目　　　錄

參加 IPMA-HR 第 30 屆公共人事管理
國際研討會出國報告

壹、目的

　　本部於 93 年 11 月申請加入國際公共管理人力資源協會（International Public Management Association for Human Resources, IPMA-HR）成為正式會員。該協會於 94 年 5 月 15 至 19 日（為期五天）假匈牙利布達佩斯舉行第 30 屆公共人事管理國際研討會，邀請本部林部長參加。鑒於歷屆會議本部皆派員參加，林部長爰率同外事小組執行秘書張司長瑞弘出席本次會議，參與研討，並向主辦單位爭取以「政府改造與人力資源－台灣經驗」為題做專題報告。

　　本次研討會計有 15 個國家及 2 個國際組織參加，包括美國、加拿大、德國、巴林、英屬維京群島、馬爾他、薩毛亞、沙烏地阿拉伯、南非、斯理蘭卡、韓國、台灣、坦尚尼亞、泰國、千里達、聯合國、世界銀行等，與會人員計三十餘人，以政府人事部門首長或主管為主，民間人力資源組織負責人為輔。

　　研討會討論議題有二：一、創新的薪給制度／如何將薪給與績效相連結；二、如何管理公部門整體生命週期。討論資料於會前事先透過電子郵件傳送與會人員預做準備，會議以引言報告、分組討論、分組報告、綜合結論方式進行。

　　除出席會議外，為了解我國駐外人員對國際外交及國際商務人員考選制度變革之看法，亦順道拜會我國駐匈牙利及荷蘭代表處，與代表及主管同仁交換意見。

貳、行程紀要

5/14 (六)	➤ 台北時間 23：05 搭乘長榮航空啟程，途經曼谷於荷蘭阿姆斯特丹轉荷蘭航空班機，飛匈牙利布達佩斯。
5/15 (日)	➤ 布達佩斯當地時間 15：25 抵達，航程約 19 小時。由我國駐匈牙利代表處李代表滋男接往進駐會議舉行地點市中心區之 Budapest Marriott Hotel。 ➤ 18：00 出席大會接待晚會
5/16 (一)	➤ 上午 09：30 會議正式開始，由 IPMA-HR 協會會長 Lynda von Bargen 致詞後，即由美國功績保護委員會政策及評估處處長 Steve Nelson 做討論議題一之引言報告，題目為「設計先進的績效管理制度」，隨後分三組進行討論，至中午 12：30 休息。下午 14：00 繼續分組討論至 16：30 結束。
5/17 (二)	➤ 上午 09：00 進行議題一各分組報告及綜合結論。 ➤ 11：15 由協會執行長 Neil Reichengberg 代理聯合國經濟及社會事務部公共行政及發展管理組顧問 Kristinn Helgason 簡報「釋放公部門績效人力潛能」。 ➤ 下午 14：00 大會安排與會人員及眷屬參訪市政建設。 ➤ 晚間與我國駐匈牙利代表處李代表及相關同仁餐敘、交換意見。
5/18 (三)	➤ 上午 09：00 林部長專題報告「政府改造及人力資源－台灣經驗」。 ➤ 10：45 由世界銀行人力資源副總經理顧問兼人力資源策略專案經理 John Lavelle 就討論議題二做引言報告，題目為「雇用生命週期－人力資源行動及策略抉擇之架構」，至 12：30 結束。 ➤ 下午 16：15 搭乘匈牙利航空班機返回荷蘭阿姆斯特丹，於 18：20 抵達，由我國駐荷蘭代表處同仁接往住宿旅館。
5/19 (四)	➤ 上午 10：00 參觀梵谷美術館 ➤ 下午 15：00 前往海牙拜會我國駐荷蘭代表處，與張代表小月及相關同仁交換意見、餐敘。
5/20 (五)	➤ 中午 12:35 於阿姆斯特丹機場搭乘長榮航空班機途經曼谷回台北。
5/21 (六)	➤ 台北時間上午 10：50 返抵中正機場，結束全部行程。

參、林部長專題報告內容

題目「政府改造與人力資源－台灣經驗」

時間 90 分鐘（含英文簡報及答詢）

內容包括我國政府改造緣起、中央政府組織架構簡介、歷次政府改造重點回顧、目前行組織改造推動策略與進程、相關法制作業、人力資源管理配套措施及結語等。

中文全文如下：

（英文講稿如附錄一、簡報 PowerPoint 如附錄二，請 參閱）

一、前言

　　面對全球化的衝擊，為提升國家競爭力，提供人民高品質的服務，減輕納稅人的負擔，自 1980 年代起已開發國家莫不積極進行「政府改造」工程，在新公共管理思潮的引領下，標榜企業化精神，設法轉換政府的角色及功能，並大規模的調整政府組織和職能分工，將過去的「大有為政府」調整為「小而能政府」。在全球化脈絡之下，公私部門的角色逐漸模糊，介於兩者之間的行政組織模式已然產生，而人力資源運用的理念也有所改變，人力資源如同資訊與資源一樣也具有高度流動性，公部門傾向以契約方式處理人事事項。

　　依據瑞士國際發展管理學院（International Institute for Management Development, IMD）所做的國家競爭力報告顯示，台灣從 2000 年以來在政府效率面向的成效並不理想，由 2000 年排名 14，下降至 2002 年排名 24，再緩慢回升到 2004 年排名 18。面對嚴苛的國際競爭壓力下，身處政府改造國際洪流的台灣，政府如何因應，其目標、相關策略及具體配套措施為何，目前進展如何，本人願意藉此機會就個人親身參與改造經驗與大家分享，希望這些經驗可供大家參考。為了讓各位貴賓了解台灣政府改造之環境背景，首先容我簡單介紹台灣的中央政府體制。

二、台灣中央政府體制

　　台灣（中華民國）憲法為五權憲法，除一般國家之行政、立法、司法三權分立外，另將考試及監察權獨立出來。依據憲法，總統是國家元首由人民直接選舉產生，其下設五院，分別為行政院、立法院、司法院、考試院及監察院。行政院為最高行政機關，院長由總統任命，向立法院負責，下設 36 個部會。

立法院為國家最高立法機關，代表人民行使立法權及對總統提名之司法院、考試院、監察院人事任命同意權。司法院為國家最高司法機關，掌理民事、刑事、行政訴訟的審判及公務員的懲戒。考試院為國家最高考試機關，掌理公務人員及專技人員國家考試、公務人員之銓敘、保障、撫卹、退休、任免、考績、級俸、陞遷及褒獎之法制事項，下設 3 個部會。監察院為國家最高監察機關，行使彈劾、糾舉及審計權，下設 1 個部。

三、台灣政府改造之歷程

行政革新在台灣已將近有 50 年的歷史，歷次行政革新推動的背景、內容各有不同，性質與規模也不盡相同，惟其改革性質大多為「行政層面」的改善，其主軸聚焦於「提升行政效能、加強為民服務」。相形之下，政治性的改革措施或政治層面的改革做法較不明顯。主要原因應與台灣當時尚屬由經濟轉型過渡到社會轉型期間，政治轉型仍在萌芽之中有關。

1987 年政府宣佈解除戒嚴，台灣政治轉型為民主政體，政治逐步走向多元化。在行政上，政府層級過多、權責不明，以致不能肆應社會實際需求。雖然政府內部改革工作未曾間斷，民眾仍未能明顯感受到政府效能提升。1993 年，行政院推動「行政革新方案」，成立「行政革新會報」及「行政院革新推動小組」落實執行，整體行政革新工作經過三年的努力，期間行政院組織法歷經兩次的檢討與修正，惟並未完成立法。

真正大刀闊斧的政治改革動作，則始自於 1997 開始規劃，隔年正式啟動之「精省」作業，將臺灣省政府及所屬機關精簡改隸至中央，政府行政層級由四級減為三級，也是台灣行政革新史上首次大規模的政治性改革。

為了因應各國政府再造的趨勢，1998 年，行政院頒布「政府再造綱領」啟動政府再造推動計畫，選定「組織再造」、「人力及服務再造」及「法制再造」為改革工作重點。在組織再造方面，除順利完成精省調整作業外，並研擬「中央政府機關組織基準法草案」及「中央政府機關總員額法草案」，由行政院及考試院會銜函送立法院審議，惟因第四屆立法委員對朝野協商版本未能取得共識，至 2001 年立法院行使職權法「屆期不連續」規定，該二案遂無法繼續審議。

2000 年 3 月，總統大選結果政黨輪替，新政府團隊上任後，面臨全球不景氣所帶來的經濟負成長與高失業率，為提升國家整體競爭力，陳總統於 2001 年 10 月再度邀集各界精英人士組成「政府改造委員會」，親自主持政府改造事宜，進行政府改造之根本性與全面性的探討。「政府改造委員會」第一次會議

確立了政府改造的願景為「具全球競爭力的活力政府」，理念為「顧客導向、彈性創新、夥伴關係、責任政治、廉能政府」，目標為「彈性精簡的行政組織、專業績效的人事制度、分權合作的政府架構、順應民意的國會改造」。

行政院為配合政府改造亦於 2002 年 5 月成立了「行政院組織改造推動委員會」（以下簡稱組改會），下設 6 個工作小組，分為「功能調整」及「配套機制」兩類。「功能調整」類包括組改會工作核心之「中央行政機關功能調整小組」、「中央地方夥伴小組」及「政府民間夥伴小組」等 3 個小組。「配套機制」類包括「經費小組」、「人事小組」及「法制小組」。由於政府改造工程的內容牽涉組織、人力、服務及法規調整，因此必須經由各部門跨功能整合才能達成。其推動組織改造的方向，主要是參酌各國政府改造經驗，揚棄傳統大有為政府的概念，而朝小而能的政府方向邁進。以下將就本次政府改造中最重要的中央行政機關功能調整作業現況，作較詳細之介紹。

四、 目前行政院的組織改造

(一) 現存組織缺失

目前行政院所屬二級機關計有 36 個部會，在數量上較先進國家部會平均數 15.7 個超出很多，在部會之下設有 336 個署局等三級機關。經組改會檢討結果，在組織架構及運作方面歸結出以下五項重大缺失：水平分工組織太多，超過行政院長的有效控制幅度，增加組織間協調成本；政策統合組織機制薄弱，行政院本部難以有效發揮政策統合和治理角色；組織未能適切對應政府核心職能的轉變，使得地方政府或民間社會的活力難以施展；合議制組織過多，事權分散，疊床架屋，混淆部與會的功能分際；獨立機關的設計原理不彰，使得該類組織未能確實貫徹應有的專業性與中立性。

(二) 組織改造目標

在檢討現況的弊病缺失後，組改會確定了行政院組織改造的五項目標：

1. 規模精簡化：政府的任務職掌應該順應「分權」與「解除管制」的時代潮流實施縮減；組織規模，也必須相應地進行大幅精簡。
2. 建制合理化：組織建制不可偏離基本原理。二級機關（部會）的設置以及組織模式應根據客觀合理的標準做通案決定。

3. 強化行政領導與統合：行政院本部的組織應在政策規劃與協調方面為行政院長提供充分的支援，以有效貫徹施政理念。

4. 落實業務與組織的合理劃分：組織與業務的編配劃分，必須在專業分工與事權整合間求取適當的平衡。

5. 組織彈性化：組織法制應為特殊情事的組織需求預留彈性，具體落實「組織鬆綁」的方向。

(三) 組織調整策略

　　鑑於各先進國家新政府治理（governance）結構移轉型態有逐步朝向下（downward）及向外（outward）權力移轉之趨勢，行政院組織改造本著「民間可以做的政府不做、地方政府可以做的中央政府不做」的理念，推動「四化策略」，要求各級機關就現行任務進行全面性檢討：

1. 中央職權地方化

　　係將現行中央機關辦理之業務，改由地方辦理，亦即「業務下放」，以地域性及親近性等因素為主要考量因素，決定業務該由那個層級機關負責。在處理過程中，除須完整檢討中央各機關可由地方政府執行之職權外，應兼顧地方政府承接業務之意願與能力。

2. 公務機關法人化

　　係將屬於國家任務而無行政機關辦理必要之業務，設置具有公法性質的行政法人，交由其執行。

3. 業務委外辦理

　　將業務委託民間辦理，可分為「機關委外」及「業務項目委外」兩類。前者是指將機關整體業務委託民間辦理，而後者則是僅將機關部分業務項目委託民間辦理。

4. 公務機關去任務化

　　就是「解除管制」，重新從人權及資源效率的觀點檢討，如該項業務已無再行辦理之必要或有侵害人權之虞或因政府機關之效率欠佳，政府即將該項業務去除不再執行或改由民間來辦理。

　　其後再就各機關檢討結果由「機關保留」之業務，考量其業務互動性、所需專業性、上下游關聯性等因素予以「區塊整合」，確定留原部會，或整併成立新部會，或併入其他部會，或併入行政院本部。
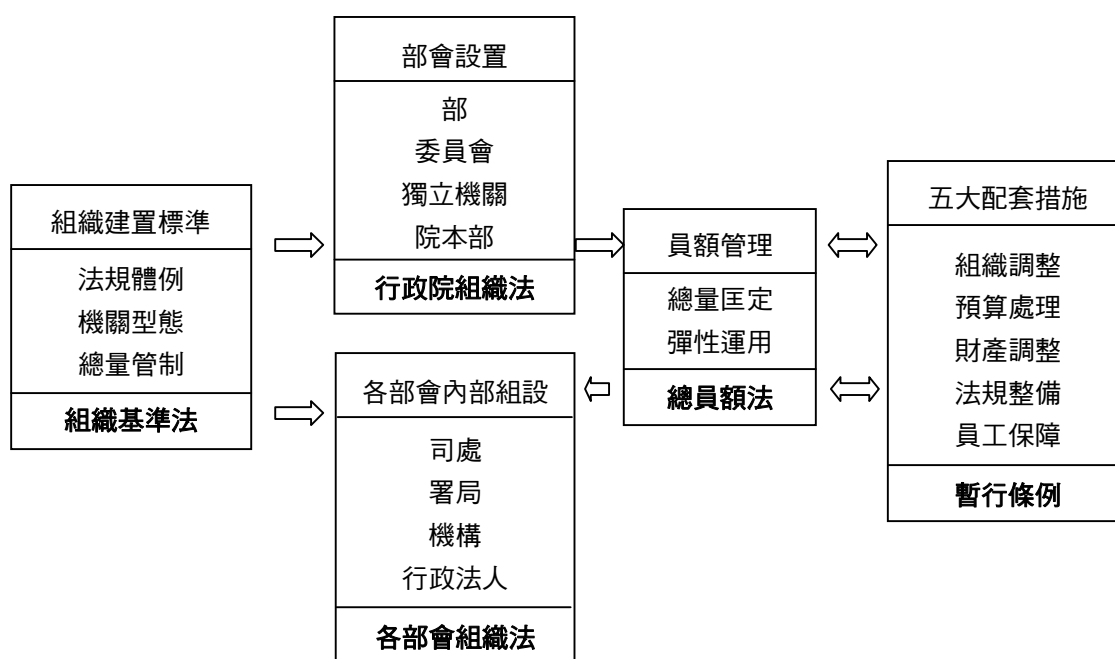
五、組織改造法制作業

為推動改造工作，行政院研究發展考核委員會於 2002 年研擬完成「中央政府機關基準法草案」、「行政院組織法修正草案」及「行政院功能業務與組織調整暫行條例草案」，加上行政院人事行政局所研擬之「中央政府機關總員額法草案」及「行政法人法草案」稱為組織改造五法，業經由行政院及考試院會銜送立法院審議。（組織改造五法關聯性如附圖一）

附圖一：組織改造五法關聯示意圖

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                         ┌──────────────┐
                         │   部會設置    │
                         ├──────────────┤
                         │     部        │
┌──────────────┐         │   委員會      │         ┌──────────────┐          ┌──────────────┐
│  組織建置標準  │         │   獨立機關    │         │   員額管理    │          │  五大配套措施  │
├──────────────┤         │   院本部      │         ├──────────────┤          ├──────────────┤
│   法規體例    │   ⇒    ├──────────────┤    ⇒   │   總量匡定    │   ⇔    │   組織調整    │
│   機關型態    │         │ 行政院組織法  │         │   彈性運用    │          │   預算處理    │
│   總量管制    │         └──────────────┘         ├──────────────┤          │   財產調整    │
├──────────────┤                                 │  總員額法     │   ⇔    │   法規整備    │
│  組織基準法   │         ┌──────────────┐    ⇐   └──────────────┘          │   員工保障    │
└──────────────┘         │ 各部會內部組設 │                                ├──────────────┤
                   ⇒    ├──────────────┤                                │  暫行條例     │
                         │    司處       │                                └──────────────┘
                         │    署局       │
                         │    機構       │
                         │   行政法人    │
                         ├──────────────┤
                         │ 各部會組織法  │
                         └──────────────┘
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中央政府機關基準法草案業經立法院三讀通過並修正為「中央行政機關組織基準法」，於 2004 年 6 月經總統公布施行。該法確立了行政機關的基本架構，為台灣推動政府再造的重要里程碑。以下謹就上述五法中各組織法之內容擇要說明：

(一) 中央行政機關組織基準法

規定各級機關與內部單位之名稱，機關組織法規應規定事項，機關設立、調整及裁撤之條件及程序，機關權限、執掌及重要職務設置，行政院所屬二、三級機關與內部單位之規模數量及建置標準，（二、三級機關總數分別由現行之 36 個、336 個，減少為 22 個、50 個；二級機關部

之內部業務單位「司」總數，由現行 200 多個，減少為 104 個）。依基準法調整後之行政院組織型態將是機關數減少，機關規模加大，特別是三級機關之規模將遠大於二級機關。

本法將四級機關設立之審議權授與行政機關自行核定，行政機關因此有較大彈性空間，可以因應實際需要適時調整組織，達到鬆綁部份組織之目標。此外，本法亦簡化了組織法規應規定事項，編制員額不再納入規定事項，行政機關不必因增減部分員額而須修改組織法送立法院審議，在員額的運用上更具有裁量權。
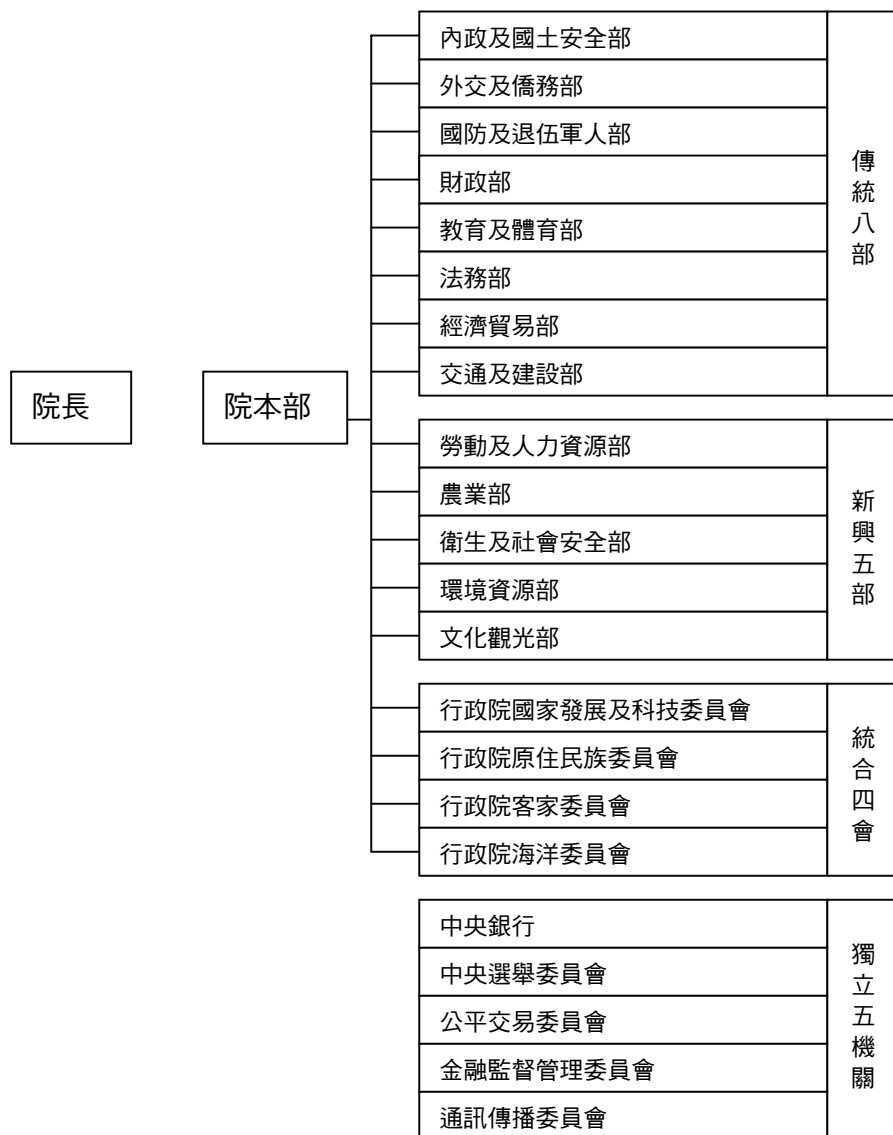
(二) 行政院組織法修正草案

依據「中央行政機關組織基準法」規定調整後之行政院組織架構將包括 13 個部、4 個委員會及 5 個相當二級機關之獨立機關。其中為增強「傳統八部」核心職能，設內政及國土安全部、外交及僑務部、國防及退伍軍人部、財政部、教育及體育部、法務部、經濟貿易部、交通及建設部；為因應新興業務需求，新增五部，設勞動及人力資源部、農業部、衛生及社會安全部、環境資源部、文化及觀光部；為強化「四會」政策協調統合能力，設行政院國家發展及科技委員會、行政院海洋委員會、行政院原住民族委員會、行政院客家委員會；同時為提升「行政院院本部」政策規劃量能，重新檢討「行政院院本部」組織設計，置不管部之政務委員九人至十一人，各委員會主任委員由政務委員或其他相當政務職務人員兼任，並置主計長、人事長、法制長及資訊長各一人，以落實政府整體的預算及會計管理、公務人力及組織管理、法制事務及資訊管理等事項。而原行政院所屬國立故宮博物院則改隸總統府。（行政院組織新架構如附圖二）

(三) 行政法人法草案

係就行政法人共通性事項做原則性規範，以為各行政法人組織立法之基準。一方面藉由鬆綁現行人事、會計等法令之限制，由行政法人訂定自己的人事管理、會計制度、內部控制、稽核作業及相關規章，並透過內部、外部適當監督機制及績效評鑑制度，達到專業化及提升效能之目標；另一方面，參採企業化經營理念，提昇經營績效。本法亦明白規範政府對於行政法人之補助、行政法人財產之管理、舉借債務，以及機關（構）改制行政法人時，其現職公務人員之權益保障。

