、公務員培訓與發展等等。

　　個人績效主要反映在個人能力、個人在團隊中承擔的角色以及個人工作業績等方面。其中個人能力是指團隊成員所擁有的與團隊任務有關的知識、智力和專業水平，是影響團隊績效的重要因素之一，可以用來預測團隊的有效性。團隊中個人能力可以從敬業精神、專業知識、和溝通能力方面來衡量；個人在團隊中承擔的角色是指個人在團隊中表現出自己特定的行為模式。團隊成員在團隊中扮演的角色不同，對團隊的運作過程及其產出有很大影響。如果團隊成員扮演自利性角色對團隊績效起的是消極的作用。如果團隊成員扮演的是任務角色和維護角色對團隊績效起積極作用；個人工作業績主要包括團隊成員個人任務的完成情況或工作成果、個人的滿意度以及個人學習和個人成長等方面內容。對團隊中的個人業績主要從個人任務完成情況或工作成果、團隊成員個人的滿意度、個人學習和成長等三個方面來衡量。團隊中的個人績效是團隊績效管理的一個重要方面，是組織對個人績效考核的重要參考依據之一。團隊的成果

一定程度上依賴于其團隊成員個人的努力，個體因素對團隊這種工作方式有很大的影響。所以，個人績效考核是發揮團隊作用的重要管理基礎。以中國大陸而言，公務員考核內容包括德、能、勤、績、廉五個方面。考核方式分為平時考核和定期考核。定期考核以平時考核為基礎。對非領導成員公務員的定期考核採取年度考核的方式，先由個人按照職位職責和有關要求進行總結，主管領導在聽取群眾意見後，提出考核等次建議，由本機關負責人或者授權的考核委員會確定考核等次。對領導成員的定期考核，由主管機關按照有關規定辦理。定期考核的結果分為優秀、稱職、基本稱職和不稱職四個等次。定期考核的結果以書面形式通知公務員本人。定期考核的結果作為調整公務員職務、級別、工資以及公務員獎勵、培訓、辭退的依據。

在進行個人績效考核的同時，也對團隊進行績效考核。團隊業績是個人業績的綜合表現，因為個人處於團隊之中，個人的業績最終表現為團隊業績，而團隊業績可通過團隊任務的完成情況或工作成果、團隊外部利益相關者的滿意度以及團隊凝聚力等因素反映出來。其中，團隊任務的完成情況或工作成果是指行政機關根據其職能情況完成組織目標的情況及取得的工作成果。主要通過公民對政府的美譽度和政府公信力來衡量；團隊外部利益相關者的滿意度是指服務對象對政府的支援度和政府與公民關係的和諧度；團隊凝聚力是指群體成員之間為實現群體活動目標而實施團結協作的程度。凝聚力外在表現於人們的個體動機行為對群體目標任務所具有的信賴性、依從性乃至服從性上。主要衡量指標是團隊內的溝通渠道是否暢通、資訊交流是否頻繁；團隊成員的參與意識是否強，人際關係是否和諧；團隊成員是否有強烈的歸屬感，並為成為團隊的一分子覺得驕傲；團隊成員間是否會彼此關心、互相尊重；團隊成員是否有較強的事業心和責任感，願意承擔團隊的任務，集體主義精神盛行；團隊為成員的成長與發展，自我價值的實現是否提供了便利條件。領導者、團隊周圍的環境、其他的成員是否都願意為自身及他人的發展付出。對團隊的考核由專業的政府機關進行，這個機關名稱叫目標考核辦公室。這個辦公室對行政組織考核有考核原則、考核物件及分類、考核記分方法、考核等級評定和獎懲辦法等詳細規定。

考核原則有兩個：第一，堅持以重點考核為主，全面考核與重點考核相結合的原則。全面考核實行政府內部考核與公眾評議相結合。重點考核實行經濟指標與各部門重點工作相結合。第二，堅持以定量考核為主，定量與定性考核相結合的原則。定量考核指標資料的確定應與統計局統計年報資料相一致。定性指標根據平時積累的情況和重點工作完成實績進行考核。

