

# Exploration of Scientific Approaches to Civil Servants' Performance Management

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**Abstract.** The performance of civil servants determines the performance of the government. To implement the performance management system of the government, it is necessary to establish and improve the evaluation system of civil servants. The civil servant appraisal system should gradually transit to the performance management system, which is to upgrade the value rationality, improve the performance management system and mechanism of civil servants, improve the performance appraisal index system, adopt scientific methods of performance appraisal, and use the appraisal results practically, objectively and impartially.

## 1. Introduction

The Opinions on Deepening the Reform of Administrative Management System pointed out that the establishment of socialist administrative management system with Chinese characteristics should promote the system of government performance management and administrative accountability. It requires the implementation of government performance management and administrative accountability system, the combination of internal assessment, public evaluation and expert evaluation, and the guidance and incentive role of performance evaluation in promoting scientific development. Government performance consists of organizational performance, civil servant performance, policy performance and project performance. Therefore, in order to implement government performance management system, it is necessary to establish and improve civil servant performance management system. Among them, the performance of civil servants determines organizational performance, policy performance and project performance, and then determines the level of government performance.

## 2. Adhering to Value Rationality and Moving from Assessment to Performance Management

Since its establishment, the civil service appraisal system has played an active role in evaluating the performance of civil servants' morality and talent, standardizing the civil service appraisal work, promoting diligent and honest government, and improving work efficiency, but there are also serious formalistic and utilitarian tendencies. The fundamental reason lies in the unclear understanding of the purpose of civil service assessment, inaccurate value orientation and inadequate reform and innovation.

The direct purpose of civil servant assessment is to inspect and verify the performance of civil servant duties, find out the gaps, and distinguish the advantages and disadvantages. The indirect purpose is to provide the basis for other human resources management links (rewards and punishments, training, communication, promotion, etc.). The fundamental purpose is to improve the quality and administrative efficiency of civil servants. It emphasizes that the direct and indirect purpose of assessment is instrumental rationality, and that the fundamental purpose of assessment is value rationality.

Insisting on instrumental rationality will make all parties involved in the assessment activities attach importance to the assessment work, but it will easily lead to the over-utilitarian orientation of the assessment object, or even fraud.

### **2.1 Adhering to the value rationality will lead the evaluation object to accept the evaluation actively, honestly and comprehensively**

Therefore, the best choice for civil servant assessment should be the combination of instrumental rationality and value rationality. However, in some areas and departments, there is neither instrumental rationality nor value rationality in the assessment of civil servants, which makes the assessment of civil servants mere formality; in some areas and departments, excessive emphasis on instrumental rationality has greatly reduced the initiative of the assessment objects to participate in the assessment activities and their satisfaction with the assessment work. Therefore, to establish and adhere to the value rationality of the assessment is the fundamental way to solve the existing problems in the assessment of civil servants, and is also the prerequisite to achieve the scientific performance management of civil servants.

### **2.2 Adhering to value rationality, we should gradually move from assessment to performance management**

Because the assessment pays more attention to inspection and verification, but less attention to improvement, the basic workflow is a one-way activity process of "setting work objectives - peacetime, year-end assessment - ranking rewards and punishments". Although the achievement progress of performance management is the goal of performance appraisal, its focus is on the improvement of civil servants' behavior and administrative efficiency. The basic workflow is the cyclical activity process of "setting performance goals - supervising guidance - Performance Appraisal - improving and improving". In the process of this activity, we should adhere to the principle of people-oriented, consult with the evaluation objects when formulating performance objectives, supervise and supervise the evaluation objects in time in the process of achieving the objectives, evaluate the evaluation objects thoroughly and put forward suggestions for improvement when checking the performance of the work, and improve the evaluation objects according to the performance evaluation report and establish new performance objectives after the evaluation.

## **3. Perfecting the Performance Management System and Mechanism of Civil Servants**

The performance management system of civil servants refers to the organizational structure and responsibility relationship of performance management subject, performance appraisal subject and performance supervision subject. The main body of performance management is responsible for drawing up evaluation plan, providing evaluation tools and organizing and guiding the evaluation work. The subject of performance appraisal is the implementer of civil servants' appraisal. According to the requirement of "who is responsible for whom to appraise", the subject of civil servants' appraisal should be pluralistic. The main body of performance supervision is responsible for supervising, that is, supervising the main body of performance management and the main body of performance evaluation to work according to law, reviewing and investigating the results of the evaluation, and examining and investigating the complaints brought by the evaluation objects.