附圖二：行政院組織新架構

院長	院本部	內政及國土安全部	傳統八部
		外交及僑務部	
		國防及退伍軍人部	
		財政部	
		教育及體育部	
		法務部	
		經濟貿易部	
		交通及建設部	
		勞動及人力資源部	新興五部
		農業部	
		衛生及社會安全部	
		環境資源部	
		文化觀光部	
		行政院國家發展及科技委員會	統合四會
		行政院原住民族委員會	
		行政院客家委員會	
		行政院海洋委員會	
		中央銀行	獨立五機關
		中央選舉委員會	
		公平交易委員會	
		金融監督管理委員會	
		通訊傳播委員會	

　　為利改造工作之進行，行政院已擬定上述法律案之相關行政規則，如獨立機關建置原則等，並要求各機關於行政院組織法草案完成立法前不得修訂機關組織法及與組織有關之作用法，以管控整體法制作業進度。

六、人力資源配套措施

　　由於組織基準法對機關規模之嚴格限制，行政院組織調整除少數幾個部會變動較小外，各級機關將被裁撤、整併、改隸、改制、業務精簡的幅度相當大，

此一變革將對機關保留業務之推動及人力資源運用造成極大之衝擊。如何一方面達成政府改造組織塑身之目標,一方面又能兼顧未來組織業務發展需要提供充裕優秀之人力,實需要一套完備可行之配套機制。有鑑於此,行政及考試兩院共同合作推動下列措施:

(一) 促進員額合理化:加強人力評鑑,合理配置員額,辦理專案精簡

自 2001 年起行政院即以現有員額為基礎,從嚴審查年度預算員額來管控員額成長,並要求各機關落實推動四化策略,逐年減列各類員額。人事行政局會同相關機關及學者專家組成人力評鑑服務團,每年選定 10 至 20 個重點機關實施人力評鑑,並嚴格列管評鑑結論執行情形,使各機關之員額結構達到合理化。

為利組織改造合理配置機關員額,該局訂定「行政院組織改造員額配置(含移撥)計畫」,規定承受機關於現有編制員額無法容納受撥員額時,得另訂暫行組織規程或編制表安置,惟應衡酌業務需要訂定「合理員額」,作為精簡員額之依據,除業務必須留任之人員外,採優惠提早離退、出缺不補之漸進方式處理。組織調整完成後,業務承受機關受撥員額,應依規定進行管制,主管機關應擇期實施人力評鑑,檢討調整其人力配置,並以出缺不補方式繼續執行精簡工作。

此外,該局亦訂定「行政機關專案精簡(裁減)要點處理原則」提前辦理員額精簡工作,要求機關因裁撤(併)、組織變更或業務緊縮而須裁減人員時,精簡員額不得低於現有員額百分之四或一百人,精簡之後不得再行遞補或進用人員,並須配合於編列年度預算時予以減列,五年內不得請增員額。專案精簡人員最高得加發七個月俸給之慰助金。其目的在讓行政機關現有員額數能儘量接近總員額法草案所規定之員額上限,以減低行政院組織法及總員額法通過後必須大幅度調整的衝擊。

中央政府機關(構)員額自 2001 年以來持續精簡結果,至 2004 年底已精簡 67,493 人,其中各級行政機關學校 18,403 人,國營事業機構 49,090 人,平均每年精簡 3.57%。2005 年行政院預算員額為 19 萬 3 千人,已低於總員額法規定之上限 20 萬人。

(二) 加強員額管理:員額總量控管,人力彈性調配

員額為組織結構之要素,其管理能否適時配合政策與業務需要,發

揮彈性調整之功能，攸關政府整體施政效能之展現。以往中央機關之組織法對各個職稱需用員額數，均詳加規範，致使機關因配合政策及業務實際需要必須調整編制，或遇有特殊用人需求時，即須經由法制作業程序進行組織法律之修正，造成立法部門審查法案之負擔，亦難以適應行政機關實際需要。為利員額彈性運用，行政院人事行政局擬具「中央政府機關總員額法草案」，期從員額管理面之改造，以提升國家競爭力，同時在立法部門預算監督之下，達成活化員額管理法制，訂定政府用人合理水準指導原則，以及建構員額彈性調整機制。

該草案內容包括：明定中央各機關 6 類人員員額總數最高限為 20 萬人，每年調降 2500 人，六年內調降至 18 萬 5 千人；各級機關輔助單位人員配置比例；機關員額訂定之權責、程序；機關員額設置與分配應考量因素、員額統籌調配之原則、員額裁減、調整或移撥之時機；年度執行中，因特殊需要增員應具備之要件及處理程序；員額評鑑方式及程序；另為鼓勵機關推行委外化、法人化、地方化、去任務化及民營化，明定相關人員處理方式，以及精簡之員額得保留一定比例予二級機關運用。

該草案之主要精神之一就是授權行政機關彈性運用人力，未來完成立法後，各二級機關及所屬機關配置員額之總數，由該管一級機關進行分配；三級及四級機關配置之員額，則由該管二級機關擬定報請一級機關分配。換言之，各級機關得在分配之員額範圍內隨時因應所屬下一級機關之業務人力需要，員額統籌調配，彈性運用。

（三）保障員工權益：維護員工權益，鼓勵優惠退離

為促成行政院總體員額能於短期間內達到精簡之目標，行政院研考會訂定「行政院功能業務與組織調整暫行條例草案」，規定凡屬原機關依法任用、派用之公務人員、聘雇人員、駐衛警察、工友、休職、停職及留職停薪人員、退休公務人員及領卹遺族等人員均適用該條例相關規定予以保障，而不以機關經併裁撤或業務有調整者為限。其保障及優惠措施如下：

1. 自願退離人員之優惠：

(1) 公務人員部分：採降低自願退休任職年資及最高加發七個月俸給總額慰助金等優惠措施，凡符合「任職滿二十年」、「任職滿十年且年滿五十歲」或「任本職務最高職等年功俸最高級滿三年」等條件之一者，均得辦理自願退休。其中「任職滿二十年」，且年滿五十歲

退休者，可擇領或兼領月退休金，較現行規定須服務年資滿 25 年，且年齡滿 50 歲方能領取月退俸之條件寬鬆許多。經統計中央各機關公務員符合此一條件者約有 6 萬多人。預估此條例立法通過後，將有為數不少之員工申請自願退休、資遣。

(2) 其他人員部分：除依照各該人員相關規定辦理外，並加發最高七個月數之月支報酬。

2. 現職公務人員權益保障措施：

(1) 放寬特考特用限制：在台灣，政府對機關間公務人員之轉調有其一定之限制，特別是經由特種考試及格進用之公務人員，依規定必須在於原分發機關服務滿 6 年方得轉調其他機關。為利受特考特用限制之特種考試及格人員亦能配合行政院組織調整而順利移撥，適度放寬其於組織調整時得不受有關特考特用及轉調規定之限制。

(2) 移撥人員辦理轉任、派職：為保障移撥人員之權益，新職機關應於法定編制內，以與原任職務官等、職等相當之職務，辦理轉任或派職；如確無相當官等、職等職務可資改派時，得以低一官等職務辦理轉任或派職，但仍以原官等、職等任用。

(3) 移撥人員調任新職後之待遇支領：移撥人員調任新職本俸及年功俸部分，應依公務人員俸給法規定核敘之俸級支給。技術或專業加給較原支數額為低者，及主管人員移撥為非主管人員，不合再支領主管職務加給者，均准予補足差額，並應隨同待遇調整而併銷。至簡任非主管人員比照主管人員支領主管職務加給者，仍調整為非主管人員，應與新職機關內其他簡任非主管人員一併計算考量，依公務人員加給給與辦法規定支給主管職務加給。

（四）強化員工核心能力：選定核心能力，建構有效學習機制

「核心能力」係指「成功扮演某一職位或工作角色所須具備的才能、知識、技術、判斷、態度、價值觀和人格」，而基於組織層級及分工特性可區分為「管理核心能力」及「專業核心能力」。前者係擔任管理職務者為達成管理目標所須具備，後者為擔任特定專業職務或從事特定工作者所須具備。

有鑒於行政院組織改造後將產生許多新的部會，而新的部會將需要新的人力推動新興業務，為培育新組織所需之人員，行政院於 2004 年 2 月核定中高階主管職務各六項核心能力，其中高階（第十二職等）主管

管理核心能力為：創意型塑願景、策略分析、變革與危機處理、團隊激勵與領導、跨域協調、績效管理；中階（第九職等）主管管理核心能力為：顧客導向服務、知識管理與運用、流程與時間管理、衝突折衝與溝通、指導與經驗傳承、目標設定與執行。行政院人事行政局亦研訂「中、高階主管職務管理核心能力評鑑量表」提供各機關評估主管人員是否具備核心能力，作為實施個別人員訓練、發展需求之依據。2005 年 1 月行政院訂頒「行政院所屬機關專業核心能力項目選定作業方式」，要求各機關選定專業核心能力項目報送人事行政局，並將其導入教育訓練，以提升公務人力素質。

(五) 辦理專長轉換訓練：藉多元化訓練方式，培訓第二專長

　　行政院人事行政局於 2005 年 1 月擬定專長轉換訓練實施計畫，其目的包括：1.因應行政院功能業務與組織調整，各機關進行組織整併、業務調整時，涉及之公務人員移撥安置及作業；2.培訓公務人員第二專長，協助對新任工作之適應與發展，使其順利轉換職務（系）或轉任新職，以達到適才適所、培育人才之目標；3.提升公務人員擔任現職或晉升職務時所需專業知能，儲備職務所需具備工作專長及核心能力，以利業務發展。

　　訓練對象包括：1.因機關業務調整而精簡、整併、改隸、改制或裁撤，須移撥其他機關，其新任職務（系）或工作，與原任職務（系）或專長不符之人員；2.因機關業務調整，須調任其他職務（系）工作，與現任職務（系）或專長不符之人員；3.因機關輔助單位人員超過規定比例，須由輔助單位轉調至業務單位者；4.所具專長與現職未盡配合之人員；5.因配合機關業務發展需要，擬指派擔任新增業務之儲備人員。

　　訓練方式多元化：1.設班訓練：依各職組、職系所需之工作專長規劃課程內容，以集中式或分散式課程方式辦理；2.派遣學習：由服務機關視業務調整及移撥情形，派赴擬調任之機關（單位），或與轉換之專長業務性質相近之機關（單位）進行學習；3.指派訓練：由各機關視業務需求，納入訓練計畫，並指派至經人事局認證之訓練機關（構）參加相關訓練或學習課程；4.數位學習：由各機關自行開辦、委託開辦或由人事局統籌協調有關訓練機關（構）運用數位化學習平台，依各職系（組）所需專長，規劃開設相關網路學習課程。

(六) 全面調整職務歸系：重新調整職組、職系，並修訂職務說明書

　　職系之設置係就全國所有職務，按其工作性質及所需學識之不同予

以區分，其目的在便於設科取材、職務配置，以達到專才專用，適才適所之目的，其區分或設置是否合理、妥適，直接攸關人才進用及機關業務之推展，應視政府機關業務之變動及發展情形，隨時檢討修正。

銓敘部鑒於原有職系自 1987 年使用迄今已有相當時日，大部分職系均未予修正或增刪，其與政府機關業務實況及發展情形相去甚遠，無法完全肆應政府改造後各機關需要，爰組成專案小組，歷經 3 年的努力，完成通盤檢討修正，於 2004 年 8 月發布。將原有 31 個職組修正為 43 個職組，原有 60 個職系調整為 84 個職系，另因應機關業務發展需要新增設 11 個職系，合計 95 個職系，各職系說明書亦一併修訂。調整後之新的職系將於 2006 年起適用。

(七) 積極提升考試取才效度：考試類科簡併，考列專業核心知能

考選部為配合上述修正發布之「職系說明書」及職組暨職系調整，以符合用人機關需求，增進教、考、訓、用之密切結合，於 2004 年 7 月重新檢討各種公務人員考試類科、應考資格，及應試科目設置之妥適性。研議結果，將公務人員高等考試、普通考試、初等考試及公務人員簡任、荐任升官等考試類科，由原有 563 類科減併為 460 類科。

至於各類科應考資格及應試科目之修正，將自 2006 年起，配合各種公務人員考試辦理之期程逐步進行。應試科目之修正將以精簡科目數、參酌各職系說明書內容、行政院所屬各機關選定之專業核心知能項目、全面列考英文等原則進行設計，以進一步提升考試效度，拔擢優秀人才為政府服務，提升整體國家競爭力。

另為協助青年及社會人士認識公務人員考試，考選部亦訂定「國家考試宣導方案」，藉由各種可能途徑吸納優秀人才參加考試，以提升公務人員素質。

(八) 落實智慧資本管理：推動知識管理，創新機關核心知識

公務人員乃是政府的菁英，本質上都是知識工作者，因此如何留住這些菁英，不隨著組織之精簡而大量流失或出走，造成組織記憶的斷層或空洞化，並提升他們創新的效率及效能，將是現階段政府維持國家競爭力優勢的最核心工作，也是政府改造必須面對的重要課題。

由於行政院組織改造幅度相當大，相對的政府菁英流動幅度也會很大，包括：目前屬於各機關四化業務範圍者，將面臨公務人員身分轉變或喪失，

或離開中央行政機關至地方政府的情境；業務屬於「機關保留」者，雖保留公務人員身分，但可能面臨機關精簡、整併、改隸、改制或裁撤的情境；符合「行政院功能業務與組織調整暫行條例草案」所規定優惠退離的中高階及資深公務人員，俟該草案立法通過後，將立即辦理優退、離開公職或至民間服務或擔任教職。

為預防精英流動造成之組織知識流失，行政院研考會於 2004 年 4 月訂頒「加強行政院所屬各機關研發創新要點」，要求各機關運用知識管理方法推行研發創新工作，包括訂定研發創新實施計畫、建立機關知識檔案、建立機關人才資料庫、組設知識社群、建構知識管理平台、建立知識分享的獎勵制度等措施來保存、分享及創新組織核心知識。目前行政院二、三級機關大多已完成知識管理資訊系統之建置，正積極推動知識管理工作。

七、結語

比起前一波精省改造，這一波中央行政機關組織調整涉及之層面更深更廣，且其影響層面將不限於中央而已，中央政府改造後勢必牽動地方政府組織之調整，從中央到地方，其影響將波及全國。台灣政府改造工程浩大，其成功與否，對台灣能否在 21 世紀立足國際有決定性之影響。台灣政府改造工程經過相關機關多年的努力，已經在去年完成了組織基準法的立法工作，在行政院組織架構調整及相關配套措施規劃上也已大致完備，但可惜的是相關法制作業進程在過去朝小野大的政治生態下卻一再延宕，錯失提早完成改造的良機。政府改造不僅需要政府內部公務人員及立法機關之支持，更需要全民的支持才能克竟其功。一旦其他組織改造四法草案順利完成立法，明年 1 月行政院新的組織架構將可正式啟動。

但新的組織啟動並不代表改造工作的結束，而只是真正挑戰的開始，後續還有很長的路要走，如新的機關必須及時整合機關內部人力，才能創造新價值；必須塑造優質組織文化，才能提升機關效能；必須維持良好士氣，才能完成改革；必須重新建構與其他機關間良好合作關係，才能發揮政府整體效能等，再再需要機關首長無比的智慧、勇氣與毅力才能解決。不可諱言，所有的變革都有其風險存在，行政組織改造是行政改革中比較艱難的一環，也是一條不歸路，其實際之效果如何，必須經過一段時間才能驗證。

註：本專題演講內容，獲得與會各國人士熱烈迴響，除提出許多寶貴意見外，並期許我國政府當局繼續努力，突破萬難，必定有成。

肆、討論議題內容

議題一「創新的薪給制度／如何將薪給與績效相連結」
（詳如附錄三：討論議題一背景資料）

一、各國公部門現行的等階制度（Grade and step system）主要係以服務年資為薪資晉升之準據，與員工績效表現較無明顯關聯，雖能兼顧內外部之公平性，但卻無法有效激勵員工提高績效，超越同儕之表現。過去十年來各國公部門在面臨要求建立組織績效責任制度的政治壓力下，已有逐漸將績效納入薪給制度之趨勢。

二、推動績效薪給制度並不容易，其成功與否有賴於是否建立一套健全的績效管理制度，包括將組織策略計畫目標有效轉化為個別員工目標，以及能夠為管理階層與員工共同接受之績效衡量及報告系統。該一系統將必須能區分出個別員工之績效差異，並提供管理階層決定員工薪給及其他雇用事項之必要資訊。

三、一般而言要做好獎勵管理工作必須包括下述原則：

　1.贏得獎酬之規定必須透明化，且在管理上力求一致性、公平性；

　2.績效薪給制之目地為確認組織中績效表現最佳之明星，並給予其較高之加薪；

　3.主管必須與部屬就此一新的政策充分溝通，並共同了解將如何處理此一政策變革；

　4.主管必須將預期之績效界定與溝通視為其首要之務；

　5.主管必須與部屬共同討論預期績效並達成共識，規劃之預期績效程度愈明確，愈能避免不必要之問題；

　6.為避免主管之個人偏差或做出過度膨脹之評核，組織應成立調校委員會（Calibration committee）橫跨各部門就員工績效與予通盤審視評核。

四、如何才能建立成功的績效薪給制，下列建議可資參考：

　1.組織領導者在推動及規劃變革中必須扮演重要及明顯的角色。

　2.登入文件、評估及了解現有的報酬措施，仔細考慮現有績效管理制度及金錢獎勵，並請教管理人員及員工對這些措施的看法。

　3.持續溝通有關變革之理由及重要性。

　4.在推動過程之初期即邀請利害關係者如工會共同參與。

5. 在人力資源部門中設置聯繫窗口，於管理人員及員工有疑問時提供諮詢服務。

6. 準備一篇報告，清楚及明確的陳述政策變革目標，該目標之意圖必須能正面的、明顯的有利於組織。

7. 提供管理人員足夠的訓練，使渠等能擔負起新的責任。訓練必須提供實際練習新技能的機會。除訓練外，並應提供管理人員教練指導及顧問諮商的途徑。

8. 必須讓管理人員承擔管理其屬員薪資及獎酬之責任。

9. 人力資源專業人員必須擔任顧問角色，並與管理人員合作，以超然立場橫跨組織中的不同部門，來維持獎酬之一致性及公平性。績效薪給制要能成功，必須讓員工對自己能獲得公平待遇具有信心。

10. 評量過程中必須由能監督整個組織的上一層級負責把關，做最後之核定，以審核某一員工被評為表現傑出或欠佳之正當性。管理人員必須記錄員工的特別表現及所存在之問題。

11. 績效及獎酬管理應列為評量管理人員的績效之一。管理人員管理績效之成效應反映在其所獲報酬上。

12. 員工必須了解其加薪幅度將視個人績效而異，但整體而言組織付予員工之薪資預算總額並未減少。

13. 對員工期望及績效的檢討應持續進行，以減少員工對其績效年終評核結果感到驚訝。最起碼，必須要有年中績效檢討，讓員工有機會改變做事的方式俾利於其個人績效表現。

14. 欲確認及獎勵績效優良員工之組織必須設法重新設計其績效管理制度。在績效薪給制的實施過程中，績效評核過程佔了很重的份量，組織必須決定是否授與員工對評核結果及薪給申訴之權力。

15. 績效獎勵金必須編列預算。一個規劃周延且管理完善的政策必須衡量藉此一方式來改善績效所必要投入之成本是否經濟划算。

16. 非金錢的獎勵也應該善加使用。組織從集合員工彰顯及慶祝員工成就之途徑中也能夠獲得不少的利益。

五、本部參與討論時以圖表方式說明我國政府現行之績效管理制度與績效獎金制度相結合之實例與各國分享（詳如附錄五：參與議題一分組座談發言簡報）。

議題二「如何管理公部門整體生命週期」
（詳請參閱附錄六：討論議題二背景資料）

一、人力資本是組織最重要資產，組織必須發展出一套完整之人力資源管理策略規劃，以協助組織達成其目標與任務。該策略規劃包括檢視組織如何有效的管理與發展員工，從延攬到退休，涵蓋所有將遭遇到的人力資源事項，如訓練發展、待遇、績效管理、升遷與領導發展等。組織必須在人力資源上投資，以確保公共服務能以最有效率與效果的方式提供。背景資料分別就延攬、個別指導、員工發展訓練、領導發展、工作／生活平衡、績效管理、報酬、退離、科技應用等方面之國際最新趨勢、觀念與做法加以敘述，提供與會者討論之基礎。

二、美國國家公共行政學院（National Academy of Public Administration）認為有效人力計畫的關鍵成功因素：包括 1.管理階層的承諾及支持；2.人力資源幕僚的支持；3.人員的投入；4.與策略計畫及財務計畫的緊密連結；5.品質計畫資料；6.施行策略；7.溝通。

三、人力延攬方面，Lavigna and Hays (2004) 在 *Public Personnel Management* 期刊發表之"Recruitment and Selection of Public Workers: An International Compendium of Modern Trends and Practices"一文中發表其所發現之各國在公務人力甄選之程序變革、過程創新及技術採用等三類項之最新趨勢。在程序變革上，包括：各國政府正設法讓人力進用過程更為使用者友善及公開；設法讓政府對應徵者及現任員工更具吸引力；提高員工留任率也是延攬工作的一部分，因其可降低延攬新人的需求。相關範例包括：

1. 取消一些武斷的規定，如限制雇用管理者選擇權之三選一（rule of three）規定。加速雇用過程亦有助於甄選效率。

2. 採取彈性及愉悅的雇用過程，讓應徵過程更具邀請性，並在面試及考試之時間安排上更具彈性。

3. 快速過濾應徵者，部分政府組織僅要求應徵者遞出簡歷表，有些雇主允許立即雇用大學成績夠高的應徵者。

4. 讓進用要求及考試更具效度，確實與工作執掌有關。以績效為基礎的考試、利用評量中心及生物資料有逐漸成長的趨勢。

5. 訓練面試人員以提升面試信度，利用集體面試及擴大使用結構性面試。

6. 採取對員工友善政策。包括：彈性工時、視訊會議、家庭友善政策、良好的工作條件。

7. 創造更具彈性的職務說明書。研究顯示過於狹隘的職務說明及受限的陞遷管道將使有潛力的員工感到沮喪。

四、在各種延攬過程改進趨勢中最明顯者應屬分權化－將人力資源業務下放到營運單位。採取此一彈性措施雖可增加延攬的速度與回應性，但尚須顧慮分權化及解除管制的人力資源業務可能被操作及濫用問題。若人力資源管理採用分權化方式，政府部門必須確保有效的管制仍然存在。相關範例包括：

1. 積極展延觸角，如利用內部及外部的延攬者（recruiter）；在各種媒體廣告包括電子媒體、分送行銷及甄才資料推銷公務人員職業、提供免付費電話、在過程中使用應徵者追蹤系統與應徵者保持聯繫。

2. 利用現有員工擔任延攬者，對推介技術職缺人才有功者給予推介獎金。或對允諾留任組織相當時段者與予留任獎金。

3. 利用暫時性員工亦為不錯的延攬政策。暫時性員工給予雇主在提供正式職務之前有評估潛在員工的機會。實習也是另一種好的方法，可以讓組織在提供永久職務前了解某人表現如何。