鑒於各部門工作間存在一定的不可比性，將考核物件分為四類。各級政府的綜合部門為一類、政府的經濟管理部門為二類、政府的社會事業發展部門為三類、政府的綜合服務部門為四類，優勝單位分別按一定比例從四類部門中推薦產生。一類目標（工作目標）200 分：是指各級政府與各部門簽定的《工作目標責任狀》的內容；二類目標各級政府職能履行情況；三類目標（公眾評議）200 分：是指由 100 位代表進行公眾評議，其中人大代表、政協委員各 20 人；居民、村民委員會代表各 20 人；企業代表 20 人；四類目標（先進工作內容）：按實際工作超額完成情況及獲獎或受表彰情況予以加分。

考核記分方法。一類目標滿分為 200 分。完成各項指標的得滿分。對未完成單項指標的，按實際完成數量百分比乘以該項指標基礎分值予以計分；二類目標滿分為 100 分。由機關考核領導小組考評計分；三類目標計分標準為 200 分，測評票為 100 票，每張測評票中各部門測評滿分為 2 分，其中優秀為 2 分，良好為 1.5 分，一般為 1 分，差為 0.5 分。各單位如果滿 100 票的按 100 票計分，不滿 100 票的按實際票數換算成 100 票，予以計分。

考核等級評定。各級政府滿分為 300 分（不含加分部分），直屬各部門滿分為 500 分（不含加分部分）。政府工作目標考核領導小組按照各部門考核情況，提請首長辦公會議審議確定優勝、先進、達標、未達標單位。

獎懲辦法。凡獲得目標責任制管理考核優勝、先進的部門，本級政府給予通報表彰，並對優勝單位發放一定數量獎金；未達標的部門，本級政府給予通報批評；年度考核未達標的部門，要向本級政府寫出書面整改意見，並由分管首長負責對該部門主要領導進行談話；對連續兩年考核未達標的部門，建議調整部門主要領導的崗位；考核結果作為獎懲、使用幹部的依據。

通過採用個人績效和團隊績效評估相結合的管理手段提高政府行政效率和社會服務水平。用制度設計和安排的方式塑造公務員樹立＂公民至上＂的行政理念，建立政府與社會之間的良性關係，不斷提高公共服務的質量。

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Comments for paper titled "An Analysis of Linking Individual Performance Evaluation to Group Achievement Assessment" by Dr. Tsai Liang-wen

Leveraging two types of evaluation-based incentives to improve civil service efficiency.

Dr. Gu Ai-hwa

Professor, College of Philosophy and Public Administration, Liaoning University

I found Committee Member Mr. Tsai Lang-wen's "An Analysis of Comparison of Linking Individual Performance Evaluations to Group Achievement Assessment," most enlightening. Performance evaluation is a key to guiding government and the civil service towards continual improvement in all major aspects of operations. The goal is to take a comprehensive and systematic management approach towards optimizing public services through instituting evaluation as a part of overall public responsibility, quantitatively and qualitatively measuring internal systems and the external economic and ethical consequences of rigid norms and flexible mechanisms. From a management perspective, this evaluation is divided into group (team) and individual performance, and then subdivided into manifest and potential performance. Manifest performance is obviously more important; therefore Mr. Tsai's discussion of a mechanism by which individual evaluation and group performance can be integrated goes to the heart of the issue.

Government performance management focuses on performance, and the quality of services provided to citizens are evaluated through consideration of many mechanisms including performance goals, data, incentives, contracts, costs, programs, regulations, complaints and evaluations, etc. By these means, a customer-centered management approach, applied within a comprehensive management system, can foster a customer-centered approach emphasizing public responsibility, thus raising the quality of the civil service and its public image. Individual performance assessment is a fundamental part of civil service performance assessment, and is strongly correlated with team performance. Without high performance among civil servants, overall administrative team success will be very difficult to achieve. The government's approach to performance management focuses on improving team performance through implementing human resource management principles and techniques such as democratic management, participatory management, quality and capacity analysis, team building, continual auditing and improvement of systems, performance-based pay and other incentives, and civil service training and development.
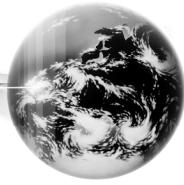
Individual performance is primarily a function of the individual's personal ability and role within the team. Individual performance factors, such as task-specific knowledge, intelligence and professionalism are all strongly influence overall team performance, and can be used to predict team effectiveness. The individual