At present, there are some problems in the performance management system and mechanism of civil servants, such as the single evaluation subject, the weakening of supervision and management, and the rupture of performance management process. The most typical manifestation of the single evaluation subject is the lack of public or even service object evaluation. The weakening of supervision and management is manifested in the failure of performance management and supervisory subjects to perform their duties normally, such as insufficient guidance from the competent departments of civil servants to the evaluation of civil servants and inadequate follow-up supervision. The breakdown of performance management process is manifested in the lack of

performance management links such as supervision and counseling, inspection, feedback improvement, etc.

To improve the performance management system and mechanism, first of all, we should scientifically determine the evaluation subject according to the power-responsibility relationship, the nature of evaluation indicators and the availability of information. Different evaluation indicators may lead to different evaluation subjects; one indicator may also have multiple evaluation subjects. Secondly, we should strengthen external evaluation and promote the diversification of performance evaluation subjects. In particular, through satisfaction surveys, fashion reviews and complaints reporting, we should allow clients to evaluate public service providers, let the public evaluate social management and market regulators, and let enterprises and individual businesses review and approve service providers. Thirdly, we should clarify the responsibilities of the main body of performance management, improve the main body of performance supervision, change temporary institutions into permanent institutions, change temporary work into daily work, strengthen the guidance of evaluation work, and strengthen the supervision of performance management activities. Finally, we should improve the performance management links, such as performance communication, supervision and guidance, and evaluation feedback, so as to truly realize the transition from assessment to performance management.

#### **4. Further Improve the Performance Evaluation Index System**

At present, the performance appraisal index system of civil servants in some regions and departments is not scientific and pertinent. They did not design the content of performance appraisal according to the actual situation of the region and the unit, did not design performance appraisal indicators according to specific post responsibilities, did not design key performance indicators according to the key and difficult work of the year, resulting in uniform appraisal indicators and lack of personalization. In the assessment, too much emphasis is placed on subjective evaluation and horizontal comparison, and the lack of objective quantitative standards leads to the prevalence of extreme democratization and subjective one-sidedness, which greatly affects the reliability and validity of the assessment. It can be seen that improving the performance indicators system is the key task to promote the scientific performance management of civil servants.

The system of performance indicators includes evaluation indicators, evaluation criteria and index weight. Evaluation indicators are used to reveal the key characteristics of evaluation content, usually including three categories of indicators: characteristics, behavior and results. The characteristic index reflects the quality and ability of civil servants, the behavior index reflects the performance of civil servants, and the result index is used to show the performance of civil servants. The evaluation criteria are the criteria for evaluating performance indicators. In setting evaluation standards, we should adhere to the principles of combining quantitative with qualitative, affirmative with negative, absolute with relative. Different performance indicators have different evaluation criteria. Index weight is the proportion of each index in the superior index. Generally speaking, the indicators with important responsibilities, prominent tasks, complex work and larger responsibilities have larger weights; on the contrary, they have smaller weights.

To improve the performance evaluation index system of civil servants, we can start from four aspects. One is to scientifically decompose the evaluation indicators. We should adhere to the principles of key indicators (KPI) and assessability, and index and decompose the assessment contents step by step.

Secondly, specific indicators should be set according to the tasks and responsibilities of the job. Specific performance indicators should be set in accordance with the logical order of government objectives - government departments objectives - department objectives - post objectives; and post competence indicators should be set according to the competency requirements of different levels of posts.

The third is to scientifically determine the evaluation criteria. Quantitative evaluation criteria should be set as far as possible, and non-quantifiable indicators should be graded. Longitudinal standards should be strengthened and integrated with horizontal standards to guide civil servants to pay attention to improvement compared with their past.

Fourth, we should allocate weights reasonably. Although morality and honesty are important, they belong to the content of restrictive assessment. They can set benchmark goals without assigning higher weights. Achievement is the key content of assessment and should set higher weights.