五、使用科技可以改善選才策略。自動化可以讓管理人員取得測驗成績、資格及聯絡資訊。電腦化測驗允許組織處理大量的應徵者。但資訊技術也降低了人性化功能，此亦須納入考量。

六、教導制度（Mentoring）是一種有用的人力資源管理工具，對員工生涯發展、管理訓練、員工留任、繼任人選規劃等問題有所幫助。係由個別或一群資深同仁負起特別的責任擔任較資淺的同仁的教練、顧問或支援角色，可為正式或非正式制度，具有建立公開及信任制度、經常性回饋、以引導為取向、以分享經驗為基礎、持續性學習、長期性的關係等優點。日本的公務系統有正式的教導制度，新加坡的公務系統也有。荷蘭及冰島則強調對於現任及潛在的領導人有教練及諮商制度，以及與私部門領導人的交流連結。

七、員工發展方面，OECD 部分國家已將終身學習制度做為員工績效管理制度的一環或業務計畫的一部分。終身學習應該被視為組織目標的一部分。欲決定訓練及發展之需求，必須分別就組織、單位及個人層次上進行分析。組織評估費時費錢，單位需求評估能確認有哪些訓練需求存在及敘述這些需求之最佳方式。有一種績效落差方法專注於期望與實際績效間之落差可多加利用。而利用一種新的軟體程式也是設計新訓練課程的途徑之一，但需收集職務要求及員工現有技能、知識、能力等資料。績效落差可能係因低劣的管理方針、差勁的職務設計、設備不足、過份的工作要求及士氣問題等而造成。

八、訓練機構、主管及員工必須經常掌握因應外在急速變遷所需之發展需求。在決定專業上訓練之需求、自我改進、學歷提升、個人發展計畫上，員工必須扮演主動的角色。在做法上，需多方參與評估個別員工需求，尋求資源來支持這些需求，並提供支援讓個別員工能迅速發展與學習。

九、領導發展方面，IPMA-HR 已有一套高階人力資源開發計畫："Building the leadership pipeline: innovative practices throughout the employee lifecycle" 包括高階主管候選人發展計畫、領袖發展架構、設置領袖顧問委員會、建立領袖學院等。

十、績效管理方面，激勵員工之途徑包括：1.給員工具挑戰性但可達到的目標；2.給員工表現誠實且經常性的回饋；3.良好的工作環境；4.視個別員工需求給予適合之管教；5.避免過量工作壓力；6.讓員工了解他們的能力及潛能的事實；7.盡可能讓員工認為他們受到公平對待。

十一、退休／分離方面，降低對組織知識流失之可行措施包括：1.知識傳承計畫；2.工作重疊；3.重新雇用退休人員；4.階段性退休與彈性工時等。

伍、會議綜合結論

一、在政府改造運動浪潮中，要求對公部門現有職位分類等階薪給制度的改革雖然早有呼聲，但在實際做法上由於眾說分云、迄無定論，算是啟動較晚的一項。目前在美國已陸續有一些政府機關如國防部（DOD）、國土安全部（DHS）、國稅局（IRS）、聯邦航空管理局（FAA）在國會特別授權下享有一套自己的薪給制度，另實施已有一段時日的高級主管或資深主管制（SES）亦已於 2004 年開始推動績效薪給制。以薪給激勵績效顯然已逐漸成為未來各國推動薪給制度改革的主要方向之一。本次會議與會各國目前多採職位分類及等階薪給制，由於各國國情不同以及因此一新制度推出時間仍短，實際效果尚不明朗，而提出許多不同看法，但總體而言在對推動績效薪給制之精神與方向上則絕大多數持正面看法。

二、組織採用「以薪給來激勵績效」此一策略的潛在利益、必要前題、應留意之處如下：

- 潛在利益包括：1.可以明確傳達組織非常重視個人表現；2.可以藉以甄選及留任表現卓越者並替換表現低劣者；3.可以提高績效水準；4.可以將預期績效明確化並注重評量與回饋；5.可經由制衡機制改善績效評估之正確性及公平性；6.績效改善對組織認同計畫有所幫助。

- 必要前題包括：1.價值方面，員工必須重視可預期的獎酬；2.投資報酬率方面，獎酬價值必須超過員工為績效所付出之成本；3.績效方面，績效必須可以衡量，可以歸功於個人，且可以獲得；4.結果方面，員工必須相信所增加的績效將被認許。

- 應留意之處包括：1.金錢可能無法激勵員工；2.員工間相互競爭可能損及合作、資訊分享與團隊表現；3.員工對期望及評量認知不足可能產生不預期之結果；4.需要嚴謹地收集與評估資料；5.員工可能認為績效評量結果不公平；6.員工信任度低；7.經費常有限且無法預期。

三、推動成功的績效薪給制度需要的環境特質如下：

- 文化方面包括：1.領導者必須投注心力；2.持續的溝通；3.主管與部屬間要能相互信任；4.能提供支援的人事系統。

- 主管角色方面包括：1.在部屬的工作分派、評估績效與分配獎酬上必須公平；2.提供持續正確及有意義的回饋；3.對績效表現差的員工提供協助以改善其績效；4.主管必須在人事決定上具有必要之裁量權。

■ 績效評量方面包括：1.經仔細設計的績效評量制度，包含最關鍵的成果；2.績效由合適的層級來評估；3.員工了解其個人績效影響組織整體成效。

■ 公平性方面包括：1.有制衡機制；2.績效管理制度必須被員工視為公平；3.薪給與獎勵係依據績效做分配；4. 必須課與主管及管理人員責任。

■ 對主管及員工持續施予訓練。

■ 確保有足夠的經費。

■ 持續的評估：1.目標達成情形；2.對員工態度、投入程度、滿意度與績效等之衝擊。

四、人力資源管理者在管理雇用生命週期上必須知道的幾個重要觀念：

■ 所有的雇用都有一個生命週期，只是在期間長短、重要分水嶺及分支上不同而已；

■ 在每一點或階段的行動或決定都將影響後續的結果,然而傳統人力資源實務上視其為獨立分離的；

■ 在個別員工層次或人力層次上大部分的人力資源問題或困境都可以追溯到生命周期的更早事件；

■ 對周期主動管理將可提供人力規劃及管理上更多的資訊與策略途徑。

五、影響週期管理的變數很多，包括：人力結構、雇用法規、工會力量及幅度、國民文化及社會道德、經濟發展階段／經濟力量、一國之人口結構、公部門勞動市場、對稀有技能之競爭情形、政治力介入雇用之情況等。

六、雇用生命週期可分為七個階段：加入、投入、貢獻及成長、選擇、高原期、智慧傳承及退離等階段，人力資源管理部門對上述各階段所存在之相關議題皆需妥為處理與因應，如：

1. 未來有誰要來加入？為誰雇用？

2. 哪些技術對達成組織任務具關鍵性？哪些雖較不重要但仍屬必要？

3. 有哪些備選途徑可取得技術與支援？些途徑是否更具成本效益性、保障性、政治上可接受性、法律上可能性？

4. 雇用係屬暫時性、定期性、或依特定人力計畫推動？

5. 我們是一位會選擇的雇主抑或只是圖行事方便而已？

6. 開始時做了哪些承諾？誰做的？

7. 雇用是為了彈性或品質？

8. 由當地雇用或集中雇用？

9. 市場上對雇用具有特殊才能者之競爭程度如何？

10. 市場上願意付出多少錢來取得稀有技能？對公平衝擊為何？

11. 落選之候選人感覺如何？他們是否覺得過程公平？

12. 決定長期雇用之時點…等（詳請參閱附錄七：討論議題二引言報告 PowerPoint 簡報資料）

陸、心得與建議

一、各機關應積極爭取參與各項國際活動及會議，讓台灣站上國際舞台，加速與國際接軌。

目前各機關之出國計畫大多以出國考察訪問為目的，以出席國際會議為目的者相對較少，究其原因可能為出國訪查之對象與目的明確，操之在我，較容易規劃與執行。而參與國際活動或會議則需視會議主辦單位性質（政府組織或非政府組織等）、舉辦目的與方式，而有不同的參加條件，如須先加入組織成為會員或設法取得入場門票，才能參與，其中還得因應中國大陸的打壓，變數較多，執行上相對較困難。

出國考察訪問與參與國際活動或會議兩者目的雖然不同，但若就經濟效能方面評估，參加國際活動或會議由於與會者眾，可以在短時間內接觸多國之代表，較能從全球性觀點了解議題之整體面向及各國之想法與做法，並且可以增加我國在國際舞台上之曝光率，行銷我國，建立與各國間之良好情誼與溝通聯繫管道，加速與國際接軌，其實質成果及附加價值相對較高。各機關在面臨各項施政國際接軌需求正殷，但出國經費資源相對緊促之情況下，應儘量爭取加入國際組織，積極參與國際性活動及會議。且於參加研討性質之會議時，儘可能爭取發表論文或報告之機會，讓與會各國了解台灣，行銷我國。

本次會議參加人數不如以往，規模亦未如預期，但因與會者多屬各國政府人事部門首長或高階主管，討論內容兼顧廣度與深度。本部除藉此會議掌握各國在相關議題上之最新發展趨勢與做法，作為未來改進業務與國際接軌之參考外，同時亦主動向主辦單位爭取專題演講，適時讓各國瞭解我國政府為提升國際競爭力在推動政府改造與人力資源方面所做的各項努力，充分將台灣行銷國際。

二、政府刻正研議中之新的薪給制度，改革方向符合國際發展趨勢，宜積極規劃辦理。

行政院自 91 年度起推動績效管理與績效獎金制度,其精神及方向頗能符合績效薪給制，但在做法上因係以獎勵金每年發放一次，且金額不大，所能產生之實際激勵效果受到限制，與傾向於以薪資做為獎勵措施之績效薪給制比較仍有相當差距。更可惜的是，績效獎金制度自 94 年度起因獎金預算遭立法院刪除，績效獎勵改為與考績相結合，而與績效薪給制精神相離更遠。

　　有鑑於薪給制度改革已形成國際趨勢，考試院於 94 年元月舉辦之全國人事主管會報時提案討論建立以績效為主的俸給制度，預定將薪資結構劃分為兩大塊，一為基本薪資，一為變動薪資，結合考績與績效，期為公務體系注入新的績效管理制度，目前仍在研議階段，尚未形成政策。無獨有偶的是行政院亦於 94 年 4 月經首長會議討論結果決定將檢討調整公務人員薪資結構政策，未來期望依據管理績效、創新能力、貢獻度等完整之評量機制，以及全新考核制度，使得薪資結構更具彈性，並拉大高低階文官薪資差距，由目前之 4.5 倍，微幅調整為 5 倍。依行政院所擬規劃之彈性薪資結構觀察，除了採績效導向（如管理績效、貢獻度，屬過去取向，著眼於員工過去一段時間工作成果對組織績效貢獻之程度）外，尚兼採職能導向（如創新能力，屬未來取向，著眼於員工潛在能力未來對組織績效貢獻之程度）作為彈性給薪之依據。

　　由上觀之，無論是考試院或行政院目前皆積極研究改革薪給制度，由於細部內容尚未批露，為來做法如何，尚不得而知，但規劃方向皆能與國際發展趨勢相符合，值得肯定，宜加緊腳步加速規劃辦理。

三、績效薪給制應是更好的薪給制度，但是否具有改善組織績效之實質效果，實務上仍有待進一步驗證，主事者宜審慎。

　　績效薪給制符合同工同酬及獎勵卓越的功績原則，且因其考量員工貢獻而非年資，也較職位分類之等階薪給制更公平。該一制度有助於延攬及留住績效卓越之員工，但是否具有改善組織績效之效果，仍缺乏證據。依據公司領導委員會（Corporate Leadership Council）研究指出，績效薪給制有助於延攬及留住績效良好者，但不一定能改善組織績效。員工努力程度才是改善組織績效最主要關鍵。而如何激勵員工投注更多的心力於組織所分派的工作上，在理論及實務上已存有許多的途徑，薪資只是其中之一而已。因此若是以提升組織績效為目的來推動績效薪給制度，則實際效果可能將與預期有所落差。

　　而推動績效薪給制必須與績效管理及考核制度密切結合才能發揮效果，唯有奠基於一套健全且可行的績效管理與考核制度，推動績效薪給制才能成功。推動該一制度最終將必須建立起以績效為導向之組織文化。惟必須強調的是，如何推動建立該一制度並沒有一套四海皆準的公式（依據調查研究，美國公私部門所採行的薪給制度即可歸納出八種不同的績效薪給制及四種職能薪給制）。每一個組織都有不同的方式來管理薪給及績效。成功的主要關鍵在於「信任」，亦即管理人員與員工是否共同參與開發有關薪給之政策及措

施，以及創造一個能獲得管理人員及員工廣泛支持與擁抱此一新政策的良好環境。

四、建議人事部門應以公部門完整生命週期之系統觀點進行策略性人力資源管理規劃，協助機關遂行其任務。

　　管理公部門完整生命週期應被視為人力規劃的一環。人力規劃能夠讓組織了解及準備其目前及未來需求，包括人力規模、各單位人力配置、追求組織任務所需之知識、技術、能力等。

　　為因應行政院組織調整，行政院人事行政局已自93年度起透過分區宣導研習會，積極推動強化各機關之人事單位與人事人員「策略規劃」之核心能力，企圖將人事人員從以往保守的行政幕僚轉型為組織的策略夥伴，從提升組織整體績效與競爭力的角度來規劃與推動人力資源管理，並具備協助機關推動文化轉型的能力。該局並陸續規劃推出「核心價值」、「公務人力資本衡量方法」、「核心能力」、「行政院所屬人事體系執行力躍升」、「員工心理健康輔導」等五項人力資源管理策略，提供各機關於規劃與執行時使用。

　　而各機關人事單位及人員於從事機關人力資源策略規劃時應就延攬選才、個別指導、員工發展訓練、領導發展、工作/生活平衡、績效管理、報酬、退離、科技應用等公部門完整生命週期之各個階段做全觀性（holistic）整體考量，進行統合性、系統性的規劃，讓每一點或階段的人事行動或決定都能帶給組織及員工後續正面、良好的結果及影響。

柒、附　錄
一、林部長專題報告英文講稿

**International Public Management Association
for Human Resources**

Government Reform and Human Resources –
The Taiwan Experience

By Chia-Cheng Lin,
Minister, Ministry of Examination, Taiwan, ROC

**IPMA 30th International Symposium
on Public Personnel Management
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Part I: Foreword

Efforts to improve public services, lessen taxpayer burdens and increase each country's competitive profile in the face of growing globalization have fueled a wave of comprehensive government reform in advanced nations of the world since the 1980's. These initiatives came under the influence of a new brand of thinking about public management that promoted a sort of corporate spirit and sought to transform the role and functions of government, while also making deep structural adjustments in the organization and division of responsibilities of government agencies. The aim was to exchange the ponderous control orientation of 'big government' for the capable flexibility of 'small government'. Now, the pulse of globalization has led to a blurring of the distinction between public and private agencies, and a model for administrative organization that sits between the two has progressively emerged. In this context, the use of human resources and the principles governing this use have also undergone some considerable evolution. In effect, like information and other resources, human resources are now marked by a high degree of mobility, and public agencies are also far more likely than in the past to include fixed-term contracts in their approaches to staffing issues.

According to reports on international competitiveness prepared by the Swiss-based International Institute for Management Development (IMD), since the year 2000, Taiwan has posted a less-than-ideal government efficiency ranking. While we were ranked 14th in 2000, that dropped to 24th in 2002 and had only improved to 18th by the end of 2004. As a country subject to intense competitive pressure, Taiwan is now fully committed to the processes of governmental reform that are sweeping the world. In my presentation here today, I will draw on my personal experience to discuss how the government of Taiwan is responding, what goals it has set, the strategies and measures that have been adopted and how we are progressing. I hope that the information will be of value for reference by various parties. To begin with, in order for you to understand the background to our program of reforms, it will be useful to have an idea of the basic structures of Taiwan's central government. I will introduce this briefly now.

Part II: Structure of Taiwan's Central Government

The Constitution of the Republic of China, which is in force in Taiwan, sets out a 5-branch system. In addition to the usual executive, legislative and judicial

branches, there are two other independent authorities, which address examination and administrative oversight respectively. The President is the leader of the country and is elected directly by the people. The five branches under him, which are called the Yuans, are the Executive Yuan, the Legislative Yuan, the Judicial Yuan, the Examination Yuan and the Control Yuan.

The Executive Yuan is the top administrative agency, with 36 ministries and committees under it. Its top official, the Premier, is appointed by the President. The Legislative Yuan is the country's top legislative body. It represents the people in exercising their rights to legislate, and holds the right of approval for presidential appointments to the Judicial, Examination and Control Yuans.

The Judicial Yuan is the nation's supreme legal body, and is charged with interpreting civil, criminal and administrative law, as well as handling disciplinary matters involving government officials. The Examination Yuan is the nation's highest examination authority and is responsible for the administration of all civil service examinations as well as those for the professions and technical occupations. It governs the civil service and, through the three ministries below it, is responsible for all government personnel matters. These include assessment, employment and dismissal, salaries and benefits, incentives, performance evaluations, protections, promotion, retirement, pensions, posthumous benefits, etc. The Control Yuan, meanwhile, is the nation's supervisory watchdog, and handles matters of impeachment, censure and audit. It has one affiliated ministry.

Part III: A Historical Perspective on Government Reform in Taiwan

It can be said that government reform has been under way in Taiwan for 50 years, with each successive wave being characterized by a different scope and set of goals. In each instance, nonetheless, the efforts targeted improvements at the administrative level in order to enhance performance and improve service to the public. In comparison, political reforms or reforms at the political level were less prominent. The reason for this had to do with the fact that a period of economic transformation was driving a period of social change, and the notions of political reform were at a very early stage.

With the lifting of martial law in 1987 and the subsequent restoration of democratic institutions, the political environment began gradually to evolve towards a more varied configuration. In administrative terms, the excessive

numbers of layers in the bureaucracy and an unclear division of responsibilities were inhibiting government's ability to address the actual needs of society. Even though internal reforms were implemented at every level, the public still did not experience any obvious improvement in government performance. In 1993, the Executive Yuan launched a new program of reforms and set up bodies to monitor their implementation. Over the next three years of effort, the Organic Law of the Executive Yuan was amended on two occasions, without, however, these amendments being approved by the legislature.

In 1997, the big knives came out, and under a simplification program, the functions of the Taiwan provincial government were transferred to the central government, thus reducing the number of levels of government from four to three. This was also the first time such a significant set of political reforms had been implemented on the island.

Governmental reform was quite an international trend at the time, and for its part, Taiwan's Executive Yuan issued in 1998 a set of Guidelines for administrative reform that emphasized three areas of activity – organizational reform, human resources and services reform and legal reform – for priority consideration. At the organizational level, in addition to completing the work of transferring the duties of the former provincial government to the central government, two major laws were drafted addressing organizational standards for central government agencies and the numbers of personnel to be employed by government agencies respectively. (These were the *Basic Organizational Code for Central Government Agencies (Draft)* and the *Code for Total Staff Size of Central Government Agencies*; see Part 5 below). Consensus was not reached on the contents of these initiatives in the legislature, however, and discussion of them was halted when the legislature rose that year.

The presidential elections in March, 2000 led to a change of ruling party, and the incoming administration was confronted by negative economic growth and high unemployment in the face of a global recession. In a bid to improve the overall competitiveness of the country, President Chen Shui-bian formed and chaired a Government Reform Committee in October 2001 that included prominent figures from across the public and private sectors. The Committee was tasked with coming up with recommendations for fundamental and all-encompassing reforms, and at its first sitting, set out its vision in the terms: *Active Government with Global*
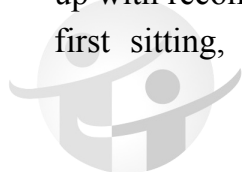
Competitiveness. This articulated the principles of customer-orientation, flexible innovation, partnership, responsible government, and ethical government. Its goals included 'simple, flexible administrative organizations, a professional, performance-oriented personnel system, decentralized and cooperative government structures, reforms to legislative bodies in step with the popular will'.

For its part, the Executive Yuan founded an Organizational Reform Committee in May, 2002 that comprised six sub-committees working in one of two main areas, functional adjustment or support mechanisms. The Functional Adjustment group included the sub-committees for Central Administration Agencies, Central-Regional Partnerships, and People-Government Partnerships. The Support Mechanisms group included sub-committees for Expenses, Personnel and Laws. Because the substance of governmental reform involves adjustments in organization, human resources, services and regulations, it can only be accomplished through cooperation among all agencies in all respects. The direction of reform can best be determined by referring to the experiences of other governments in this regard, abandoning the 'big government' models of the past and moving towards a lean and capable ideal. The most important outcomes of this raft of reforms concerning the restructuring of central administrative agencies are presented in greater detail below.

Part IV: Current Organizational Reforms in the Executive Yuan
(I) Organizational Deficiencies

There are presently some 36 subsidiary ministries and committees under the Executive Yuan, far more than the average of 15.7 in most advanced countries. Under these agencies are a further 336 tertiary administrative units. The deliberations of the Organizational Reform Committee identified five major deficiencies in the prevailing structural arrangements. These include:

1. The excess of horizontally-distributed separate agencies exceeds the scope the Premier can efficiently oversee and increases the costs of coordination.

2. The mechanisms for the integrated application of policy are weak, which makes it difficult for the Yuan to fulfill its roles of governance and the integration of policy.

3. The organization has been unable fully to adapt to the transformations in

core government functions, which makes it difficult for local governments and the civil society to fully develop their potential.

4. There are too many consultative bodies, leading to redundancy, a scattering of responsibilities, and lack of clarity in the respective functions of the various ministries and committees.

5. The articles of charter of independent agencies are not clearly set out, which results in an inability of these agencies to fully develop the professionalism and neutrality that should characterize them.

(II) Organizational Reform Goals

Having identified the deficiencies outlined above, the Committee set out five goals for organizational reform. These are:

1. Simplification of scope: Government should be shrinking, in step with trends that require 'decentralization' and 'deregulation'. The scope of activity of government organizations should be significantly simplified as well.

2. Logical organization: Government agencies should not depart from basic principles of organization. Models for the establishment and organization of secondary-level agencies (ministries and commissions) should be determined according to objective and logical standards.

3. Stronger administrative leadership and integration: In terms of policy planning and coordination, the Executive Yuan should be organized so as to provide timely and adequate support to the Premier in ensuring the effective implementation of government policy objectives.

4. Reasonable distinctions between operations and organization: A clear distinction must be made between organization and operations, while a suitable balance must be found in the division of professional responsibilities and in the exercise of authority over specific matters.

5. Flexibility: In order to address the organizational needs that may arise in the context of particular unforeseen situations, flexibility should be built into the legal structures of organizations, favoring a 'loosely-knit' orientation.