ability of team members can be judged from the pride they take in their work, their professional knowledge and the communication skills. The individual's role within the team refers to the behavior by which the individual identifies himself within the team. By playing different roles within the team, the individual can greatly influence the outcome of the team's operation. An individual in a self-serving role can have a significantly negative impact on team performance, while an individual taking an active role will positively impact team performance. The individual's work performance mainly consists of completing his or her individual tasks within the team, and personal satisfaction comes from learning and personal growth. Within the team, individual performance can mainly be considered from three perspectives: individual task completion or work outcome, personal satisfaction of individuals within the team, and learning or personal growth. Individual performance within the team is an important aspect of team performance management, and is an important consideration in the appraisal of personal performance within the organization. Team performance depends on the efforts or individual team members, and individual factors have a strong influence on the work of the team. In mainland China, civil service assessment covers "ethics, ability, diligence, achievement and cost" Assessment is conducted both in regular appraisals, along with more formal scheduled assessments based on the regular appraisals. Rank and file civil servants are assessed annually to review their work responsibilities and relevant qualifications. High-level civil servants, in consultation with the public, suggest the assessment grades, which are confirmed by the relevant agency's director or evaluation committee. Regular assessments of agency leaders are conducted by the competent authorities in accordance with relevant regulations, with evaluations graded as Excellent, Good, Adequate and Inadequate. The assessed individual is notified in writing of the results, which are used to adjust the individual's position, grade and salary, and may result in additional incentives or training, or in dismissal.

Assessment of individual performance also contributes to assessment of team performance in that team performance is the sum total of individual performance and the team's task completion is reflected both in the satisfaction of external stakeholders and team unity. In this, task completion refers to the ability of administrators to complete their work according in accordance with organizational goals. The satisfaction of external stakeholders is a key measure of the effectiveness of the civil service. Team cohesion among group members is the goal of group activities to improve unity and cooperation. Aside from unity, the motivation with which individuals approach their goals can be seen in their reliability, compliance and obedience. **Key measures include: is communication and information flows within the team are open and frequent; do team members feel strongly engaged; are personal relationships harmonious; do team members care for and respect one another; do team members feel dedicated; are team members willing to take on team responsibilities and work collectively; and do conditions exist for the personal growth and professional development of all team member? Are leaders and colleagues willing to contribute to the development of others? In evaluating professional government organizations, an organization which satisfies these conditions can be called a "Target Assessment Office". Within a government organization evaluation, a Target Assessment Office is organized according to detailed rules regarding the evaluation principles, objects, categorization, scoring methods and level assignments and incentive methods.**

Evaluation is based on two principles. First use key point assessments, combining overall and key point assessments in principle. In practice, key point evaluation combines economic indicators and the key work items of each department. Second, use quantitative assessment methods, combining quantitative and qualitative assessments in principle. Quantitative evaluation indicators should be consistent with the Bureau of

Statistics annual report. Under normal circumstances, qualitative indicators should focus on performance over time based on assessment of completed work.
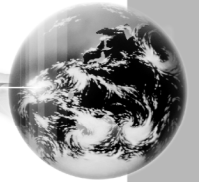
Certain aspects of workplace performance resist comparison and these assessment items will be divided into four categories: integrated departments at all government levels, government economic management departments, government social development departments, and government integrated services departments. Top performing units will be classified according to a set ratio of recommendations from these four categories: 1) Work Goals: 200 points based on the "Target Responsibilities" assigned to each government level and department; 2) fulfillment of each government level; 3) Public Evaluation: 200 points based on 100 representative public evaluations, including 20 from National People's Congress representatives and members of the Chinese People's Political Consultative Conference, 20 from citizen and village representatives and 20 from industry representatives; 4) Work Advancement: extra points ay be awarded according to the actual completion of work.