## **5. Adopt scientific methods of performance appraisal**

At present, most regions and departments still adopt manual and paper-based assessment methods, and use traditional single assessment methods to carry out the assessment work. The results of the assessment are lack of scientific and credibility. The guidance and incentive effect of the assessment results is not obvious.

### **5.1 Establishment of Civil Servant Performance Management Network Information System**

Through the Civil Servant Performance Management Network, it publishes performance appraisal plans, tasks and objectives, civil servants' behavior, performance information, and implements self-assessment, internal assessment and external evaluation. In this way, it can not only reduce a large number of manpower, material and financial resources, but also promote the comprehensive, accurate, timely and effective communication of performance information. It can also realize the democratization, openness and convenience of civil servants' performance management.

### **5.2 Improving the evaluation cycle and realizing the organic combination of regular assessment and normal assessment**

For competency indicators, the evaluation cycle should be lengthened. For example, the evaluation of civil servants' competence can be carried out once every three years. There is no need to take one year as a cycle, because competence has relative stability. The evaluation cycle of behavioral indicators should be shortened or even normalized, and the evaluation cycle of outcome indicators should be determined according to the work cycle.

### **5.3 Scientific adoption of evaluation methods**

In order to ensure the objectivity, authenticity and effectiveness of the evaluation results, various evaluation methods should be used comprehensively to evaluate the morality, performance and performance of civil servants. For example, the behavioral description method can be used in the evaluation of morality and integrity, and there is no need to assign weight and score in the whole index system. A number of negative behavioral indicators can be set, as long as civil servants do not have the behavioral performance, morality and integrity qualified, otherwise, morality and integrity are not qualified, and the whole assessment is incompetent. Grade scoring method can be used to evaluate competence, while quantitative decline method, completion ratio method, efficiency coefficient method and benchmark addition and subtraction method can be used to evaluate performance.

## **6. Objective and impartial application of evaluation results**

Therefore, the effective use of evaluation results is the necessary way to solve the problem of civil servants' evaluation and promote the scientific management of civil servants' performance. The vitality of civil servant performance management lies in the practical, objective and fair use of evaluation results. In practice, the problems of civil servant evaluation in some areas are precisely due to deviations in this respect.

### **6.1 The evaluation results should be applied to all aspects of civil servant management**

At the same time, we should improve the corresponding system, combine the results of performance appraisal with administrative accountability, and form a working atmosphere of "reactive work is also fault"; we should directly hold middle-level leaders accountable according to the results of performance appraisal of organizations (built-in institutions). Of course, in order to improve the value rationality, the last elimination system should be used carefully.

### **6.2 Combine the evaluation results with civil servants' salaries**

We can widen the gap between the awards and pay them according to the results of the evaluation; we can explore the establishment of a performance pay system for civil servants, and convert the salary reflected in qualifications in the basic salary into performance pay, so as to achieve more work and more gain. In the design of the social endowment insurance system, we can combine the evaluation results with occupational annuity, and we can also combine the evaluation results with the incremental part of salary (the incremental part every two years).

### **6.3 The evaluation results should be used to improve the work**

Improvement is the fundamental purpose of assessment. Applying the evaluation results to the improvement work is the fundamental way to realize the transition from "should evaluate" to "I want to evaluate", and is also the fundamental requirement for the healthy development of performance management. Therefore, it is necessary to elaborate the performance appraisal report of civil servants, feedback the results, achievements, shortcomings and suggestions for improvement to the civil servants, so as to improve and set new performance goals.

## **7. Conclusion**

The normal operation of the above measures depends on the good implementation of the Regulations on the Opening of Government Information, the healthy development of administrative culture and the deepening reform of the cadre and personnel system. Only by fully publicizing the performance appraisal plan, performance indicators and objectives, performance information, and performance appraisal results, can the public and service objects truly appraise civil servants. Only in a healthy and upward administrative culture can there be democratic leadership, scientific management and fair competition to create performance behavior. Only by speeding up the reform of the current cadre and personnel system can we create a good institutional environment and a broad space for improvement for the scientific performance management of civil servants.

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