(III) Strategies for Organic Adjustment

In keeping with government trends in advanced nations, in which new

structures of governance are moving the exercise of powers downward and outward, reforms to the Executive Yuan are based on two premises: "government should not do what the private sector can do", and "the central government should not do what the local governments can do." Under the "*4 Reforms Strategy*", each agency is required to undertake, in the context of its current duties, a thorough review of the following:

1. Localization of Central Government Powers

     This refers to functions performed by agencies of the central government being taken over by local authorities, and a downward shift of operations so that specifically regional and local factors become the main criteria in decisions regarding which level of government should be responsible for which functions. When reviewing these questions, in addition to the necessary discussion of which functions of central government agencies can best be taken over by local governments, it is also necessary to consider at the same time the willingness and ability of these downstream governments to accept these responsibilities.

2. Corporate Structuring of Public Agencies

     This refers to matters that are the nation's responsibilities, but which do not need to be handled by a government agency. These duties can be handed to an administrative corporate entity established under public law.

3. Outsourcing Operations

     The outsourcing of public functions to private-sector entities can be carried out according to two models, 'agency outsourcing' and 'task outsourcing'. The former refers to the outsourcing of an agency's entire operations to the private-sector, while the latter refers to outsourcing a part of these or specific projects to private-sector entities.

4. Shedding of Duties by Public Agencies

     This has to do with deregulation and the re-evaluation of government functions from the standpoints of human rights and resource efficiency. When a particular government function is no longer necessary, or has human-rights implications, or when performed by a government agency is inefficient, it can be discarded or transferred to the private sector.

     The findings of each agency in this process of review with regard to

what the agency should 'keep' should be considered in the light of 'block integration', taking into account such factors as functional interaction, required professional skills, up- and downstream connections, etc. A decision can then be made whether to retain the function in the original agency, create an entirely new agency to manage it, incorporate it into another agency, or incorporate it into the core functions of the Executive Yuan itself.

Part V. The Legal Framework for Organizational Reform

The Research, Development and Evaluation Commission (RDEC) of the Executive Yuan drafted three acts of legislation in 2002 with a view to launching the process of administrative reform. These initiatives, the Basic Organizational Code for Central Government Agencies (Draft), the Draft Amendments to the Organic Act of the Executive Yuan, and the Draft Provisional Statute on the Adjustment of the Functions, Businesses, and Organizations of the Executive Yuan, in addition to the Code for Total Staff Size of Central Government Agencies and the Draft Administrative Corporation Act produced by the Central Personnel Administration, were passed by the Executive Yuan and the Examination Yuan, and jointly forwarded to the Legislative Yuan. (The inter-relationships of these five laws are illustrated in Figure 1).

The Basic Organizational Code for Central Government Agencies (Draft) was revised and passed by the Legislative Yuan and signed into law by the President as the Basic Organizational Code for Central Administrative Agencies in June, 2004. These laws set out the basic structures for administrative agencies and represent a significant milestone in Taiwan's march to government reform. The main elements of the five laws are summarized below:

(I) Basic Organizational Code for Central Administrative Agencies

This law sets out the agencies at each level and the names of units within them, the items that should be covered by their organic laws, the conditions and procedures for their creation, adjustment or abolition, their limits of authority and important areas of operation, and the number and scope of secondary- and tertiary-level agencies under the Executive Yuan, as well as the units within these and standards for their creation. (The number of secondary- and tertiary-level agencies has been reduced from 36 and 336
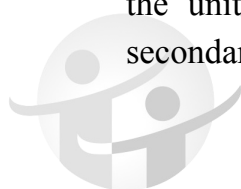
respectively to 22 and 50, while the number of individual departments in secondary-level agencies has been reduced from more than 200 to 104). After its reordering under the Basic Organizational Code, the Executive Yuan counts fewer agencies below it, but these are in general larger than before. Tertiary agencies in particular are often quite larger than secondary ones.

Under the Code, administrative agencies have the authority to establish fourth-level agencies on their own initiative. This gives them the greater flexibility to respond to needs when and where they arise by adjusting their organizational setup, and is in line with the stated goal to maintain loosely-knit structures. In addition, the Code simplifies the areas that organic laws are required to stipulate. For example, as agency staff numbers need no longer be written into law, administrative bodies no longer need to have amendments to their organic laws passed by the Legislative Yuan in order to increase or reduce staff numbers.　This gives them the right to decide staffing matters independently.

(II) Draft Amendments to the Organic Act of the Executive Yuan

Subsequent to the adjustments stipulated in the Basic Organizational Code, the organic structure of the Executive Yuan will be changed to comprise thirteen ministries, four commissions and five politically independent agencies classed for structural reasons as secondary agencies. Among these, the new core functions of the traditional eight ministries will be reflected in their names: the Ministry of the Interior and Homeland Security, the Ministry of Foreign and Overseas Compatriot Affairs, the Ministry of Defense and Veterans Affairs, the Ministry of Finance, the Ministry of Education and Sports, the Ministry of Justice, the Ministry of Economic Affairs and the Ministry of Transportation and Construction.

In response to new demands, five new ministries will be created. the Ministries of Labor and Human Resources, of Agriculture, of Health and Social Security, of Resources and the Environment, and of Tourism and Culture respectively. The coordinating functions of the 'four commissions', meanwhile, will be strengthened in their new configurations as the National Development and Technology Commission, the Maritime Affairs Commission, the Indigenous People's Affairs Commission and the Hakka Affairs Commission.

At the same time, in order to boost the strategic planning capacity of the Executive Yuan itself, its internal structures are to be addressed by a group of 9 to 11 ministers without portfolio. The heads of the Commissions may be one of these ministers without portfolio, or persons of equivalent rank. There will also be a Chief Accountant, a Director of Personnel, a Chief Legal Officer and a Chief of Information Technology who will be responsible for overseeing the implementation of government budgets and accounting, civil service resources and organization, legal affairs and information technology respectively. Responsibility for the National Palace Museum, formerly under the Executive Yuan is to be transferred to the Office of the President. (An organigram of the revamped Executive Yuan is shown in Figure 2).

(III) The Draft Administrative Corporation Act

The Draft Administrative Corporation Act sets out a range of principles that can act as the organic basis for the establishment of public administrative corporations. On the one hand, the Act aims to loosen up such regulatory strictures as concern personnel and accounting procedures, for example, so that these bodies can set their own policies in these areas, as well as in internal controls, auditing procedures, etc. In addition, it provides for a suitable system of internal and external oversight and performance evaluation so as to ensure that the twin goals of professionalism and high performance are duly met.

On the other hand, corporate business practices are borrowed in a bid to upgrade performance. With regard to such public corporations, the law sets out clear frameworks to govern government subsidies, assets management, the contracting of loans and debt management, as well as the rights and protections due to civil servants working for a government agency that is transformed into such a corporation.

In order to smooth the implementation of these laws and to keep the overall process under control, the Executive Yuan has drafted pertinent administrative regulations, such as the principles for the establishment of independent agencies, and has requested all existing agencies to refrain from amending their organic and related laws while the Executive Yuan's own draft Organic Act is still pending.

Part VI: Human Resources Management

Because of the strict limits the Basic Organizational Code places on the scope of the agencies it addresses, the process of reshaping the Executive Yuan will affect almost all its affiliated agencies in varying degrees, from outright abolition to mergers, changes of affiliation, restructuring and operational simplification. The far-reaching nature of these reforms is sure to exert considerable impact upon operational methods and the allocation of human resources. Achievement on the one hand of the restructuring goals, and assurance on the other that adequate numbers of personnel of the quality required to ensure the future development of government organizations can be hired, will require a complementary set of mechanisms to be put in place. In response to this situation, the Executive and Examination Yuans have put in motion the following measures:

(I) Logical Staffing Arrangements: More Intensive Staff Assessments, Logical Allocation of Staff Numbers, Slimming Down of Total Numbers

The Executive Yuan has since 2001 utilized the budget review process to keep the growth of civil service numbers under control and requires all agencies to implement the "4 reforms strategy" and reduce their personnel of all types year by year. In consultation with the various agencies and relevant experts, the Central Personnel Administration has formed a Human Resources Assessment Service Group which targets ten to twenty major agencies per year to perform personnel assessments, then oversees the strict implementation of its conclusions, a process which results in more logical structuring of agency staffs.

In order to support a reasonable allocation of personnel numbers in the reform process under way, the Central Personnel Administration has produced a *Personnel Allocation (and Transfer) Plan for Executive Yuan Reform*. This document stipulates that agencies which under their current structures are not able to accept inward personnel transfers should adopt interim provisions to allow this. Subsequently, they should determine in light of their actual operational needs a reasonable level of staffing, and then, by offering early retirement packages and by natural attrition, reduce their numbers to this level. Once the process of structural adjustment is complete, further transfers of personnel should be carried out in accordance with regulations. Parent agencies

should periodically conduct staffing assessments in the agencies subordinate to them, determine any adjustments needed and, as appropriate, continue the process of slimming down by natural attrition.

Another preemptive measure taken by the Central Personnel Administration is in the form of the *Guiding Principles for Staff Reduction by Administrative Agencies*. This document requires agencies which have to reduce staff, whether for reasons of abolition, merger, restructuring or change of orientation, to ensure that these reductions do not represent less than 4% of current staff, or 100 persons, and stipulate that once this initial slimming is completed, new staff may not be hired in replacement. In addition, these reductions must be reflected in annual budgets and no increases may be requested within five years. The maximum severance bonus allowed to personnel made redundant in the restructuring is seven full months of salary and benefits (in addition to their duly acquired pension benefits). The objective of this initiative is to bring staffing numbers at government agencies in line with the upper limits stipulated in the draft Code for Total Staff Size, and therefore mitigate the impact of the sudden staff reductions that will be mandated when the new Executive Yuan Organic Act and the Code for Total Staff Size are passed into law.

Staffing at central government agencies has in fact been in decline since 2001, with numbers having been cut by 67,493 persons by 2004 – 18,403 in government agencies and 49,090 in state-owned enterprises - an average annual reduction of 3.57%. The Executive Yuan staffing budget for 2005 provides for 193,000 staff, a figure that is already below the maximum of 200,000 set out in the Code for Total Staff Size.

(II) Improving Staff Numbers Management: Overall Numbers Control, Flexibility in Allocations

Staff numbers are an important factor in all organizations, and whether management can stay abreast of policies and operational needs, while allowing for flexible adjustment as needed, goes to the heart of the efficiency and performance of government itself. In the past, the organic laws of government agencies set out in specific detail the numbers of persons to be employed at each level. This meant that agencies had to change their

structures in order to accommodate various policy changes or operational requirements, or even, when special hiring needs arose, that changes had to be legislated to their Organic Acts. This of course led to extra work for legislative organs as well as general difficulties in adapting an agency to its actual needs. In order to encourage flexibility in personnel use and improve the country's competitiveness, the draft Code for Total Staff Size of the Central Personnel Administration of the Executive Yuan has put in place a supple regimen for personnel management that codifies guiding principles to maintain reasonable numbers of government personnel while also providing for flexible adjustments in these. This process has been conducted under the budgetary oversight of the legislature.

This draft law contains the following provisions:

1. It establishes six types of staff, and sets the upper limit of central government employees at 200,000, while mandating a reduction of 2,500 per year for six years, which will reduce staffing to 185,000 at that time.

2. Proportions are set for the number of staff to be assigned to agencies' auxiliary services.

3. The rights, responsibilities and procedures are set out for determining agency personnel numbers.

4. The factors to be considered when allocating personnel within an agency, the principles of personnel planning and allocation, cutting staff, opportunities for adjustments or transfers are defined.

5. It specifies the important matters to take into consideration when special circumstances compel an increase in staff during the year, and how to process this.

6. It sets out methods and approaches for personnel assessments.

7. In addition, so as to encourage outsourcing, corporatization, localization, deregulation and privatization, methods for handling relevant personnel issues are set out, while provisions are made for the reallocation to secondary agencies of a certain proportion of personnel made redundant.

The spirit behind this law is to give agencies the authority to use their human resources with the flexibility they need. Once the legislation is passed, the staffing numbers for secondary-level agencies will be set by their parent

agency, while those for tertiary and fourth-level agencies will be formulated by the secondary agency above them, which will make the allocations request of the parent agency. In other words, agencies at any level may, within the scope of the staff allocated to them, respond to the operational needs of the agencies directly below them, and make staff planning and allocation decisions with great flexibility.

(III) Workers' Rights: Protecting the Rights and Interests of Workers, and Encouraging Early Retirement

In order to move the staffing numbers of the whole Executive Yuan structure towards the staff reduction goals in as short a time as possible, the Research, Development and Evaluation Commission has formulated the *Draft Provisional Statute on the Adjustment of the Functions, Businesses, and Organizations of the Executive Yuan.* This draft statute stipulates that all legally hired civil servants, hired personnel, security guards, auxiliary workers, retired or semi-retired workers, retired civil servants, dependants receiving benefits, etc. are eligible for the protections set out in this statute, and that these are not limited to persons affected by abolitions, mergers or restructurings. The protections and benefits it provides for include:

1. Benefits for Voluntary Retirees:

(1) Civil Servants: Attractive measures are in place such as a reduction in the number of years of mandatory service required before taking voluntary retirement and allocation of a bonus that can be up to seven full months of salary and benefits to people who do take early retirement. Any person is eligible who matches one of these criteria: 20 years of service; ten years of service and fifty years of age; or, three years of service at the highest attainable pay grade. Among these, persons retiring who have twenty years of service and are fifty years of age can choose to receive their retirement fund in a lump sum or in a partial lump-sum, partial monthly pension arrangement; this is comparable to the conditions available only after twenty-five years of service under the current system. In addition, the conditions for receiving a monthly pension for persons over the age of fifty have been significantly relaxed. Statistics show that some 60,000 persons will be

eligible for this arrangement. It is expected that a large number of these will take advantage of the offer when it is passed into law.

(2) Other employees: In addition to the other benefits that are available according to a person' specific position, a bonus of up to seven months' salary and benefits will be offered.

2. Protections for the Rights and Interests of Civil Servants:

(1) Relaxation of Restrictions for Qualifiers in Special Examinations: In Taiwan, the government enforces transfer restrictions on civil servants, particularly on persons who qualify for the civil service in special examinations. Current regulations stipulate that such persons must work for six years in the agency sponsoring the examination they qualified in before being able to transfer to another agency. In the interests of persons who are subject to this restriction and in order to comply with the greater flexibility for personnel mobility required under the Executive Yuan's new organization, this restriction will be relaxed as is suitable at the time each agency is restructured.

(2) Postings for Transferred Personnel: In order to uphold the rights and interests of civil servants who are transferred, their new agency should find a post for them within their organization of a rank and grade equivalent to that they have left. If no such position is available, one at a lower grade may be allocated, but the person shall retain the rank and benefits of his or her original position.

(3) Salary and Benefits for Transferred Personnel: The years of service and acquired benefits of transferred personnel will be assessed as stipulated in the Civil Service Pay Act. Persons whose technical or professional emoluments are lower in their new position, as well as executive ranks who are transferred to a non-executive position, are eligible to receive compensation up to the level of their original salary package only; they are not eligible for further increases that may accrue to their original position. With respect to senior-grade non-executive civil servants who are in an executive position and receiving an emolument in consequence, they remain non-executives after transfer. Their cases shall be considered in common with the other senior-grade non-executive civil servants in their new agency and handled in

accordance with the provisions of the Regulations for Civil Servant Emoluments.

(IV) Strengthening Employees' Core Abilities: Determining Core Abilities and Setting up Effective Training Programs

The term 'core abilities' refers to the 'talents, knowledge, skills, judgment, attitudes, values and character that play a role in workplace success'. Based on the levels in an organization and the division of labor, these can be divided into 'core management abilities' and 'core professional abilities.' The former refers to what a person in a management position needs in order to achieve management goals, while the latter refers to what is needed in a particular professional position or other field of work.

With regard to the new ministries that are to be created after the restructuring of the Executive Yuan, these will require new personnel to carry out the new business at hand. In order to train the personnel these new agencies need, the Executive Yuan defined in February, 2004 the six abilities required in middle- and top-executive positions.

For high-level executives (12th grade of the civil service and above), these were defined as: creating and shaping vision, strategic analysis, handling of crisis and reform, group motivation and leadership, cross-boundary coordination and performance management.

For mid-level executives (9th grade of the civil service and above), these core abilities were defined as: customer-oriented services, knowledge management and application, time and process management, communication and conflict resolution, guidance and the passing-on of experience, goal-setting and execution.

The Central Personnel Administration of the Executive Yuan has also drawn up a *Table for the Assessment of Core Management Abilities at Mid-and High-Executive Levels*, which is provided to agencies for their reference in determining the command of such abilities in their personnel and designing personal training and development programs as may be required. In addition, in January, 2005, the Executive Yuan issued its *Methods for Selection of Core Professional Abilities by Subordinate Agencies*, which required these agencies to determine specific core abilities of importance to their operations, and
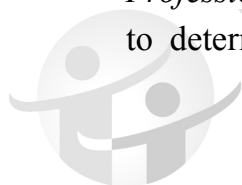
report these to the Central Personnel Administration so that they might be incorporated into training and educational programs and contribute to a general enhancement of the quality of the civil service.

(V) Training for Changes in Specialization: Developing Second Specializations Through a Diversified Training Methodology

In January, 2005, the Central Personnel Administration of the Executive Yuan set out a training plan for changes in specializations, which aims to:

1. Respond to adjustments in the organization and operations of the Executive Yuan – as the various agencies proceed with restructuring, this will involve transfers, re-placement and revised duties for civil servants.

2. Develop a second area of expertise for civil servants – this will assist personnel in adapting to and developing in their new duties and enable them to easily switch classifications or take over new positions. This flexibility will further the goals of human resources development and placing personnel in positions most suitable for them.

3. Enhance the necessary professional abilities of civil service personnel in their current or future positions – this builds up reserves of specializations and core abilities and is of benefit to the development of agency operations.

These training programs address:

1. Civil servants whose original qualifications or professional abilities do not match the requirements of their new duties subsequent to their re-placement in a new agency.

2. Civil servants who remain in their original agency after restructuring, but are moved to a new job that requires different specializations or functions.

3. Personnel of an auxiliary service that experiences staff cuts, and who have to be transferred to regular agency operations;

4. Personnel whose specializations do not match their new jobs.

5. Personnel appointed to new areas of agency operation and require training to support this development.

Varied training methodologies apply:

1. Training classes: Courses will be designed to address the needs of each

area of specialization of job groups or classifications, and administered in centralized or dispersed sessions.

2. Study placements: Depending on the nature of the changes to be carried out in an agency, personnel may be sent to the agency they are to be transferred to, or to another agency with similar operations, in order to obtain on-site training in a new specialization.

3. External courses: As the operational requirements of an agency may require, training plans should include sending personnel to approved training institutions to receive appropriate training or further education.

4. Digital learning: Agencies should set up on their own initiative network-based training courses that use digital learning platforms to deliver training in the necessary specializations. These courses may be contracted out or obtained through agencies approved by the Central Personnel Administration.

(VI) Total Restructuring of Job Classifications: Re-ordering of Job Groups and Classifications, and Revisions to Job Descriptions

Job classifications in the civil service are determined and distinguished one from the other in terms of the nature of work performed and level of education required. The purpose of such classifications is to enable recruitment and assignment to posts according to specific criteria, so as ensure that persons are qualified for and suited to the posts they occupy. Whether or not these distinctions are logical and appropriate has a direct bearing on the operations of an agency, and they should be able to be modified at any time as the operations of an agency undergo change or experience development.

The job classifications defined in 1987 by the Ministry of Civil Service have been in place for some time now, and for the most part have not undergone revision, addition or cancellation. They are, in fact, at some variance with the actual current operations and state of development of government operations and cannot be fully adapted to the needs of the agencies that will emerge from the forthcoming government restructuring. An ad-hoc committee formed to address this issue presented the conclusions of its thoroughgoing 3-year deliberations in August, 2004. The committee recommends that the original 31 job categories be increased to 43, while the

number of subsidiary classifications also be increased from 60 to 84. In addition, it recommends the creation of 11 wholly new classifications to meet current requirements. This total of 95 job classifications will require a series of new or revised job descriptions.　This new system of job classifications in the civil service is slated for implementation in 2006.

(VII) Improvements in Examination-based Recruitment: Simplification and Conflation of Examination Disciplines, Testing for Professional Core Abilities

In order to come into line with the new series of job categories and classifications and the revised job descriptions noted above, and therefore to meet the needs of employing agencies, the Ministry of Examination is upgrading coordination of matters pertaining to education, examination, training and employment.

In July, 2004, an evaluation was undertaken to determine the suitability of the examination disciplines, candidate eligibility requirements and subjects tested in examinations. The outcome of the study was a recommendation that the number of disciplines addressed in the Senior, Junior and Elementary examinations and civil service rank promotion examinations should be reduced from 563 to 460.

The modifications in the candidate eligibility requirements and subjects to be tested in each discipline are to be phased into the administration of civil service examinations starting in 2006. The efficiency of the examination process will be enhanced through a reduction in the number of subjects to be tested, alignment with the contents of job descriptions, reference to the desired core abilities determined by the various agencies of the Executive Yuan, an overall requirement for English-language skills, etc. Such improvements should lead to concurrent improvements in the quality of persons recruited to the civil service and a strengthening of the country's competitive profile.

In addition, in order to improve understanding of the civil service examination system among youth and the society at large, the Ministry of Examination has developed a *National Examinations Orientation Project* that seeks through a variety of channels to attract promising talent to challenge examinations and contribute to an overall upgrade of the civil service.

(VIII)Intellectual Capital Management: Promotion of Knowledge Management, Innovations in Agency Core Knowledge

Civil servants constitute the government elite and are by nature knowledge workers. It is therefore a critical concern for the government, in its efforts to maintain the country's competitive advantage, to retain such valuable personnel at the moment of restructuring so that a large-scale hemorrhage of talent does not lead to fault lines or outright gaps in institutional memory. Indeed, initiatives to enhance innovation and performance are vigorously encouraged as the government faces the impact of its far-reaching reforms.

Because of the sheer scope of the organizational reforms to be brought to the Executive Yuan, there will be a great corresponding reshuffling of the nation's civil servants. Such movements will include, for example, personnel in all the agencies affected by the '4 Reforms Strategy', who may see their jobs abolished or transformed, or their agencies shifted from central to local government control.

In agencies that are to be retained in their current forms, civil servants may still face staff cuts, mergers, changes of affiliation, reorganization or abolition of posts. High-level or long-service civil servants who opt for early retirement under the provisions of the *Draft Provisional Statute on the Adjustment of the Functions, Businesses, and Organizations of the Executive Yuan* once this law is passed will, almost immediately, leave the service, move to the private sector or go into teaching.

In order to prevent a hemorrhage of talent during the restructuring process, the Research, Development and Evaluation Commission of the Executive Yuan issued in April, 2004 a document setting out *Major Points for Improving Research and Innovation in Agencies of the Executive Yuan*, which required agencies to utilize knowledge management methodologies to promote work in the areas of research and innovation.