Assessment Scoring: Category One Goals are worth a maximum of 200 points, which can be achieved by completing all indicators perfectly. Points will be deducted for failure to complete individual indicators multiplied by the number of indicators to arrive at a base score; Category Two Goals are worth a maximum of 100 points, awarded based on an evaluation by the leadership group; Category Three Goals are worth a maximum of 200 points based on 100 evaluation votes, with each vote awarding points in a range from 2.0 to 0.5. If fewer than 100 evaluation votes are submitted, the final score will be adjusted to account for the difference.

Assessment Rating: Each level of government is scored on maximum scale of 300 points (not including extra sections), with a perfect score of 500 points (not including extra sections) for individual departments. The Government Work Target Leadership Group will assess the situation of each department, calling an Office Leader Conference to determine ratings of Excellent, Good, Adequate and Inadequate for each unit.

Incentives and Disincentives: Departments assessed as Excellent and Good will receive official recognition, and Excellent units will receive a set bonus. Other departments will receive a critical evaluation. Departments which fail to achieve their annual goals are required to give the relevant government agency a written proposal on how to improve performance, and the department directors will be interviewed by the leaders of their supervising agencies. Departments which fail to achieve their annual goals for two years running are recommended to shake up their leadership. Evaluation is to be used as a means of incentive and sanctions based on the use of cadres.

Individual and team performance evaluation management tools can be combined to improve government administrative efficiency and the quality of social services. Systems can be designed in a way to guide the civil service towards building a "citizens first" approach to administration, and to establish a harmonious relationship between the government and the citizenry to continually improve the quality of public services.

個人考績與團體績效評比扣合之相關作法研析

發揮兩種考核的激勵功能，提高政府的公共服務效率－顧愛華

考試院八十周年慶
變革中的文官治理國際研討會

个人绩效与团队绩效的整合途径

----以S市公务员考核为例

與談人：顧愛華
遼寧大學教授

明德精学

笃行致强

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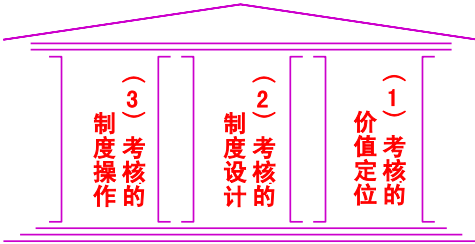
内涵的界定

途径

拼音：tújìng

英文：way;channel;path

解释：方法;路子。

个人绩效与团队绩效的整合方法。

政府绩效管理导论

一、S市考核方法的思路

（3）制度考核的操作

（2）制度考核的设计

（1）价值考核的定位

（1）考核的价值原则

公平
民主
公开
和谐

高绩效机关之路
GAOJIXIAO JIGUAN ZHI LU

（2）考核的制度设计

个人考核制度

组织考核制度

个人考核与组织考核的综合运用

辽宁省
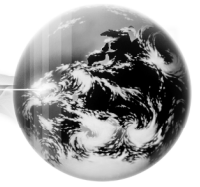
（3）考核制度的操作

个人述职

组织考核

结果公开

国家行政学院

二、个人考核方法
（1）考核前提：
　　　　政府行为分析

政府中的个体行及其激励
　公务员个体行为是政府行为的细胞
　公务员个体行为是由优势动机决定的
　公务员个体行为是由人与环境相互作用的结果
　公务员个体为的核心是激励问题
政府中的群体行为及其整合
　一个基础：公务员的群体行为是政府行为的基础
　两种群体：正式群体和非正式群体
　三类关系：同事关系、上下级关系、"公仆"与
"主人"关系

（2）考核标准
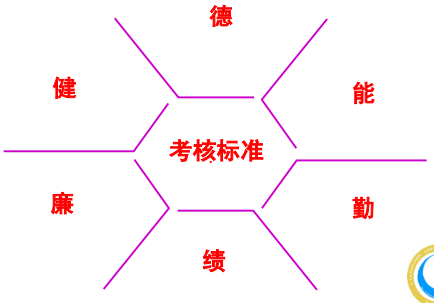
　　对公务员的考核，以公务员的职位职责和所承担的工作任务为基本依据，全面考核德、能、勤、绩、廉，重点考核工作实绩。