Approaches advocated include the development of innovation implementation plans, and the establishment of agency knowledge dossiers, agency personnel data banks, internal knowledge communities, knowledge management platforms and incentive programs to encourage the sharing of

knowledge; together, these measures aim to promote the conservation and sharing of, and innovation in, core knowledge. At present, the majority of secondary and tertiary agencies of the Executive Yuan have established knowledge management and information systems, and are actively pursuing the opportunities these tools offer.

Part VII: Conclusion

In comparison to Taiwan's last major government reorganization effort, the absorption of the former provincial government, this current move to restructure the Executive Yuan is broader in scope and goes far deeper. In addition, its effects will not be felt at the central level only, for once the process is under way, there will be a definite trickle-down effect that will lead to adjustments in local governments as well. In short, governing structures of the whole country will be affected. This restructuring plan is one of major proportions, and its degree of success will have a determining influence on the place Taiwan will occupy within the international community in the 21st century.

The work of a number of agencies over several years, this restructuring project saw its first material steps taken last year with the drafting of essential legislation and the completion of plans for the reorganization of Executive Yuan structures and accessory matters. Opportunities to move ahead with the overall restructuring plan have been missed, however, due to delays in the legislative process attributable to the fact that the majority party in the Executive branch remains in opposition in the legislature. Government reform also requires more than the support of its civil servants and legislature, but also needs to be supported by the civil society at large. Once the remaining four pieces of essential legislation are passed, the new structures designed for a revamped Executive Yuan will be implemented as of January, 2006.
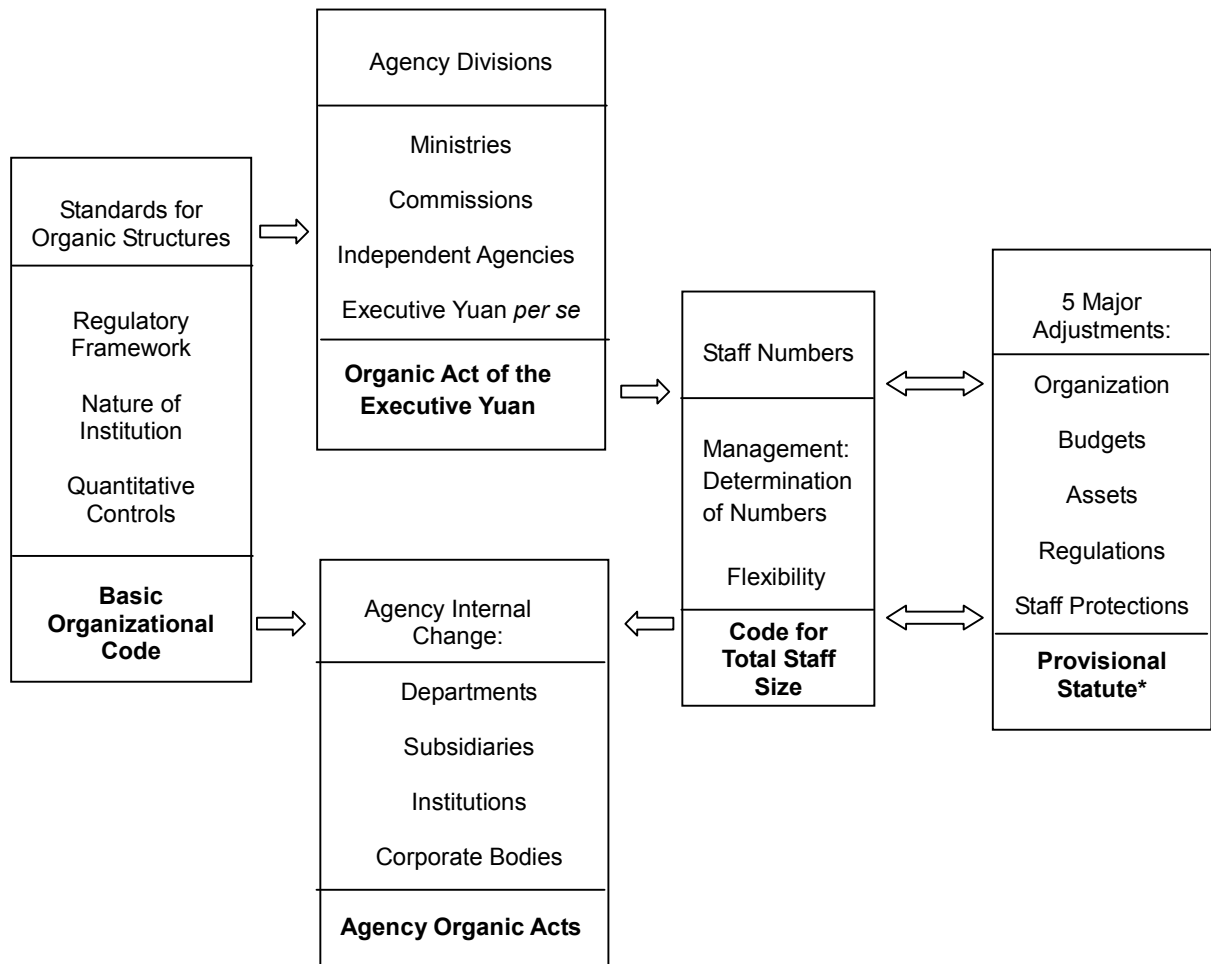
The implementation of a new raft of structures does not, however, signal the end of the reform process – it will rather be the beginning of a new set of challenges and a new, long road to travel as the new organs created integrate their human resources and move towards the creation of a new set of institutional values.

Only when a superior organizational culture has been shaped can agency performance be improved; only when a high level of morale can be assured can all reforms really be accomplished. Similarly, only when good working relationships

have been established among its various agencies can government performance truly be maximized, and only when leaders of wisdom, courage and stamina take the reins of these agencies can these desirable and necessary ends be truly achieved. It scarcely needs to be said that any efforts towards large-scale government reform are fraught with risk, and the hardest part of any such efforts is the re-engineering of administrative structures. Furthermore, this is a road from which there is no viable return, and its ultimate effects can really only be measured after the passage of a considerable period of time.

Figure 1: Interaction of the Five Acts of Reform Legislation

| Standards for Organic Structures

Regulatory Framework

Nature of Institution

Quantitative Controls

Basic Organizational Code | | Agency Divisions

Ministries

Commissions

Independent Agencies

Executive Yuan *per se*

Organic Act of the Executive Yuan | | Staff Numbers

Management: Determination of Numbers

Flexibility

Code for Total Staff Size | | 5 Major Adjustments:

Organization

Budgets

Assets

Regulations

Staff Protections

Provisional Statute* |

| Agency Internal Change:

Departments

Subsidiaries

Institutions

Corporate Bodies

Agency Organic Acts |

*Draft Provisional Statute on the Adjustment of the Functions, Businesses, and Organizations of the Executive Yuan

Figure 2: Organigram of the Restructured Executive Yuan

	Ministries / Bodies	Category
	Interior & Homeland Security	
	Foreign & Overseas Chinese Affairs	
	Defense & Veterans Affairs	
	Finance	8 Traditional Ministries
	Education & Sports	
	Justice	
	Economics & Trade	
	Communications & Construction	
	Labor & Human Resources	
	Agriculture	
	Health & Social Security	
	Environment & Resources	5 New Ministries
	Culture & Tourism	
	National Development & Technology	
	Indigenous Peoples	
	Hakka Affairs	4 Commissions
	Maritime Affairs	
	Central Bank	
	Central Electoral Commission	
	Fair Trade Commission	5 Independent Bodies
	Financial Supervisory Commission	
	Information & Broadcasting Comm.	

Premier — Yuan

二、林部長專題報告 PowerPoint 簡報資料

Government Reform and Human Resources –

The Taiwan Experience

Chia-Cheng Lin,
Minister, Ministry of Examination,Taiwan, ROC

30th International Symposium
on Public Personnel Management
Budapest, Hungary

May, 2005

1

Overview

- Foreword
- Structure of Taiwan's central government
- Historical perspective on government reform in Taiwan
- Current organizational reforms in the Executive Yuan
- Legal framework for organizational reform
- Human resources management
- Conclusion

2

Foreword

- **Governmental reform**
  - **Since the 1980's, a worldwide trend under globalization**
    - Influenced by new public management thinking
    - Promotes a corporate spirit
    - Transforms the role and functions of government
    - A model of administrative organization sitting between public and private agencies has emerged
    - Public agencies are likely to include fixed term contracts in managing staffing issues
  - **Enhancing its international competitiveness is a must for Taiwan.**

3

Taiwan's Government Efficiency Ranking in International Competitiveness Surveys

14th in 2000

17th in 2001

24th in 2002

20th in 2003

18th in 2004

19th in 2005

4

Structure of Taiwan's Central Government

Executive Yuan

Legislative Yuan

President — Judicial Yuan

Examination Yuan

Control Yuan

5

A Historical Perspective on Government Reforms in Taiwan

Administrative reform: efforts aiming to enhance performance and improve service to the public

First political level reforms: the functions of the Taiwan provincial government are transferred to the Central Government

Administrative reform: emphasis on three areas -
• organizational
• human resources & services
• legal

Second political level reforms: aim to build an active government with global competitiveness

1997 → 1998 → 2001 → **2005+**

6

Vision, principles and goals of Taiwan government reform

Vision → Active Government with Global Competitiveness

Government Reform Committee
Formed and chaired by President Chen Shui-bian in Oct. 2001

Principles →
•Customer-orientation
• Flexible innovation
• Partnership
• Responsible and ethical government

Goals →
•Simple, flexible administrative organizations
•Professional, performance-oriented personnel system
•Decentralized and cooperative government structures
•Reforms to legislative bodies in step with the popular will

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Organigram of Organizational Reform Committee

Organizational Reform Committee

Formed and chaired by the Premier in May, 2002

Functional Adjustment Group
Subcommittees for:
• Central Administration Agencies
• Central-Regional Partnerships
• People-Government Partnerships

Support Mechanisms Group
Subcommittees for:
• Expenses
• Personnel
• Laws

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Current Organizational Reforms in the Executive Yuan

- **Deficiencies**
  - Excess of horizontally-distributed separate agencies
  - Weak mechanisms for the integrated application of policy
  - Organization unable fully to adapt to transformations in core government functions
  - Too many consultative bodies
  - Articles of charter of independent agencies not clearly set out

- **Reform Goals**
  - Simplification of scope
  - Logical organization
  - Stronger administrative leadership and integration
  - Reasonable distinctions between operations and organization
  - Flexibility

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Premises for Organic Adjustment

Government should not do what the private sector can do

Central government should not do what local governments can do

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Strategies for Organic Adjustment

1. Adopt ' 4 Reforms Strategy' to thoroughly review current duties

Localization	**Central government functions shift downward to local authorities**
Corporatization	**Duties handed to administrative corporate entities**
Outsourcing	**Public functions go to private sector through 'agency' and 'task' outsourcing**
Deregulation/ Privatization	**Unnecessary or inefficient government functions discarded or transferred to the private sector.**

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Strategies for Organic Adjustment

2. 'Block Integration' to decide whether kept functions are:

Retained	in original agency
Assigned	to a newly-created agency
Incorporated	into another agency or Executive Yuan itself

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The Legal Framework for Organizational Reform

- The *Basic Organizational Code for Central Administrative Agencies*
- The *Draft Amendments to the Organic Act of the Executive Yuan*
- The *Draft Provisional Statute on the Adjustment of the Functions, Businesses, and Organizations of the Executive Yuan*
- The *Draft Code for Total Staff Size of Central Government Agencies*
- The *Draft Administrative Corporation Act*

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Interaction of the Five Acts of Reform Legislation

Standards for Organic Structures		Agency Divisions		Stuff Numbers Management		5 Major Adjustments
		Ministries				Organization
Regulatory framework Nature of Institution Quantitative Controls		Commissions		Determination of Numbers		Budgets
		Independent Agencies		Flexibility		Assets
		Executive Yuan per se				Regulations
		Organic Act of the Executive Yuan				Staff Protection
Basic Organizational Code		Agency Internal Change		**Code for Total Staff Size**		**Provisional Statute**
		Departments				
		Subsidiaries				
		Institutions				
		Corporate Bodies				
		Agency Organic Acts				

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The Basic Organizational Code for Central Administrative Agencies

- **Sets out**…
  - The agencies at each level and the names of units within them
  - The items that should be covered by their organic laws
  - The conditions and procedures for their creation, adjustment or abolition
  - Their limits of authority, areas of operation and important positions that can be set up
  - The number and scope of secondary- and tertiary-level agencies under the Executive Yuan, as well as the units within these and standards for their creation

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The Basic Organizational Code for Central Administrative Agencies

- **Effects**
  - The number of secondary- and tertiary-level agencies has been reduced from 36 and 336 respectively to 22 and 50
  - The number of individual departments in secondary-level agencies has been reduced from more than 200 to 104
  - Administrative agencies have the authority to establish fourth-level agencies on their own initiative
  - Administrative bodies have the right to decide staffing matters independently

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The Draft Amendments to the Organic Act of the Executive Yuan

8 traditional ministries

4 commissions

Premier

5 new ministries

Executive Yuan *per se*

5 politically independent agencies
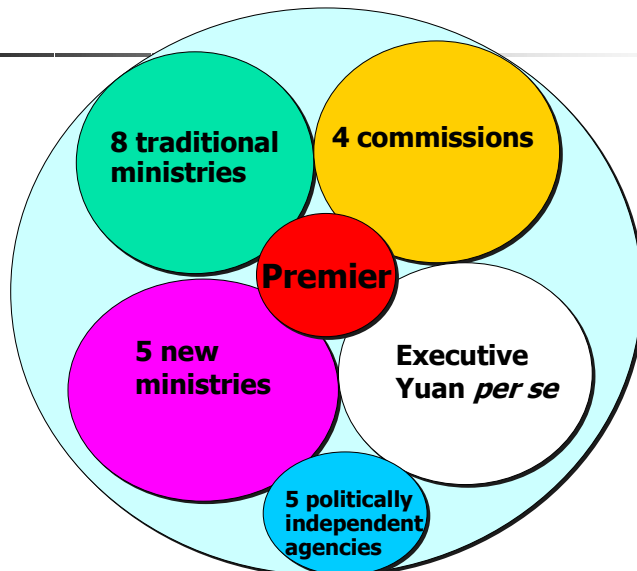
17

Executive Yuan *per se*

- 9 to 11 ministers without portfolio
- a Chief Accountant
- a Director of Personnel
- a Chief Legal Officer
- a Chief of Information Technology

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13 Ministries

8 traditional ministries

- Interior and Homeland Security
- Foreign and Overseas Compatriot Affairs
- Defense and Veterans Affairs
- Finance
- Education and Sports
- Justice
- Economic Affairs
- Transportation and Construction

5 new ministries

- Labor and Human Resources
- Agriculture
- Health and Social Security
- Resources and the Environment
- Tourism and Culture

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Commissions and Independent Agencies

4 commissions

- The National Development and Technology Commission
- The Maritime Affairs Commission
- The Indigenous People's Affairs Commission
- The Hakka Affairs Commission

5 politically independent agencies

- Central Bank
- Central Electoral Commission
- Fair Trade Commission
- Financial Supervisory Commission
- Information & Broadcasting Commission

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The Draft Administrative Corporation Act

- Public administrative corporations can set their own policies for personnel and accounting procedures
- Provides for a suitable system of internal and external oversight and performance evaluation
- Sets out clear frameworks to govern government subsidies, assets management, the contracting of loans and debt management
- Defines rights and protections for civil servants working for a government agency that is transformed into such a corporation

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Human Resources Management

- Complementary set of mechanisms
  - 1. Logical Staffing Arrangements
  - 2. Improving Staff Numbers Management
  - 3. Workers' Rights
  - 4. Strengthening Employees' Core Abilities
  - 5. Training for Changes in Specialization
  - 6. Total Restructuring of Job Classifications
  - 7. Improvements in Examination-based Recruitment
  - 8. Intellectual Capital Management

22

1. Logical Staffing Arrangements

More Intensive Staff Assessments

- Control civil service numbers through budget review process
- Requires all agencies to implement the "4 reforms strategy"
- Forms Human Resources Assessment Service Group to perform personnel assessments

Logical Allocation Of Staff Numbers

- Agencies should determine a reasonable level of staffing, and then reduce their numbers to this level by offering early retirement packages
- Parent agencies should conduct staffing assessments in subordinate agencies & determine any adjustments needed

Slimming Down Of Total Numbers

- Preemptive measures - Guiding Principles for Staff Reduction by Administrative Agencies
- Requires some agencies to reduce staff by more than 4% of current staff, or 100 persons
- No increases may be requested within five years
- Maximum severance bonus is seven full months of salary and benefits

1.1 Current Staffing at central government agencies

2001

2004

Cut by total of 67,493 persons - 18,403 in government agencies and 49,090 in state-owned enterprises - an average annual reduction of 3.57%

200,000 persons set by Code for Total Staff Size

2005:
Budgeted staff size is 193,000

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2. Improving Staff Numbers Management

The draft *Code for Total Staff Size* of the Central Personnel Administration:

Overall Numbers Control

- Six types of staff; an upper limit for central government employees of 200,000; reducing by 2,500 per year for six years
- Proportions for the number of staff to be assigned to agencies' auxiliary services.
- Rights, responsibilities and procedures for determining agency personnel numbers

Flexibility

- Factors to be considered when allocating personnel
- Principles of personnel planning and allocation, cutting staff, opportunities for adjustments or transfers
- Methods and approaches for personnel assessments
- Provisions for the reallocation to secondary agencies of a certain proportion of personnel made redundant
- Agencies may, within the scope of the staff allocated to them, respond to the needs of the agencies directly below them, and make staff planning and allocation decisions

3. Workers' Rights

The *Draft Provisional Statute on the Adjustment of the Functions, Businesses, and Organizations of the Executive Yuan:*

Benefits for Voluntary Retirees

Civil servants

- Eligibility → 20 years of service; 10 years of service and 50 years of age; or, 3 years of service at the highest attainable pay grade
- Pensions → 20 years of service and 50 years of age receive their retirement fund in a lump sum or in a partial lump-sum, partial monthly, or purely monthly, pension arrangement
- Bonus → Up to seven full months of salary and benefits

Other employees

- Benefits → Available according to a person's specific position
- Bonus → Up to seven full months of salary and benefits

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3. Workers' Rights

Protections for the Rights and Interests of Civil Servants

Relaxation of Restrictions for Qualifiers in Special Examinations

Restriction - six years working in the agency sponsoring the examination - is not suitable at the time each agency is restructured

Postings for Transferred Personnel

Rank and grade equivalent to previous post; if allocated to a lower grade, the person shall retain the rank and benefits of his or her original position

Salary and Benefits for Transferred Personnel

Technical, professional and executive emoluments shall be compensated up to the level of their original salary package

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4. Strengthening Employees' Core Abilities

Steps

1. Define employees' core abilities

Core professional abilities

Executive Yuan defined in February, 2004 the six abilities required in middle- and top-executive positions

Core management abilities

Methods for Selection of Core Professional Abilities by Subordinate Agencies required agencies to determine specific core abilities of their operations

2. Assess the command of such abilities

Table for the Assessment of Core Management Abilities at Mid- and High-Executive Levels enables agencies to determine the command of such abilities in their personnel

3.Design personal training and development programs

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4.1 Strengthening Employees' Core Abilities

For high-level executives
(12th grade)
•Creating and shaping vision
•Strategic analysis
•Handling of crises and reforms
•Group motivation and leadership
•Cross-boundary coordination
•Performance management

For mid-level executives
(9th grade)
•Customer-oriented services
•Knowledge management and application
•Time and process management
•Communication and conflict resolution
•Guidance and the passing-on of experience
•Goal-setting and execution.

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5. Training for Changes in Specialization

A January 2005 training plan sets out changes in specializations:

Aims to
Respond to adjustments in the organization and operations of the Executive Yuan
Develop a second area of expertise for civil servants
Enhance the necessary professional abilities of civil service personnel in their current or future positions

Varied training methodologies
Training classes
Study placements
External courses
Digital learning

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6. Total Restructuring of Job Classifications

■Current Job classifications
- ■Last defined in 1987 by the Ministry of Civil Service
- ■At some variance with actual current operations and state of development of government operations

■Re-ordering of Job Groups and Classifications
- ■To fully adapt to the needs that will emerge from the forthcoming government restructuring
- ■Original 31 job categories to be increased to 43
- ■Number of subsidiary classifications to be increased from 60 to 84. Plus, 11 wholly new classifications to meet current requirements.

■Job descriptions have been revised and created accordingly

■New system slated for implementation in 2006

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7. Improvements in Examination-based Recruitment

Simplification and Conflation of Examination Disciplines
- ■To meet the needs of employing agencies, the Ministry of Examination is upgrading coordination of education, examination, training and employment
- ■The number of disciplines addressed in the Senior, Junior and Elementary examinations and civil service rank promotion examinations will be reduced from 563 to 460

Testing for Professional Core Abilities
- ■Efficiency of the examination process will be enhanced through:
  - ■Reductions in the number of subjects to be tested
  - ■Alignment with the contents of job descriptions
  - ■Reference to the desired core abilities determined by the various agencies of the Executive Yuan
  - ■An overall requirement for English-language skills

Modifications to start in 2006...

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8. Intellectual Capital Management

Possible movements of Civil Service elite	Those affected by the '4 Reforms Strategy'	Their jobs may be abolished or transformed, or their agencies shifted from central to local government control
	In agencies that are to be retained in their current forms	May still face staff cuts, mergers, changes of affiliation, reorganization or abolition of posts
	High-level or long-service civil servants who opt for early retirement	Once the law is passed will almost immediately leave the service, move to the private sector or go into teaching

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8.1 Intellectual Capital Management

Promotion of Knowledge Management & Innovations in Agency Core Knowledge

To prevent a hemorrhage of talent during the restructuring process, *Major Points for Improving Research and Innovation in Agencies of the Executive Yuan* requires agencies to utilize knowledge management methodologies to promote work in the areas of research and innovation.

- **Approaches** advocated include:
  - The development of innovation implementation plans
  - The establishment of agency knowledge dossiers
  - Agency personnel data banks
  - Internal knowledge communities
  - Knowledge management platforms
  - Incentive programs to encourage the sharing of knowledge

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Conclusion

- **Effects**
  - Current move to restructure the Executive Yuan will affect the governing structure of the whole country
  - Its degree of success will have a determining influence on the place Taiwan will occupy within the international community in the 21st century

- **Progress**
  - First material steps taken last year with the drafting of essential legislation and the completion of plans for the reorganization of Executive Yuan structures and accessory matters
  - Once the remaining legislation is completed, the new structures designed for a revamped Executive Yuan will be implemented as of January, 2006

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Conclusion

Obtain Support - Government reform requires the support not only of civil servants and legislators, but also of the civil society at large

Next steps - new challenges ahead and a long new road to travel

Government reform – a necessary but risky road from which there is no viable return

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Ministry of Examination,Taiwan, ROC

Thank you

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三、討論議題－背景資料

Innovative Remuneration Systems /Linking Pay with Performance

Introduction

The debate over how best to use compensation as a tool to recruit and retain a high-performing workforce has occurred over the past two decades and is likely to continue.

Pay practices in the public sector through much of the latter half of the 20th century were the grade and step. Pressure has been brought to bear on the public sector to abandon its pay practices and adopt alternative pay practices. In part, this stems from a continuing desire to introduce modern business practices in government, including pay systems that are directly tied to organizational and personal performance.

In February 2005, the United States Office of Personnel Management (OPM) and the Department of Defense (DoD) issued proposed regulations for the new National Security Personnel System. Almost simultaneously, the US Department of Homeland Security issued similar regulations. The new regulations are aimed to make the human resource management system more flexible, effective and responsive to employees' and organizational critical mission need. However, union leaders and some lawmakers have complained that the rights of workers are being eroded and the performance pay proposal is ill suited for those in public service.

One of the main proposals is to have pay increases based on performance and/or contribution to mission success with clear performance expectations linked to strategic department goals and objectives.

What Is Pay for Performance?

Pay for performance is the link between pay (base salary and/or lump sum bonus or incentive payments) and some measure(s) of organizational, work group, and or individual performance. The measures can be objective and driven by data, purely subjective, or any combination. The primary goal is to use the prospect of monetary rewards as an incentive for employees to enhance their contribution to improved or continued organizational performance.
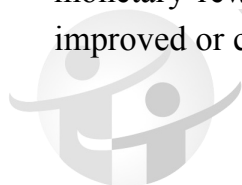
Many organizations know that pay should help drive individual and overall performance, but they struggle to connect pay with performance consistently. The result sends mixed messages to employees, demotivating some and reinforcing the status quo with others. The disconnect can span all elements of an overall pay program but is most pronounced on the cash components including merit—defined as the annual base salary increase—and the annual incentive pay program.

Pay is extremely important to the individual and the organization. Research by the global human resources firm, the Hay Group, reveals that compensation is the primary reason for voluntary attrition among high performers. The loss of high performers is extremely costly and disruptive, including direct replacement expenses (e.g., advertising, search, and "on-boarding" new hires) and indirect opportunity costs (e.g., lost sales, lower productivity, and customer defections). Beyond helping to retain high performers, pay programs have the potential to align and focus employee behaviors to achieve essential operational and strategic objectives. As a result, organizations invest tremendous amounts of time and money to design, administer, and deliver competitive pay programs for their employees.

Why Change Pay Systems?

In most cases, the grade and step systems popular in the public sector have allowed for pay progression based on years of service (seniority), and have not clearly tied pay progression to performance. Such systems promote internal equity and can also meet the demand for market sensitivity (external equity), but generally do not motivate employees to elevate their performance above their peers. Although many organizations have tried to incorporate performance into the pay process, often through "merit pay," the results have not been entirely satisfactory. The lack of an embedded performance culture and the inability to establish effective performance measurement systems have prevented merit pay systems from reaching their full potential. Nonetheless, many organizations continue to pursue merit pay and similar approaches as a means of making performance a consideration in pay management. This is especially true in the public sector, where political pressure to establish some degree of accountability for organizational performance has come to a head in the past decade.

The difficulty in measuring an individual's impact on the organization's performance, coupled with the uncertainty of payouts, tend to work against the adoption of variable pay systems in the public sector, where stability and predictability are often paramount objectives. Unions often oppose variable pay or pay-for performance programs based on a fear that bias will cloud the pay determination process.

Introducing a performance related pay system will not be a panacea for organizational ills. Its implementation has to be approached with careful consideration of a number of key factors. A report by the Organization for Economic Cooperation and Development (OECD) on <u>Performance-related Pay Policies for Government Employees: Main Trends in OECD Member Countries</u>, based on information collected through an OECD survey on Strategic Human Resources Management in the Public Sector (2004) and on 11 country reports (Denmark, Finland, France, Germany, Italy, Korea, Spain, Sweden, Switzerland, United Kingdom, Chile) indicates that performance pay is an appealing idea, but that experience shows that its implementation is complex and difficult. According to the report, the introduction of performance pay raises many problems (cost of the scheme, under-estimation of the time and work involved, lack of preparation of line management). The performance evaluation process itself is the source of the greatest number of problems (opacity of the process, lack of differentiation among staff). Overall, inadequate infrastructure for performance management and lack of managerial delegation are serious obstacles to performance related pay (PRP).

The report on PRP indicates that the impact on motivation is ambivalent: while PRP does motivate a minority of staff, it seems that a large majority do not see PRP as an incentive. However, further investigation suggests that in the right managerial framework, the processes that accompany PRP have to some degree produced positive results, in terms of reorganizing work, setting objectives, clarifying tasks and handling recruitment. When PRP is introduced as a window of opportunity for wider management or organizational changes -- such as effective appraisal and goal-setting processes, increased dialogue with managers, more teamwork and more flexibility in the work -- PRP can be the catalyst that allows these changes, thus positively impacting performance.

Can Pay for Performance Work?

Through a pay for performance system an organization can acknowledge that quality, quantity of work and results can be recognized through awards and pay increases. The success of pay-for-performance policies rides on performance planning, measurement, and management practices. Managers and employees alike need to know performance management is a priority. Managers need to invest the time and they need adequate training. Their success as managers has to ride on the performance of their unit.

An essential component to implementing a pay for performance strategic focus is an understanding at all levels of the organization of how individual and group efforts impact on the achievement of the organization's objectives. There must be a clear connection from the individual employee to the organization's goals and objectives. Without this, there is no realistic opportunity to embed a strategic focus and a performance culture in the organization.

In the report *Pay for Performance: A Guide for Federal Managers*, it states that, the switch to a pay-for-performance policy is much more likely to be accepted if managers and employees understand why the change is necessary, what to expect, and the steps that are planned to ensure it will be fair and equitable. Initial discussions should cover these basic issues:

■ Will the pay-for-performance policy be limited to salary increases, cash awards, or both?

■ Is the purpose to motivate employees to reach higher levels of performance? Should awards be limited to employees who exceed expectations? All "fully successful" employees?

■ Is there a reason to develop a specific plan to reward team or group performance? Who should participate?

■ Is the organization ready to link pay to the organization or program goals? Do employees understand the goals? Is there a need to do a better job of communicating results?

■ Is the purpose to provide a focus on organizational goals or individual performance goals, or both? Do employees have an adequate connection to the goals?

■ Do employees understand current reward practices? How do they view those practices?

- Is the organization investing enough in cash awards? Are the awards going to the right people?
- Does the organization adequately understand the impact of current reward practices? What practices should be continued?
- Is the current performance management system ready for the new policy? Do managers have the skills to be effective in performance management? Is the process credible to employees?
- Does the agency use non-financial rewards effectively? Should the use of non-financial rewards be broadened?
- How should the effectiveness of the new policy be evaluated?

The answers to these questions will serve as the foundation for planning the work necessary to support the change in policy. It is important that top management agree on the answers so they can communicate their solid support.

Successful Performance Management is Key

A key element of a successful pay-for-performance system is a performance measurement and reporting system that is accepted by both management and employees. Such a system must be capable of making meaningful distinctions among employees, and provide managers with the information needed to make decisions on pay and other employment issues. This performance management system must be viewed by both managers and employees as fair and objective.

Management of rewards should also have a clear and explicit linkage to the management of performance. It is not prudent to separate rewards and performance management. Performance planning and measurement is integral to both. The rewards should be used to recognize accomplishments that go beyond expectations or work situations that were unexpected. In most public sector organizations, base salaries are intended as the reward for meeting work expectations. That suggests that added rewards should be limited to employees who exceed expectations. Performance expectations are based on an employee's position description and the duties that are understood to be part of the job. Supervisors should therefore be held accountable for discussing job duties and reaching agreement with subordinates on expected performance levels.

Principles Related to Reward Management

When rewards are linked to specific results, it sends a powerful message related to management's priorities.　Employees perform at higher levels when they know what needs to be accomplished. The "rules" for earning awards need to be transparent and managed consistently. That applies to the reasons for the awards, the amount of the awards or the basis for determining the amounts, and the timing of the awards.　Employees need to know what they can expect if the awards are to be viewed as "fair." Managers need to be able to explain and defend all awards. If there is a perception of inequity, it can undermine the view of awards.

This new responsibility of managing salary increases will change the role of managers and their relationship with direct reports. For many, this will not be an easy transition. Some managers will argue, "All my people are good employees and deserve a pay increase." That should not be an issue. However, in every group a few people will stand out who accomplish more than others. The goal in pay for performance is to recognize the stars and grant them increases higher than the norm.

There is also a concern that it will undermine teamwork.　Teamwork can be one of the criteria for evaluating employees. If true teamwork is important, it can be reinforced with team bonus awards. What is essential is that all employees understand what they can expect. That communication is basic to the new policy. The organization has to take the lead, but supervisors should discuss the new policy with their staff. Developing a shared understanding of how the change in policy will be handled is a key step.

The new policy will make it much more important to develop effective performance management practices. Pay for performance will quickly become a problem if supervisors do not approach their responsibility for defining and communicating performance expectations as a priority. Ideally those expectations and year-to-date progress should be the subject of several discussions throughout the year.

Regardless of how organizations decide to assess performance, it will be up to each supervisor to work with their employees to discuss and reach agreement on performance expectations. The more specific the planned performance levels, the easier it will be to avoid problems. Solid plans make it easy for employees to track

their progress throughout the year. There should be no surprises in the year-end ratings. When ratings are based on verifiable performance criteria, they are more defensible.

One way of addressing the problem of biases or inflated ratings by some managers is to have a "calibration committee", that considers the ratings of all employees across the organization and decides which employees truly are stars and which are the few whose performance is below acceptable levels. The new role of the manager will require the development of new supervisory skills. Organizations will need to provide sufficient training to their managers.

Here are some recommendations for creating successful pay-for-performance systems and policies.

- Leaders of the organization should play a prominent and visible role in championing and planning the changes.
- Document, evaluate, and understand current reward practices. This entails careful consideration of the existing performance management system as well as cash awards. It will be useful to ask managers and employees how they view these practices.
- Have constant communications about the reasons for and the importance of the change.
- Involve stakeholders such as the labor unions early in the process.
- Provide a point of contact within the human resource department for managers and employees to contact when they have questions or experience problems.
- Prepare a statement that clearly and succinctly articulates the goals in changing the policy. The goals need to be positive and clearly intended to benefit the organization.
- Commit to adequate training for managers. Training is essential to make them comfortable with their new responsibility. The training should involve opportunities to practice new skills. In addition to the training, it would be highly advantageous to make coaching and advice available to managers.
- Managers should be accountable for managing the salaries and rewards of their staffs.
- HR professionals will need to act as consultants and be ready to work with managers to maintain consistency and a sense of equity, especially across a

large organization. For pay for performance to be successful, employees need to have confidence they will be treated fairly.

■ The ratings process should have a second level of approval along with organization-wide monitoring. It is important to review the justification when an employee is rated as outstanding and for those few that are rated as unsatisfactory. Managers should be responsible for documenting an employee's accomplishments as well as any performance problems.

■ The management of performance and rewards should be reflected in the evaluation of the performance of managers. Their effectiveness in managing the performance of their people should affect their compensation.

■ Employees will need to understand that the funds for increases will be distributed differently, but the total budget for salaries will not be reduced.

■ The discussions of expectations and results should be ongoing. This reduces the prospect that year-end ratings will be a surprise. At a minimum, there should be a mid-year performance discussion. Then employees have an opportunity to change the way they approach their jobs if that is to their advantage.

■ Organizations that want to recognize and reward high performers should plan to redesign their performance management system. The dynamics of pay-for-performance will place more pressure on the performance rating process. Organizations need to determine if they want to grant employees the right to appeal ratings and rewards.

■ It is important that award funds be budgeted. A well-planned and managed incentive policy would justify the cost by triggering improved performance.

■ Non-cash rewards should also be encouraged. Organizations can also benefit from bringing employees together to highlight and celebrate employee accomplishments.

Conclusion

If pay for performance is in your future, you would be well advised to identify exactly what you expect of a pay-for-performance system. Only then are you ready to begin designing your system. Successful implementation can be enhanced if your organization has adopted a performance culture and is ready to measure and reward employees for their contributions.　It has the best chance of succeeding if it is part of an integrated change strategy focused on improving performance. With that in mind, it will contribute to the creation of a performance culture.

Its success will also require commitment by managers to making it work. They need to understand that the change in policy is an organizational priority that has top management's solid support. It is advantageous for organization leaders to go public in their support for the change in policy. The organization in turn will need to invest in the development of the skills needed by managers and support them in the face of any criticism.

It is important to emphasize that there is no one-size fits all formula.　Each organization will have a different way of managing pay and performance. A main key to success is the involvement of managers and employees in developing the policies and practices governing pay. That creates an environment with broad support and ownership for the new policy.

In many respects, the performance management system will be more important than the pay policy. Employees need to be confident they will be treated equitably in relation to other employees when it comes to fairness and consistency in the management of performance ratings and salary increases. Setting clear goals, establishing a culture of dialogue and differentiated rewards, and having top-down support, will align employee behavior with organization goals and create the foundation for an engaged and productive workforce.

Some questions Symposium participants may wish to discuss include:

1. What is the current compensation system of your organization and what aspects of the system are innovative?

2. Does your organization have or are you planning to move to a pay-for-performance system? If so, what steps did you take to ensure successful implementation? What were the obstacles and barriers that you have encountered?

3. Are all levels of employees included in the pay-for-performance policy or only certain groups of employees?

4. What type(s) of performance management systems are used by your organization and if you have implemented pay-for-performance did you redesign your performance management system? How effective are the performance management systems?

5. Did you provide special training for managers on the pay-for-performance system and how effective have they been in implementing it?

6. If you have labor unions, what is their position on a pay-for-performance system? If you have implemented pay-for-performance, how did you overcome their concerns?

四、討論議題－引言報告 PowerPoint 簡報資料

Designing A Cutting-Edge Performance Management System

IPMA-HR 30th International Symposium
on Public Personnel Management
Budapest, Hungary
May 16, 2005

Steve Nelson
Director, Office of Policy and Evaluation
U.S. Merit Systems Protection Board

1

U.S. Merit Systems Protection Board

🏛 Successor to Civil Service Commission

🏛 3 Presidential Appointees Confirmed by Senate

🏛 Bipartisan

🏛 Independent

🏛 Quasi-judicial

2

Chairman – Neil A.G. McPhie

- Appointed April 23, 2003
- Confirmed Chairman on November 21, 2004
- Served as Acting Chairman since December 10, 2003 when he was designated by President George W. Bush to be Vice Chairman
- Term expires on March 1, 2009

3

Member – Barbara Sapin

- Member since November 21, 2004
- Nominated by President George W. Bush
- Acting Chairman from December 2000 to December 2001
- Term expires March 1, 2007

4

Federal Civil Service Agencies

Adjudicatory Agencies				Policy Agencies	
EEOC	FLRA	OSC	MSPB	OPM	Other
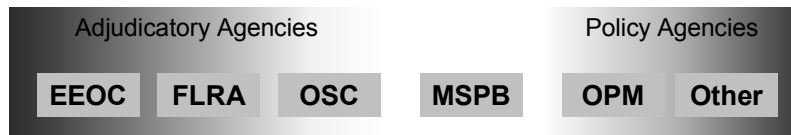
EEOC –	the Equal Employment Opportunity Commission. Investigates and resolves discrimination complaints.
FLRA –	the Federal Labor Relations Authority. Resolves issues related to collective bargaining and labor practices.
OSC –	the Office of the Special Counsel. Receives whistleblower disclosures; investigates allegations of prohibited personnel practices and violations of the Hatch Act (improper political activity). Formerly part of MSPB.

5

Federal Civil Service Agencies

Adjudicatory Agencies				Policy Agencies	
EEOC	FLRA	OSC	MSPB	OPM	Other
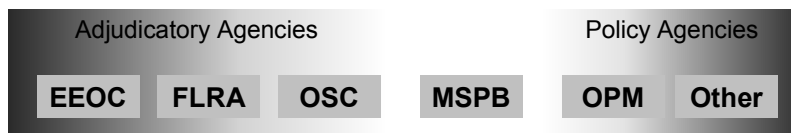
OPM –	the Office of Personnel Management. Issues regulations under title 5, the law governing most civil service hiring, pay, and management. Oversees agency compliance with title 5. The OPM Director is tied to the current Administration.
Other Agencies	Congress has authorized some agencies, such as the Department of Defense and the Department of Homeland Security, to develop their own HR systems and policies.

6

MSPB Objectives and Functions

Objective	Function
Protect employees from abuse	Adjudicate appeals from personnel actions • Terminations • Demotions • Suspensions > 14 days • Reductions in pay • Others
Personnel decisions based on merit	
Freedom from prohibited practices	
Personnel policies and practices based on merit	Study OPM policies and agency practices

7

Balance of Interests

Merit-Based Civil Service

Individual Rights

Management Flexibility

Efficiency of the Service
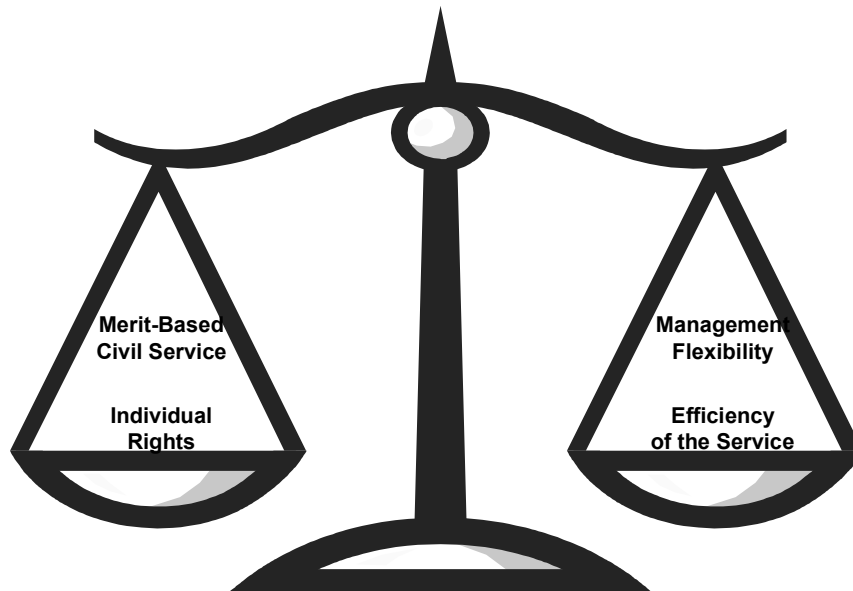
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OPE's Role

- An independent, nonpartisan perspective
  - Distinct from GAO (a Congressional agency)
  - Distinct from OPM
- Objective information on Federal human resources management (HRM) that −
  - Supports strategic, merit-based HRM
  - Educates, provides solutions, or recommends improvements
- Ensures the public's interest in a merit-based civil service

9

Using Pay for
Performance
to Effectively
Recruit,
Retain, and
Motivate the
Workforce

A Report to the President and the
Congress of the United States by the
U.S. Merit Systems Protection Board

10

Highlights of Performance-Based Pay in the Federal Civil Service

1954	Incentive awards program greatly expanded to encourage managers to reward outstanding contributions
1962	Federal Salary Reform Act provided managers with the quality step increase to reward top performers
1978	Civil Service Reform Act authorized: • Performance appraisal reforms • Large cash awards for employees • Merit pay and cash awards for GS-13-15 managers • Establishment of SES and performance incentives • Demonstration projects
1980-1982	Bonuses initially limited to 25 percent of salary and later reduced to 20 percent of career SES members
1984	Congress created the Performance Management & Recognition System (PMRS) to replace merit pay for mid-level managers
1989	Agencies covered by the Financial Institutions Reform, Recovery, and Enforcement Act (FIRREA) received authority to develop their own pay systems

11

Highlights of Performance-Based Pay in the Federal Civil Service (Cont.)

1990	Concerns about pay resulting in recruitment and retention problems led to the Federal Employees Pay Comparability Act (FEPCA)
1993	Performance Management & Recognition System (PMRS) terminated
1995	• Performance management systems decentralized • FAA received authority to develop a new compensation system
1998	IRS received authority to redesign its pay system
2000	OPM decentralized control of SES performance ratings
2002	Homeland Security Act created DHS and provided authority for it to design its own pay system
2003	• National Defense Authorization Act for Fiscal Year 2004 granted DOD authority to develop and implement a new pay system • Human Capital Performance Fund established
2004	SES pay for performance plan implemented

12

A Comparison of Private and Public Sectors

Issue	Private Sector	Public Sector
Current use of performance-based pay	Two-thirds to three-fourths of companies report using some form of variable pay	Less than half have ventured outside of the General Schedule or a similar pay plan
Nature of the performance-based increase	Annual bonuses are most common	Annual cash awards, quality step increases, within grade step increases (when eligible)
Size of increase	Varies greatly by industry and level, but often sizeable (e.g., 30%)	Relatively small percent, generally less than 4% of salary
Stability of salary levels	Fluctuates from year to year since bonuses place a larger percent of salary at risk	Stable, with the expectation of gradual increases over time
Transparency	Secrecy often enforced	Somewhat open-salary levels tend to be common knowledge; the value of awards given to individual employees is not typically publicized within an organization, although this information is publicly available

13

A Comparison of Private and Public Sectors (Cont.)

Issue	Private Sector	Public Sector
Stereotypical motivation of employees	Money	Public service
Accountability	Customers, Shareholders	Congress, President and public
Customer satisfaction	Customers usually have a choice	Agency may measure customer satisfaction, but is often the only service provider
Measurable outcomes	Often use sales figures or quantity produced	Accomplishments may be more difficult to quantify
Management philosophy	At will employment, pay decisions at company's discretion	More concern for employee rights; employees entitled to increases

14

General Schedule vs. Pay for Performance

Issue	General Schedule	Pay for Performance
Goal	Ensure internal equity (equal pay for equal work)	Pay top performers more than average or poor performers
Pay based on	Position and level which largely reflect tenure (especially for career ladder promotions and within grade increases) when minimal performance standards are met	Employee and/or organizational performance during the rating period
What drives pay increases	Tenure (time in grade/step) if performance is acceptable	Individual contributions and/or organizational performance
Who determines pay increases	Virtually automatic with completion of time required although the supervisor has the authority to grant quality step increases or deny the within grade increase	Usually the supervisor and/or other levels of management (including top executives)

15

General Schedule vs. Pay for Performance (Cont.)