　　----《公务员考核规定(试行)》

中华人民共和国
公务员法

公务员考核标准

德

健　　　能

考核标准

廉　　　勤

绩
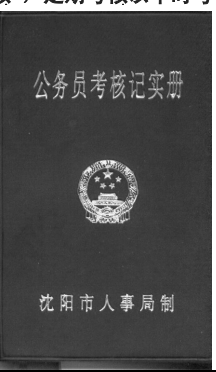
德：政治品德、伦理道德、职业道德、心理品德
能：一般能力、特殊能力
勤：积极性、纪律性、责任心、出勤率
绩：
　1、工作指标上的绩。即在履行职责、完成工作任务时质量好、数量多。这就是工作质量指标成绩和数量指标成绩。
　2、工作效率上的绩。即完成工作任务过程中体现出来的组织效率、管理效率和机械效率高。
　3、工作效益上的绩。即完成工作任务的经济效益、社会效益、时间效益等方面的效益好，取得的成果绩效就好。
　4、工作方法上的绩。是指采取了什么样的好方法、什么样的好措施、什么样的好手段胜利地完成了任务
廉：不贪污、不受贿
健：健的含义来自于《周易·乾卦·象》中："天行健，君子以自强不息　健、自强，在一定程度上体现了中华民族的民族精神，落实在工作中，主要体现在以下方面
　1、务实精神：讲求实用，追求事功，而轻浮华，鄙空谈，鄙玄虚，以务实的精神开展工作。
　2、自强精神：自强不息，刚健有为，反映出朝气蓬勃、努力向上的顽强生命力，表现百折不挠的开拓精神，斗争精神，完善自我的进取精神，以及在日常生活中的勤劳节俭美德。
　3、宽容精神：解放思想、兼容并兼容并蓄的精神，胸襟阔广，宽容大度，能够合理地对待大自然，能够团结各个方面的人，容纳各种不同的意见。

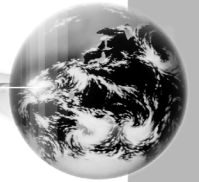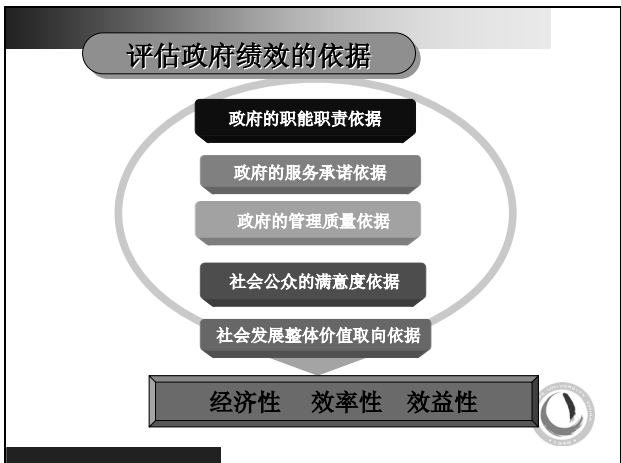**3、考核方法**
　　平时考核与定期考核，定期考核以平时考核为主。
　　平时的个人记录：

公务员考核记实册

沈阳市人事局制

中共沈阳市委组织部
沈阳市人事局文件
沈人发[1995]65号

★

沈阳市国家公务员考核实施细则

为人民服务
让人民满意
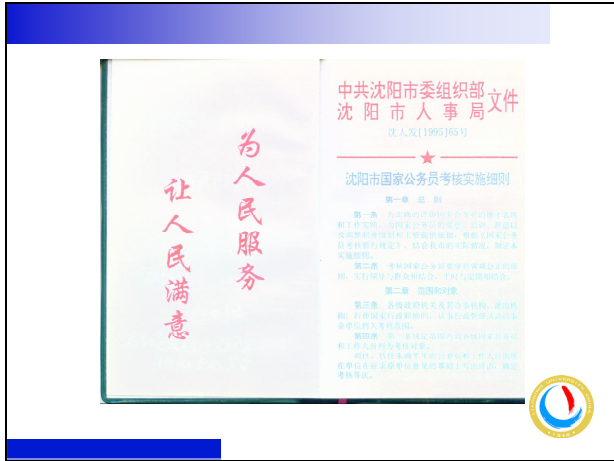
定期考核采取年度考核的方式：
　　个人述职
　　同事评议
　　领导整合群众意见提出考核等次建议
考核等次：
　　优秀
　　称职
　　基本称职
　　不称职
考核结果的使用：
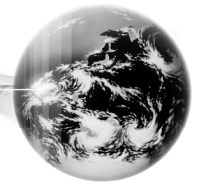　　调整公务员职务、级别、工资以及公务员
奖励、培训、辞退的依据。