Issue	General Schedule	Pay for Performance
Breadth of pay ranges	Narrowly defined in terms of 15 grades with 10 steps each (for vast majority of workforce)	Frequently very broad pay ranges (e.g., 100% of salary level)
Classification for pay purposes	Typically many very specific job classifications with associated grades/levels	Often large groupings of similar jobs in a single pay band
Predictability	Employees basically know what to expect year-to-year as increases are virtually guaranteed with acceptable performance	Pay increases can vary widely and only those who performed at a very high level receive increases
Transparency	Employees generally know what their coworkers earn and why	Employees rarely know what their colleagues earn or why. Although they know the band boundaries

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Performance and Rewards

When a pay for performance system functions well:

1) Outstanding performers receive the greatest rewards, encouraging continued high performance

2) Average performers receive smaller raises, but maintain "buying power" to inspire higher performance and reward levels

3) Poor performers receive no increase to motivate improved performance or departure

17

What is the goal of a performance management system?

Align individual performance with mission

→ Improve organizational performance

18

What factors result in success ?

- Organizational culture
- Performance Management System
- Communication
- Pay for Performance
- Organizational Performance

19

Engaging hearts and minds

Performance Management System

Supervisory Behavior

Pay for Performance
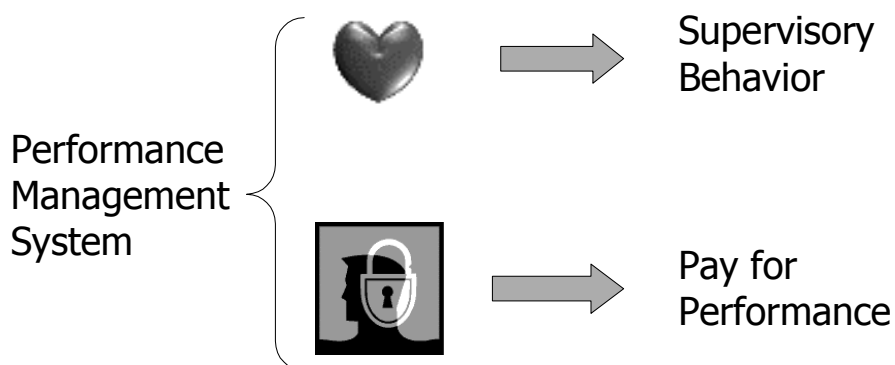
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What sets the stage for high performers?

Prerequisites of high performance

Performance Management system

Organizational culture

Managerial quality

Formal performance review

Informal performance feedback

Day-to-day work

Job opportunities
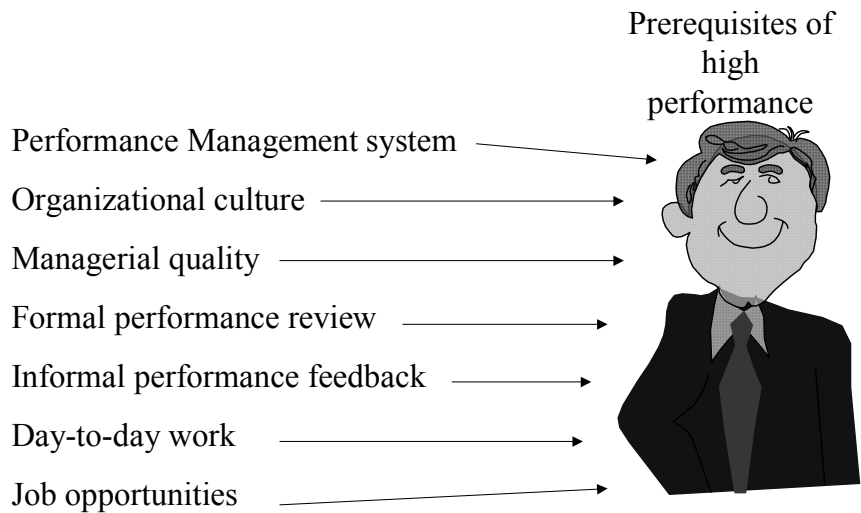
21

Performance Drivers: Performance Management System

Maximum impact of performance management system on employee performance

Connection and Understanding
Mean = 12.9

Fairness and Credibility
Mean = 3.1

Content
Mean = 1.6

High 40

Change in Performance

30

20

10

0

-10

Low

36.1

5.8

5.2

4.6

3.7

3.6

3.0

2.0

8.1

1.4

0.2

-0.1

-1.6

Employees' understanding of performance expectations

Employees' accountability for "Things that matter"

Employees' understanding of "How the system works"

Link between performance management system and organizational strategy

Extent to which employees receive performance ratings they deserve

Fairness of performance standards

Presence of Grievance Procedures

System credibility

Presence of 360-degree review

Presence of employee development plan*

Challenge and applicability of development plan*

Use of Rank-Ordering*

Number of formal reviews received*

*Total effects below traditional levels of statistical significance (t<2.0).
Source: Corporate Leadership Council 2002.

22

What are the 3 top ways to obtain connection and understanding?

1. Communication

2. Communication

3. Communication

Performance appraisals don't manage performance!

23

What good communication helps

- Establishing working relationships
- Clarifying expectations
- Providing continuous feedback
- Coaching
- Engaging employees in planning and development
- Recognizing success

Source: OPM, "Performance Management Competencies: Communication Skills," Workforce Performance, Spring 2001. 24

Where Does Pay for Performance Fit In ?

- Preparation for cultural change of moving to pay for performance.
- Building solid foundations based upon clear communication.
- Supervisory Accountability
- Emphasize employee communication
- Developing trust in supervisors and the system.

25

Pay for Performance is a better way to pay

- Meets the merit principle of equal pay for work of equal value and reward excellence.

- May be fairer than the GS because it recognizes contributions, not tenure.

- Helps recruitment and retention of HiPos.

- Shows little evidence of moving organizational performance *by itself.*

26

Impact of Pay on Employees

- Top pay increases　⟹　Retention of "superstars"

- Average pay increases　⟹　Impact on "B" employees

- No pay increases　⟹　Turnover of underperformers

27

What motivates employees?

Percent including factor among their top three

Personal pride or satisfaction in my work	80
Desire to make a contribution	54
Monetary award	27
Public duty	23
Desire to help work unit meet goals	21
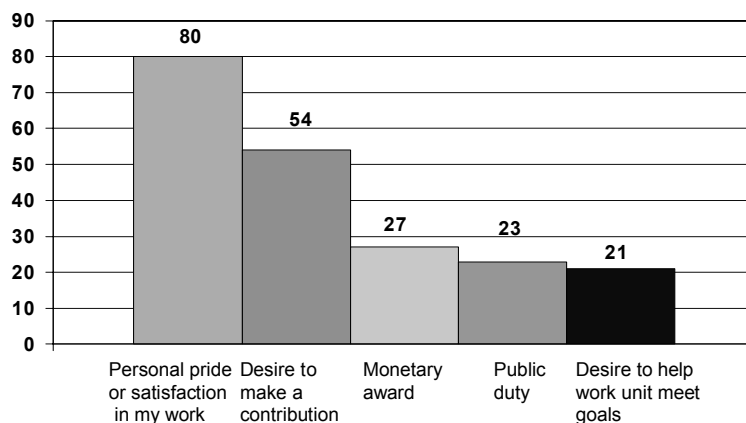
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Increasing Organizational Performance

- Employee performance

- Organizational performance

- Whole is greater than the sum of the parts

- Increasing the B players as well as the superstars

29

Corporate Leadership Council Research

- Pay for performance helps recruitment and retention of high performers

- Pay for performance does not necessarily improve organizational performance

- Employee engagement is the key to improving organizational performance

30

Employee Engagement

The extent to which employees commit to something or someone in their organization and how hard they work and how long they stay as a result of that commitment.

31

Components of Engagement

Rational Commitment:	Emotional commitment:
Are the employee's financial, developmental or professional needs being met?	Does the employee value, enjoy and believe in their job, manager, team, or organization?

32

Impact on Outcomes

Engagement

– Rational　　⟹　　Attraction/Retention

– Emotional　　⟹　　Discretionary Effort

33

Relationship between Pay for Performance and Employee Engagement

- Allow pay setting flexibility to attract and retain high performers.

- Emphasize new supervisory behaviors facilitating emotional commitment.

- Aligning employee effort to mission.

- Supervisory behaviors affect employee engagement.

34

Supervisory Behaviors Maximizing Discretionary Effort

- Clearly articulates organizational goals
- Sets realistic performance expectations
- Adapts to changing circumstances
- Helps find solutions to problems
- Demonstrates honesty and integrity
- Possesses job skills
- People in the right roles at the right time
- Commitment to diversity

35

Opportunity for Significant Improvement and Innovation

- Jointly building the performance evaluation system
- Incorporating checks and balances to ease suspicions and raise trust levels
- Developing open communication of goals and results
- Building trust in the fairness – transparency
- Continually evaluating the system

36

Features of a Successful
Pay for Performance Environment

Culture:

- Leadership commitment
- Communication
- Trust between supervisors and employees
- Supportive personnel systems

37

Features of a Successful
Pay for Performance Environment (Cont.)

Supervisors' Role:

- Treat employees fairly when assigning work, evaluating performance, and allocating rewards

- Provide continuous, accurate, and meaningful feedback

- Provide assistance for poor performers to improve performance

- Supervisors must be able to exercise the necessary discretion to make personnel decisions

38

Features of a Successful
Pay for Performance Environment (Cont.)

Performance Evaluation:

- Performance measures have been carefully designed, including the most critical outcomes

- Performance is evaluated at the appropriate level

- Employees understand how their individual performance supports organizational outcomes

39

Features of a Successful
Pay for Performance Environment (Cont.)

Fairness:

- Checks and balances are present

- Performance Management System is viewed as fair

- Pay and awards are distributed according to performance

- Supervisors and managers are held accountable

40

Features of a Successful
Pay for Performance Environment (Cont.)

- On-going training for supervisors and employees
- Adequate funding is ensured
- Continuous evaluation
  - Accomplishment of objectives
  - Impact on employee attitudes, engagement, satisfaction, performance

41

Creating a New System

"… whatever the rules are, whatever the processes agreed to, a lot of this is going to depend on trust."

--- DHS SRC Member Pete Smith, President and CEO, Private Sector Council

42

Creating a New System

In a more flexible system, to what extent do you think your supervisor would exercise the following authorities in a fair and effective manner?

Legend: Great Extent | Considerable Extent | Minimal or No Extent
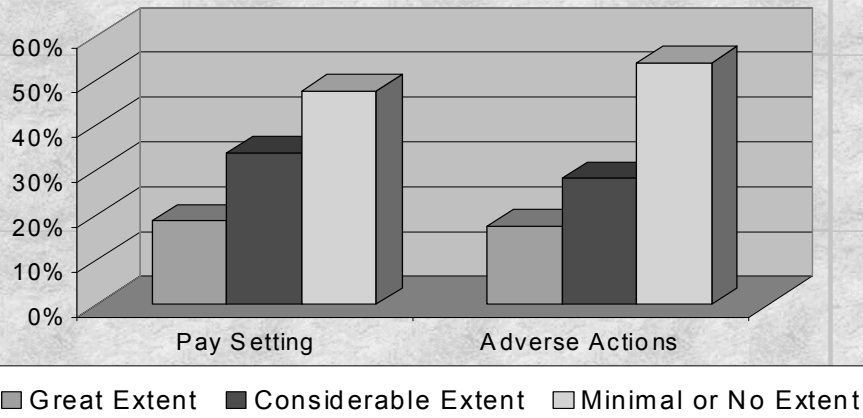
Results from the 1996 Merit Principles Survey

Motivating Performance Through Pay

Potential Benefits

Conveys how much the organization values an individual.

Recruitment and retention of high performers and turnover of low performers.

Increased performance levels.

Clarify performance expectations and pay attention to measurement and feedback.

Improve accuracy and perceived fairness of performance evaluations through a checks and balances

Performance improvements may fund recognition programs.

Value

The employee must value the prospective reward.

ROI

The value of the reward must exceed the costs of performance to the employee and coworkers.

Performance

Performance must be measurable, attributable to the individual, and attainable.

Outcome

The employee must believe that increased performance will be recognized.

Cautions

Money may not motivate.

May harm cooperation, information sharing, and group performance.

Poorly conceived expectations and measures may produce undesirable outcomes.

Requires rigorous collection and evaluation of data.

Perceptions of unfair performance ratings.

Low levels of trust

Funding is often limited and unpredictable.

44
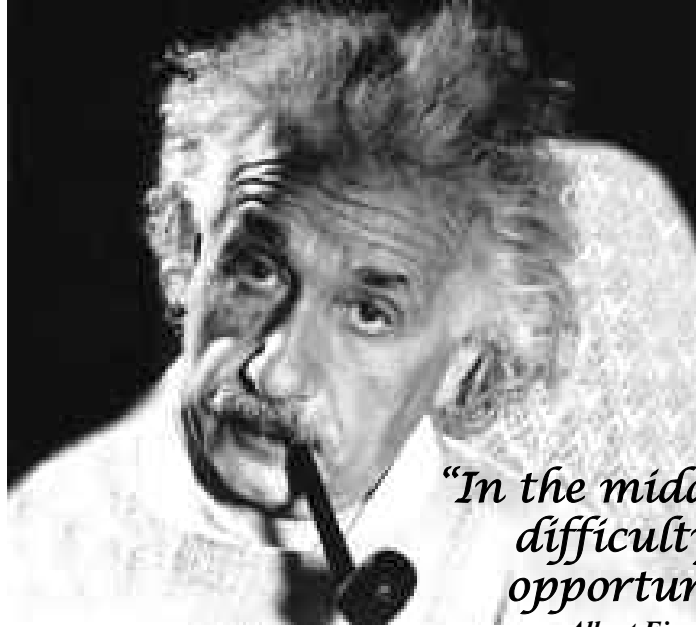
"In the middle of difficulty lies opportunity."
Albert Einstein

45

Opportunity for Significant Improvement and Innovation

- Jointly Building the Performance Evaluation System.

- Incorporating checks and balances to ease suspicions and raise trust levels.

- Open Communication of goals and results.

- Building trust in the fairness – transparency.

- Continually evaluating the system.

46

How Is This Accomplished ?

Role of Performance Management	Increased individual performance	Organizational performance

Role of Performance Management

- Increase discretionary effort
- Increase organizational commitment
- Clarify expectations
- Retain high performers
- Deal with marginal employee
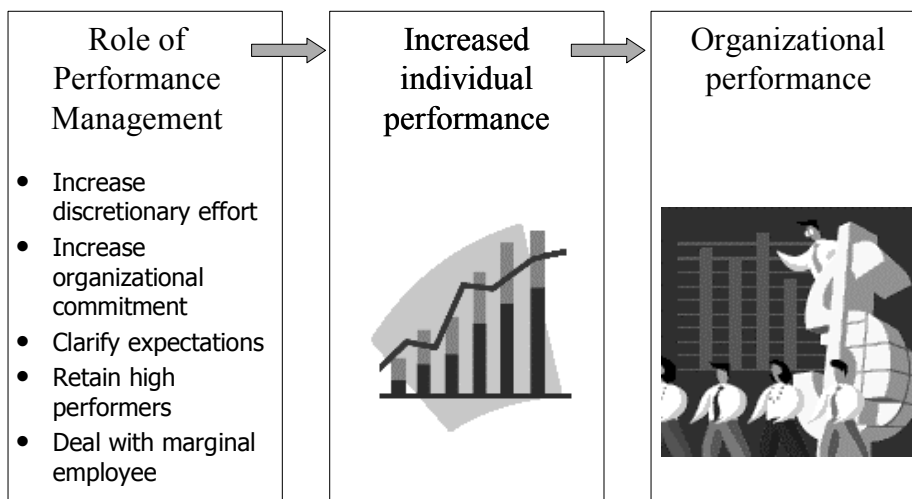
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The Key to Success ?

- Treat it as a major cultural change
- Plan it out

48

Disciplines of Sustainable Growth

- 70% not engaged at work

- Longer you stay –less engaged

- Talents rarely change

- Most improvement potential in strengths

49

Hold all employees accountable for their local performance outcomes.

50

Disciplines of Sustainable Growth

- Teach employees to identify, deploy and develop their strengths.
- Align appraisal systems around these factors.

Design and build each role to create world class performers in the role.

五、議題一分組座談發言內容簡報

Performance Management and Performance Pay System in Taiwan

Medium-term Strategic Plan → Annual Implementation Plan → Implementation → Performance Evaluation → Performance Pay System

Medium-term Strategic Plan	Annual Implementation Plan	Performance Evaluation	Performance Pay System
•Vision of agency •Strategic performance objectives(Business/Human resources/Expenditure) •Performance indicators(Individual/Common) - outcome oriented •Assessment organ •Assessment methods •Assessment criteria •Annual performance target •Planning content •Expenditure requirement •Strategic plan, once approved, must open to the public	•Agency annual performance target •Unit working target •Unit working items •Implementation steps •Planned completion date •Expenditures • Performance indicators •Performance target •Weighting •Assessment methods •Assessment criteria •Individual performance indicator •Plan must fit with agency's annual budget	•Annual Performance Report(Foreword, how targets are achieved, reflection of goal unachieved items, performance self-evaluation) • 2nd level agencies submitted to RDEC* for evaluation •3rd level agencies submitted to their charging 2nd level agencies for evaluation •Each agency has to form Performance Evaluation Committee to assess its internal units' performance, as well as individual employee's performance	•Incentive measurement •Merit awards •Cash rewards – bonus for 　•CEO 　•Unit(80%) 　•Individual employee (20%) •Equal or rotated distribution of bonus for employees is prohibited

*The system is applicable for all levels of administrative agencies, including central and local governments.
*RDEC refers to the Research, Development and Evaluation Commission of the Executive Yuan

六、討論議題二背景資料

Managing the Complete Public Sector Lifecycle

Introduction

Governments are facing considerable challenges that include globalization, economic competition, social and political changes, technology, security and threats of terrorism, and a changing labor market. To deal with these challenges, governments must be able to recruit and retain a skilled workforce.

People or human capital is the most important asset of any organization. The employees of an organization define its character, affect its capacity to perform and represent the knowledge base of the organization. Organizations need to develop a strategic approach to human resource management since this will assist the organization to achieve results and pursue its mission.

Managing the complete public sector lifecycle can be viewed as a part of workforce planning. The workforce planning efforts can enable an organization to be cognizant of and prepared for its current and future needs including the size of the workforce, its deployment across the organization, and the knowledge, skills, and abilities needed for the agency to pursue its mission. This planning will entail the collection of data on the distribution of employee skills and competencies, attrition rates, projected retirement rates and retirement eligibility by occupation and organizational unit.

In order to attract and retain a competent workforce, employers must offer high quality jobs and working conditions that will allow employees to use their abilities to the fullest. Employers should strive to provide specific conditions such as:

- A pleasant physical environment where the work is performed.
- Job designs that allow employees to use their abilities in ways that allow for professional and personal growth.
- Flexible schedules that are family-friendly and enhance the professional and personal lives of employees.
- A work environment where individual rights are protected.

- Teamwork and communication that allow employees to be aware of what is occurring and to participate meaningfully in decisions that shape organizational goals and their own careers.

Managing the complete public sector lifecycle involves examining how the organization can effectively manage and develop employees from recruitment through retirement and includes all of the human resource issues that are encountered along the way, such as training and development, compensation, performance management, promotion, and leadership development. Organizations need to invest in their human capital in order to ensure that public services are delivered in the most effective and efficient manner possible. Organizations that make the needed investment in their workforce should effectively manage employees throughout their careers in order to maximize the return on the investment.

Workforce Planning

The National Academy of Public Administration located in the United States has identified the following critical success factors for effective workforce planning:

- Management commitment and support
- Human resources staff support
- Employee involvement
- Linkage to other plans such as strategic plans and financial plans
- Quality planning data
- Implementation strategy
- Communication

Based on a recent survey undertaken by IPMA-HR, workforce planning does not occur in many public sector organizations in the United States. Of the 97 survey respondents, only 36 respondents indicated that their organization has a workforce planning process. The majority of those respondents who have a workforce planning process developed their plan within the last two years. This response is similar to surveys taken of the private sector in the United States.

Some benefits of workforce planning include: 1) more efficient utilization of employees through accurate alignment of the workforce with strategic objectives; 2)

ensuring that replacements are available to fill important vacancies, 3) providing realistic staffing projections, 4) ensuring that recruitment resources are more efficiently and effectively used, 5) providing better-focused investment in training and development, and 6) assisting with diversity efforts.

Recruitment and Selection

The ability of governments to respond effectively to the challenges it faces rests largely on its ability to recruit and retain a talented workforce. Unless recruitment and selection is done well, all of the other elements of the employee lifecycle will be more difficult to manage.　Emerging trends in recruitment and selection have been described in an article by Robert Lavigna and Steven Hays entitled "Recruitment and Selection of Public Workers: An International Compendium of Modern Trends and Practices" that was published in the Fall 2004 issue of *Public Personnel Management*.　The authors identified trends in the categories of procedural changes, process innovations and technological applications.

Governments are working to make their entry procedures more user-friendly and open. Other procedural changes are designed to make government more attractive to applicants and current employees. Increasing employee retention is part of recruitment since higher retention rates can translate into lower recruitment needs. Examples cited in the report include:

■ Eliminating arbitrary rules and regulations such as the "rule of three" that restrict choices of hiring managers. Speeding the appointment process also can assist with the recruitment effort.

■ Adopting flexible and appealing hiring procedures. Governments need to make the application process more inviting and offering flexibility in the scheduling of interviews and examinations.

■ Screening applicants quickly. Some governmental organizations only require applicants to submit a resume. There are employers who permit the immediate hiring of applicants whose college grades are sufficiently high.

■ Validating entry requirements and examinations to ensure they are job relevant. There has been a growing trend towards performance-based tests, assessment centers, and biodata.

■ Improving interview reliability by training interviewers, using group interviews, and expanding the use of structured interviews.

■ Adopting worker friendly policies. These can include flexible hours, telecommuting, family-friendly policies, and good working conditions.

■ Creating more flexible job descriptions. Research has shown that narrow job descriptions and restrictive career ladders discourage potential employees.

Decentralization of human resource services to operating units was cited by the authors as the most significant component of the trend towards improved recruitment and selection processes. Providing this flexibility accelerates the speed and responsiveness of recruitment. The authors note that decentralized and deregulated human resource systems can be manipulated and exploited. Maintaining the neutrality of the public service is a critical value for all governments. It is incumbent upon the public sector to ensure that proper controls exist if human resource management is decentralized. Examples included under this section include:

■ Aggressive outreach efforts such as using internal and external recruiters, advertising in various media including electronic, distributing marketing and recruitment material promoting public service careers, using toll free telephone systems, and keeping in contact with job applicants during the process through the use of an applicant tracking system. The authors refer to the more aggressive outreach efforts as "casting a wider net for job applicants, and then cultivating them as they move through the selection process."

■ Using current employees as recruiters is another strategy that is being used in the search for new talent. Current employees can be asked to recommend qualified candidates and in some cases, referral bonuses are paid to employees who help to recruit employees in positions in which there is a skills shortage. Retention bonuses also can be paid to employees who promise to stay with the organization for a specified period of time.