三、组织绩效考核（团队考核）

1. 考核依据

绩效考核
实务

评估政府绩效的依据

政府的职能职责依据

政府的服务承诺依据

政府的管理质量依据

社会公众的满意度依据

社会发展整体价值取向依据

经济性　效率性　效益性

2.考核机构

目标考核办公室。

平时的记载
年终的评比

绩效评估的步骤

3.

鉴别要评估的项目内容

陈述目的并确定所需结果

选择衡量标准或指标

确立绩效和成果的等级

日常考查和绩效监督

绩效诊断和绩效报告

使用后果和绩效信息

4.具体操作方法

（1）年初各单位填写目标责任书
（2）平时由绩效考核办考查
（3）年终根据 目标责任书和本级政府职能履行情况进行评比

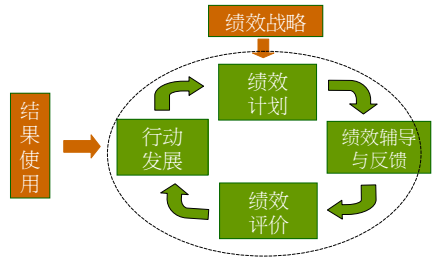## 四、个人绩效与组织绩效的整合

涵义：角色的组合与配合
运行：程序的设计与改善
核心：效能的提高与保持
作用：目标的趋近与背离

绩效考核的困境

➤ 多元目标的价值冲突和优先权排序

➤ 政府职能与职责的不确定性

➤ 评价产出的困难

➤ "规则导向"的官僚体制

➤ 评估主体缺位和"无评估"现象

解困思路：绩效管理是一个持续沟通的过程

绩效战略

结果使用 → 绩效计划 → 绩效辅导与反馈 → 绩效评价 → 行动发展

政绩的本质是什么？

● 价值特征。一定的政绩总是与一定的价值目标相联系的，政绩是实现目标的产出，是表明达到目标的成功度，创造政绩的过程，就是追求价值目标的过程。

● 合法性特征。政绩不是领导者想做什么就做什么，想怎么做就怎么做，他必须与法律赋予的职能职责相符合。

● 强制性特征。政绩是政府应该承担的责任和义务。其产出结果是经过人民代表大会批准通过而授权的作为。

绩效管理的意义

● ——以"结果为本"而不是以"规则为本"理念

● ——以市场机制作为公共选择依据

● ——强调政府与公民、社会的服务关系

● ——向管理要效益的绩效原则

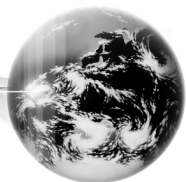● ——以人为本，以激励为主导的价值取向

谢 谢

祝

万事如意

工作快乐

再 见

作者姓名：顾爱华

工作单位：辽宁大学哲学与公共管理学院

联系方式：
办公电话：62202428
手机电话：81997158

個人考績與團體績效評比扣合之相關作法研析

與談人：施能傑

政治大學公共行政學系特聘教授兼系主任

　　本文希望討論兩個層面的問題，一個是理論和理念，一個是實務作法，作者應該是期待前一層面的討論可以提供實務作法的引導。作者在兩個面向上都費心做長篇說明，也引用許多時尚的管理理念，文章出自考試委員之手，讓學界研究者也感到佩服。
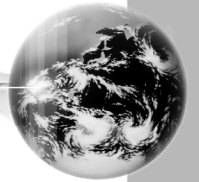
　　個人認為作者在理論層面的說明，比較顯的鬆散，難以讓讀者掌握作者所欲表達的重點，有不少地方，標題和內文論述間的結合程度可以再重新檢視。也因為如此，理論部分對於實務作法的引導作用，或者對話功能，仍不明顯。相對地，作者從四個角度說明未來實務上的作法，論述比較清楚，也提出讓實務界應該重視的程序面課題。個人多數同意作者的綱領式想法，不過，關於技術面上提出讓人事部門具部門研考職能之說，實務上可能不宜。

　　更重要的是，整體觀察全文後，對於如何結合團體和個人績效評估的實質面具體作法，基本上並未有顯著的著墨，和文章標題所企圖的分析重點，似乎差距不小。例如，究竟進行團體績效評估？團體此一單位所指為何？作者說明比較多的是有哪些技術面問題存在，但卻沒有積極說明如何處理的方法。如果沒有討論團體績效評估的方法，很難讓讀者瞭解如何以此引導個人層次的績效評估？

　　個人在 2004 年曾撰寫「建立組織績效管理引導員工績效評估的制度」一文，論述如何以組織層次績效管理引導個人績效評估，也提出組織績效如何和個人績效評估結合的可能作法。雖然本文作者並未注意到該篇文章，不過，個人仍覺得有可以提供對話的作用，茲再次引述該文的原來論述如下：

> 　　表一提供推動組織績效管理的簡要思考架構，首先，機關應先建立起前三欄的工作體系，包括機關主要必須完成的各項策略職能，為達成某項職能的主要工作計畫，以及某項工作計畫必須包括的業務事項。職能策略、計畫和業務等三個面向都分別設定其績效目標，而且分別代表著結果、產出和活動投入等三個績效概念。然後，每位員工盤點與列出所負責的所有工作業務事項，包括經常性、專案性和其他（如臨時交辦等）等，並指陳出這些工作業務事項是對應哪一項機關職能、計畫或業務。……
>
> 　　譬如說，某一大學若以「研究」為主要的發展導向，那麼各學系的績效也應該配合以整個學系的研究成果為衡量重心，教師的績效衡量當然應該是著眼於個人的研究狀況和成果，學系內行政人員的績效評量同樣應該包括提供研究上的行政協助滿意度。設若該大學選定以「教學」為發展策略方向，從大學整體到學系到教師和員工的

績效衡量方向，也應該跟著改變。如果說，某一大學以教學為策略目標重心，但卻主要用研究成果為衡量教師績效時，吾人不難想像，兩者間的矛盾性。

組織目標導向的員工績效衡量，最終但也是最重要的作用，是引導管理者和員工共同思考，究竟哪些工作項目才是關鍵要項而需要納入員工績效衡量的範圍。一旦管理者和員工瞭解到，處理的工作事項或業務中有屬於無助於增進單位或組織績效者，就會有正面誘因進行去業務化的工作，組織人力資源都致力於核心關鍵工作，這正是組織績效管理的重要目的。

表一　機關績效管理與個人工作事項的對照

機關層面			員工層面		
主要職能策略	主要工作計畫	主要業務事項	經常性業務事項	其他業務事項	專案性業務事項
A	A1	A11			
		A12			
		A13			
	A2	A21			
	...	A22			
B	B1	B11			
		B12			
	B2	B21			
		B22			
		B23			
C	...				
D	...				
...					

因此，組織績效管理應該緊密地受到組織策略管理的引導，人力資源績效管理則是最下游的管理工作，即「組織策略→組織績效體系→員工績效管理計畫」。公務人員考績制度和考績法令的變動，卻很少重視這個基本原則，如仍著眼於包括如甲等比例設限等一些屬於執行層面的變動，對於改善政府和員工績效本身的助益是很有限的，員工績效評估就難有「組織效度」可言。
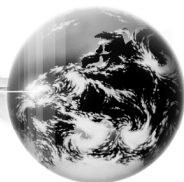
Comments for paper titled "An Analysis of Linking Individual Performance Evaluation to Group Achievement Assessment" by Dr. Tsai Liang-wen

Dr. Jay N. Shih

Distinguished Professor & Chair, Department of Public Administration,

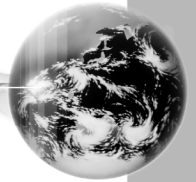National Chengchi University, R.O.C.

This article attempts to discuss the issue on two levels: one theoretical and philosophical, the other more pragmatic. The author should anticipate that the discussion of the first level can offer practical operational guidance. The author has devoted considerable effort to producing a lengthy explanation for both approaches, integrating many contemporary management concepts, prompting the admiration of the examiners and the academic research community.

Personally, I feel the author's description at the theoretical level is comparatively loose, which may result in readers having trouble grasping the point he is trying to make. In several places, the links between section headings and content could be reviewed as the theoretical section and its implications for practice, or the functional dialog, may be unclear. In contrast, the author's explanation of approaches to future practice from four perspectives is clearer, and offers procedural topics which deserve to be reviewed by industry practitioners. While many will agree with the author's programmatic approach, the technical aspects of his proposal to assign assessment functions to human resource departments may be difficult to implement.

More importantly, after fully reviewing the text, the issue of how to practically integrate group and individual performance evaluations is left unclear, and shows not insignificant discrepancies from the main analysis of the article's main organizational diagram. For example, how will group performance evaluation be conducted? How are group units defined? The author's explanation focuses on the existence of technical issues, but does not actively explain how these issues may be addressed. Without a discussion of approaches to achieving group evaluation, how is the reader to understand how to guide individual-level performance evaluations?

"Establishing Organizational Performance Management: Guidance for Employee Performance Assessment Systems" (2004), discussed how organize clear performance management and guide individual performance assessment, and also proposes possible methods for integrating organizational and individual performance evaluations. Although this paper was not noted by the author, it may offer some value and I quote from the original text:

Table 1 provides a brief organizational performance management framework. First, institutions should establish three work systems columns, including all of the institution's mission-critical strategic functions, to achieve the main work plan as well as the operational
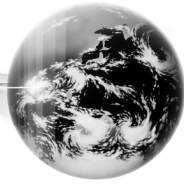
items included in the work plan. **Performance goals are set according to strategic functions, planning and operations, and respectively represent the three performance concepts of outcomes, outputs and active investment. Then, each employee inventories and lists all of the work items for which he is responsible, including regular, project and other (i.e. temporary) tasks, and describe how these work items correspond with institutional function, plan or operational tasks.**

For example, if a given university lists "research" as a major area of development, then research results should be taken as a factor in determining the performance of each academic department. While the evaluation of faculty would obviously depend on their personal research status and results, the evaluation of department administrators would take into consideration satisfaction with the administration support for research efforts within the department. If the university chooses "teaching" as a core development area, the direction of evaluation, from the university level, down through departments, faculty and staff, would change. A university which chooses "teaching" as its strategic focus, but which primarily evaluates faculty based on research performance, will face serious internal contradictions.

The key to goal-oriented employee performance assessment is guiding managers and staff to collectively consider which work items are truly critical to performance. Once managers and staff have a clear understanding of which work items and business do not contribute to unit or organization-wide improvement, human resources can be focused on critical work items, resulting in improved execution. This is the ultimate goal of organizational effectiveness management.

Table 1: Organizational Effectiveness Management and Individual Work Items

Organizational Level			Employee Level		
Main Strategic Function	Main Work Plan	Main Operations Item	Regular Operations	Other Operations	Project Operations
A	A1	A11			
		A12			
		A13			
	A2	A21			
	…	A22			
B	B1	B11			
		B12			
	B2	B21			
		B22			
		B23			
C	…				
D	…				
…					

Thus, organizational performance management should be closely guided by organizational management policy. Human resources performance management work takes place furthest down the management hierarchy (Organizational Strategy → System → Employee Performance Management Plan). While the laws regarding civil service assessment and performance are changing, little attention has been paid to basic principles, and if changes are limited to cosmetic issues such as the ratio of different performance evaluation levels, the improvement on government and employee effectiveness will be limited as well, resulting in difficulty in implementing "organizational effectiveness".