■ Using temporary employees also can be a good recruitment strategy. Temporary employees give the employer the opportunity to assess a potential employee before offering a permanent position. Internships are another way for organizations to see how someone performs before they are offered permanent status.

■ The use of mentors can help to ensure a smooth transition when individuals join the organization. The authors note that research has shown that mentoring reduces attrition and enhances the morale of newly hired workers.

Recruitment strategies can be improved through the use of technology. Employers use the Internet to post job vacancies. Automation allows managers to have access to test scores, qualifications, and contact information. Computerized testing allows organizations to process large numbers of applicants. Information technology can however dehumanize functions and this should be a factor that is taken into consideration.

Mentoring

Mentoring is a tool for accomplishing many human resource or staff development goals including career development, management training, and employee retention and succession planning. Mentoring is a useful component of an organization's human resource toolkit and can be used effectively throughout the lifecycle of employees. Mentoring involves a more experienced individual taking particular responsibility for a less experienced colleague. Mentoring could be done by a group of individuals and is symbolized by an ongoing relationship whereby the mentor plays the role of coach, counselor and sometimes champion of an employee. It can be formal, as part of a formalized mentoring scheme, or informal. There is no formal mechanism or set way of mentoring and different organizations in different settings approach the relationship in their own unique ways. While coaching is centered on tasks, mentoring is much wider and can encompass many other facets of employees' work and careers.

Mentoring is useful in the development of employees since: 1) it is based on an open and trusting relationship, 2) there is constant feedback, 3) it is more guidance oriented, 4) it is more likely to be based on shared experiences, 5) it is continuous learning, and 6) it is typically of long-term duration.

In the public sector in Japan, there is a formalized set of relationships in the civil service that guide new entrants into relationships with mentors with whom the junior staff members will have an association for a considerable period of time. In the Singapore Administrative Service, each new officer is assigned a mentor who can offer friendly advice and show you the ropes. In the Netherlands and Iceland, coaching and counseling methods for current and potential leaders in conjunction

with private sector leaders are being emphasized.

In a study conducted by Gambhir Bhatta and Sally Washington entitled "Hands up: Mentoring the New Zealand Public Service," which was published in the Summer 2003 issue of *Public Personnel Management*, the State Services Commission carried out a public service wide survey of current employees. The survey found that the probability of having a mentor decreased with age. Managers were no more likely than non-managers to have a mentor. Mentored staff members were more likely than non-mentored staff members to consider opportunities for advancement, challenging work, and reputation of the organization they worked in as highly important. They felt more positive about their access to challenging work, opportunities for advancement, and also reported more good feelings of accomplishment in their jobs. Mentored staff members also attached more value to all of the development and training opportunities provided. Mentored staff members also appeared more satisfied with the performance of their immediate managers or supervisors in terms of the support they received for their career development.

Employee Development

Once employees join an organization, it is important that the process of development begin. High performing organizations tend to have a strategy of encouraging continuous learning among its employees. The rapidly changing organizational environment has placed a new emphasis on the learning organization as the only way that organizations can keep up with technological changes, global pressures and new customer demands. A premium is being placed on the value of learning and employees need to learn more, learn faster, and learn more creatively. Organizations need to encourage employees towards constant personal improvement and increasing practical knowledge. Organizations need to decide how much should be invested in the workforce and who should be responsible for the investment. Organizations also need to determine the best methods of providing development to employees. Technological advances allow employee development to be delivered through a variety of innovative means.

In a 2004 survey undertaken by the Organization for Economic Cooperation and Development (OECD) of its member countries, 13 reported that civil servants spend between five and ten days in training each year; in four countries they spend
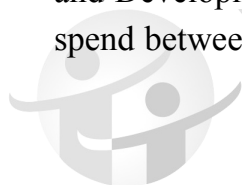
between eleven and fifteen days in training per year; and in seven countries, they spend less than five days in training per year. The survey concluded that it was unclear if life-long training has really become a reality in most OECD countries. In some countries, life-long learning has been developed within the staff performance management system or included as part of business plans. It was recommended that life-long learning should be implemented as part of organizational goals.

Before accepting a job, many workers are asking, "What will I learn in this job that will help me achieve my future goals?"　The question proves a critical one for employees and is important to employers who are looking for a strategic advantage in hiring and retaining top talent.

The availability of training, whether through seminars, conferences, tuition reimbursement, or computer-delivered training modules, is a critical element in becoming an employer of choice.　Coaching, mentoring, and career development programs have become standard fare in progressive organizations interested in retaining star performers.

Education is no longer provided solely by trade schools, colleges, and universities.　Employers are beginning to recognize that workers value continuous learning and that the workplace, complete with its resources and connections to the community, provides an ideal venue to pursue such learning opportunities.

Employees go through an initial period when they are hired when they learn how to conduct their work and about the organization and its culture. In the past, training was heavily skewed toward the beginning of employees' careers. Increasingly, employees perform their work under constantly varying conditions that require continual training and reskilling. As a result, training and education are more evenly spread throughout the entire career of employees.

To determine training and development needs, analysis can occur at the organizational, department and individual levels. Organizational assessments can be time consuming and expensive. Department needs analysis identifies what training needs exist and how best to address those needs. A performance gap approach can be used that focuses on the gap between desired and actual performance. The introduction of a new software program could be a candidate for a new training program. Data needs to be collected on the needs of the job and the current skills, knowledge, and abilities of the employees. Performance gaps may

result from issues such as poor management direction, poor job design, inadequate equipment, excessive job demands, and morale problems to name a few.

Training departments, supervisors, and employees must be constantly aware of development needs due to the rapid changes that are occurring. It is critical that employees play a proactive role in determining their need for training in their profession, self-improvement, improved credentialing, and individual development plans. To be effective, multiple parties need to be involved in assessing the needs of individuals, finding resources to support those needs, and providing support to keep individuals developing and learning rapidly.

Leadership Development

One of the crucial issues for organizations is the development of future leaders. This is especially critical for those organizations that are anticipating a large number of retirements in the coming years. Identifying and developing future leaders will be key to the continued success of the organization. The International Public Management Association for Human Resources (IPMA-HR) has been involved in a research project on "Building the Leadership Pipeline: Innovative Practices throughout the Employee Lifecycle." Some of the innovative leadership development initiatives that have been identified in this study include:

■ Senior Executive Service candidate development program designed to prepare candidates for top-level positions. The program includes an assessment of each participant at the program outset, individual development plan that is based on the assessment, core classroom training, and rotational assignments lasting 4-6 months, and mentoring.

■ Establishment of a leadership development framework that identifies which competencies are needed at each level of responsibility and which leadership activities are required to prepare someone for making the transition. Four categories of leadership activity are included: 1)formal training, 2)learning from experts, 3)external activities such as professional associations, and 4)job assignments.

■ Creation of a leadership advisory council, which is a group composed of individuals from all levels of the organization that are responsible for identifying concerns about leadership development, evaluation programs for leaders, and disseminating information.

- Development of a leadership model that includes six performance dimensions and related competencies for five levels of leadership development, from new hire to senior leader.

- Establishment of a leadership academy that resulted from the development of a competency model and a program for developing leaders. The program is designed to build the competencies and has four parts: 1)front-line leadership, leading people, leading organizations, and moving the organization forward.

Work/Life Balance

An increased focus on work/life balance and lifestyle has led many organizations to look for new ways to satisfy employee needs.　Public employers, in an effort to boost their competitive edge in the recruiting market and to retain current employees, have turned to new benefits to appeal to workers' desire to better blend work and personal time.　The most obvious trends are in the areas of telecommuting and alternative working hours.　Public employers need to adjust policies and traditional ways of working to accommodate these trends.　Flexible working conditions can include:

- Part-time employment,

- Job sharing that allows one position to be shared by two part-time employees, and

- Telecommuting that allows employees to work from home or from satellite work locations.

In addition, new benefits have arisen to appeal to the diverse needs of workers. Such benefits include pet insurance, domestic partner benefits, and adoption aid. And, as the employment market continues in its competitive mode, public employers are searching for more and more creative ways to attract and retain employees.

Performance Management

Throughout the life cycle of employees it is important that they be motivated to perform at a high level. There is no one theory of motivation that is most useful across different groups of employees and across individuals with different personalities and socioeconomic characteristics. Managers should foster the conditions in which it is easier for people to motivate themselves. There needs to

be regular communication between managers and employees about performance-related issues. Through feedback, employees gain an understanding of their performance as well as an idea of what is expected of them. Here are some recommendations as to how managers can ensure that their employees are motivated:

■ Give employees challenging but attainable goals.

■ Give them honest and regular feedback on their performance

■ Expand their competencies and responsibilities by creating challenges, and facilitate the development of each employee's vision of a future and a career with the organization.

■ Create good working conditions.

■ Tailor interventions to the needs of individual employees.

■ Prevent the negative spiral in which insufficient performance leads to more managerial control and less employee autonomy, which leads to decreasing employee performance.

■ Avoid excessive work pressure that leads to stress and burnout and decreasing performance.

■ Keep people realistic about their capacities and potentials.

■ Do whatever is necessary to ensure that employees believe that they are being treated fairly.

■ Demonstrate to employees that they are of concern to both management and the organization.

Rewards

Compensation is the most tangible reward provided to employees and requires an assessment of the employee's contribution to the organization in a way that is perceived to be fair and equitable by most employees. A good compensation system can motivate employees. However, issues of fairness and equity can make the compensation system a demotivator. If the recipients of a monetary award believe that the amount of money provided is less than what it should have been, the award may not motivate the employee. In the public sector, monetary awards tend to be more modest in scope and may not impress the recipient.

Compensation systems are instrumental in personnel recruitment, retention,

and motivation. The traditional civil service pay system has been based on position classification, multistep or multiple-rate salary ranges, and seniority pay progression. The objective in this type of system is pay for seniority. The compensation system includes fringe benefits such as health insurance, pensions, vacation, sick leave, holidays, and special allowances that can significantly drive up the cost of government labor.

Some governments are moving to performance based pay in which compensation is linked to outputs or outcomes. Rewards are provided for achieving specified objectives and they can be based on individual performance or group performance. For group performance rewards, both gainsharing and goalsharing have been implemented. They are group bonus plans in which monetary savings from improved performance are shared between the organization and employees of the better-performing unit.

For pay for performance to be effective, desired achievements that will be rewarded must be within the ability of the individual or team to achieve. Managers and employees must be trained in the process of setting performance objectives and they should be meaningful. The reward provided must be valued by the person or team. There needs to be feedback and evaluation of performance on a regular basis.

Nonmonetary rewards, such as various forms of recognition or better job security may be as important to employees as monetary rewards. Nonmonetary rewards can include training and development opportunities, additional time off, more autonomy, and more responsibilities. Studies have shown that while money is important to employees, thoughtful recognition motivates them to perform at higher levels. Under some conditions, nonmonetary rewards may be more potent incentives than monetary rewards, because in addition to having external value, they may also have a lasting, though subjective added intrinsic value. The nonmonetary reward is important to the recipient due to the celebration of the recognition of the achievement by individuals who are meaningful to the recipient. Thus the true value of any nonmonetary award is not only its extrinsic value, that is, the potential to influence subsequent employment conditions and celebration of past accomplishment, but also its intrinsic value, which is based on the fact that what the employee is doing is noticed and impresses the right people.

Retirement/Separation

A number of countries have an aging workforce, with many employees either eligible for retirement or will be eligible for retirement in the near future. In some countries, this situation is exacerbated since there are fewer younger people in the workforce, which may result in a labor shortage. This is creating issues of succession planning and knowledge transfer. These are issues that need to be planned for and addressed strategically by organizations. Many of the people who will be leaving organizations have many years of experience with the organization and it is incumbent that organizations ensure that their knowledge is transferred to others. Some organizations have formal knowledge transfer programs that utilize knowledge management software to assist with the process. Job shadowing that establishes a limited time period during which incumbents and their successors work together can be one effective method to ensure knowledge transfer.

Many employees who are eligible to retire would like to remain employed in a reduced capacity. Where possible, organizations should consider rehiring retirees so that they can continue to contribute to the organization. This may require modifying the pension rules so that retirees can return to work without adversely affecting their pensions. Phased retirement is another option that may enable employees who are eligible to retire to combine aspects of their careers and income with family involvement, other responsibilities and interests.

Through the application of either flexible work practices, leave provisions, or a change to classification level, an employee may ease out of employment rather than move overnight from full employment to full retirement. With effective planning, phased retirement through flexible work practices may also benefit employers, particularly in terms of knowledge management and skills retention.

Technology

Technology has changed the way we do business in terms of procedures and processes. More importantly, however, technology has changed the way we communicate in the workplace. Electronic mail, company Intranets, voice mail, personal digital assistance, and other devices have changed the way we exchange information and create bonds with co-workers. In the process, employers are beginning to realize that there are cultural costs associated with these benefits.

With the explosion of technology in the workplace have come new issues related to employee communication, trust, and the employment relationship.

Second, remote access is expanding the employees' ability to work at home. As access continues to expand, organizations will be faced with new issues related to which employees will be eligible for the access. Telecommuting may enable employers to retain good performers who need more flexibility. However, organizations need to recognize that not all positions can be performed offsite, only good performing employees should be given the opportunity to telecommute, and there may be morale issues with those employees who are not allowed to telecommute. Organizations should develop written telecommuting policies.

Third, communications systems are facilitating communication across country borders at levels we never imagined. For public sector employers, the technology provides new options in communicating with populations who have traditionally been out of reach.

Finally, governments are forced to explore new technologies related to employee monitoring. Surveillance methods, including the monitoring of Internet and e-mail use has seen explosive growth. It will be some time before these technological issues become clearly resolved.　In the meantime, public human resource managers must stay abreast of this issue and be aware of how their workforce is viewing these critical changes.

Some questions Symposium participants may wish to discuss include:

1. Does your organization undertake workforce planning and succession planning? If so, what benefits have resulted? If not, what barriers are preventing your organization from beginning workforce and succession planning?

2. What recruitment and selection challenges are you facing and what innovations have you implemented to overcome them?

3. Does your organization have a mentoring program? If so, how is it organized and what benefits have been derived from the program?

4. Does your organization encourage continuous learning for its employees? Is employee development linked to the strategic goals of the organization and has it helped to retain top performers?

5. How does your organization develop future leaders?

6. Does your organization offer flexible work arrangements, such as telecommuting, flexible hours, job sharing, or other workforce arrangements that address the needs of the changing workforce?

7. How does your organization ensure that the knowledge of employees who are retiring or leaving is transferred to employees who will be remaining with the organization? Does your organization allow retirees to be rehired? If so, under what conditions?

七、討論議題二引言報告 PowerPoint 簡報資料

The Employment Life Cycle

A Framework for HR Action and Strategic Choice

Implications for Public Sector Workforce Management

IPMA-HR, Budapest, May 2005
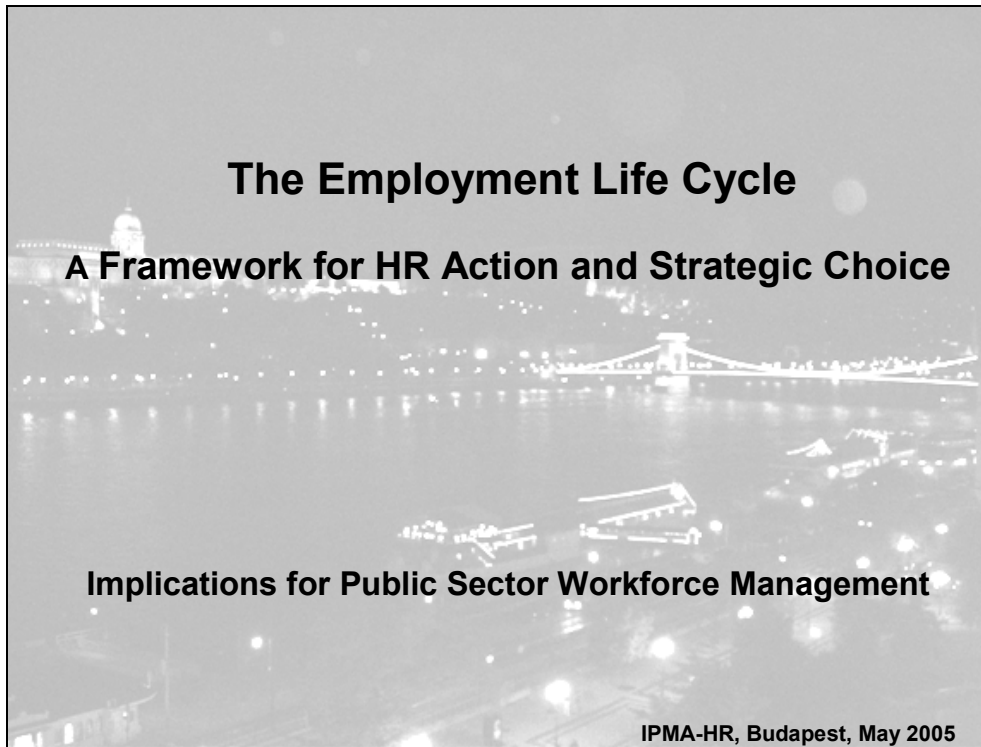
Managing the Employment Life Cycle

o All Employment has a life cycle varying in duration, important watersheds and chapters

o Actions/Decisions at each point or phase can have important downstream consequences – *yet conventional HR practice tends to treat each in isolation*

o Most HR problems and dilemmas at both: (i) the individual staff member level; and (ii) the workforce level are traceable to events earlier in the life cycle

o And active management of the cycle allows for a more informed and strategic approach to work force planning and management

IPMA-HR, Budapest, May, 2005

Management of the Cycle Impacted by many variables

❑**Workforce Composition**

❑**The Employment Legislative Framework**

❑**Power & Scope of Trade Unions**

❑**National Culture & Societal Mores**

❑**Stage of Economic Development/Strength of the Economy**

❑**National Demographics**

❑**The Public Sector Labor Market**

❑**Competition for Scarce Skills**

❑**Encroachment of Politics on Employment Practices**

IPMA-HR, Budapest, May, 2005
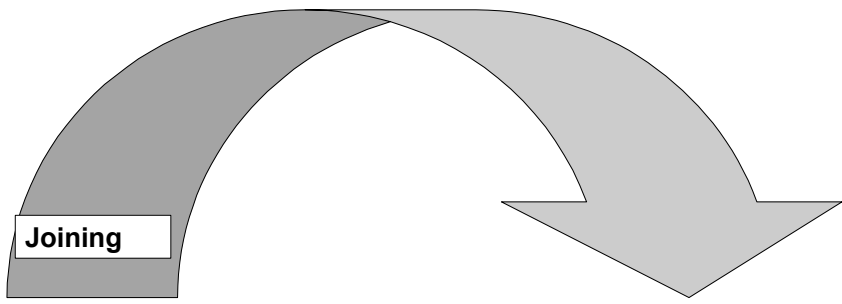
Stages in the Employment Life Cycle

Choosing

Plateauing

Contributing & Growing

Passing on Wisdom

Committing

Separating

Joining

IPMA-HR, Budapest, May, 2005

Stages in the Employment Life Cycle

Joining
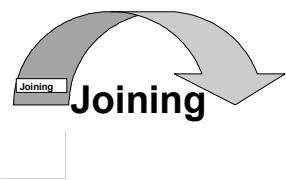
IPMA-HR, Budapest, May, 2005

Stages in the Employment Life Cycle

▪**Who joins in the future? Employment for whom?**

▪**What Skills are Mission-critical? Which are less so but still necessary?**

▪**What alternative ways of acquiring skills and support exist? Are they more cost effective; guaranteed; politically acceptable? Legally possible?**

▪**Is hiring ad hoc, periodic or prompted by specific workforce plans**

▪**What employment expectations are being raised?**

Joining

Joining

IPMA-HR, Budapest, May, 2005
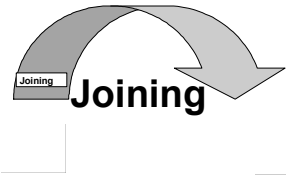
Stages in the Employment Life Cycle

▪**Are we an "employer of choice" or merely convenience?**

▪**What commitments are being made at the outset?... And by whom?**

▪**Hiring for flexibility or quality**

▪**Locally or centrally**

▪**How competitive is the market for particular talent?**

▪**To what extent are market premia paid to acquire scarce skills? What is the impact on internal equity?**

▪**How do rejected candidates feel? Was the process fair in their eyes?**
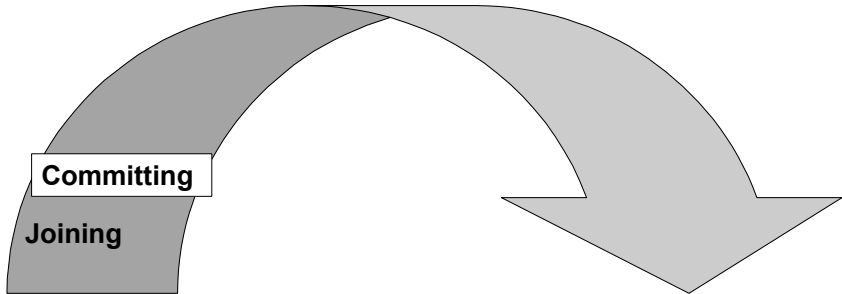
Joining

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Stages in the Employment Life Cycle

Committing

Joining

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Stages in the Employment Life Cycle

Committing

Joining

Committing

- The point at which longer-term employment contracts are entered into

- Term to Regular; Probation Confirmation

- Typically, risk exposure of loss of probation protections not treated sufficiently seriously

- The power of incumbency: hiring errors tend not to be undone at the point of no return (Joining trumps Committing in the life cycle)

- Important too that ending of term employment is not labeled as failure: work program needs may legitimately be time bound; staff may have competing choices-they may return at some later point in time

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Stages in the Employment Life Cycle

Committing

Joining

Committing

Some other Pitfalls to Guard Against

- Opening up career paths for staff initially hired for task-specific or time-bound needs (the inside track, once established, has the advantage over the external market). Consider impact on talent quality.

- Giving tenure to technical staff in a fast changing area runs the risk of locking in "old expertise"

- And lays the basis for turning specialists into generalists, depending on available career paths.

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Stages in the Employment Life Cycle

Contributing & Growing

Committing

Joining

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Stages in the Employment Life Cycle

The Focus of Much of the Symposium – Performance Management, but some additional issues and corporate choices:

❖**Performance v Potential Management**

❖**Professional Development limited to unit work needs or extended to maintaining "marketability"**

❖**Work-life-Balance – the more mission critical staff are less able to avail of opportunities**

Contributing & Growing

Committing

Joining

Contributing & Growing

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Stages in the Employment Life Cycle

Choosing

Contributing & Growing

Committing

Joining

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Stages in the Employment Life Cycle

Choosing

Contributing & Growing

Committing

Joining

When staff meet a career "fork in the road" and are compelled to make choices:

❖Between staying specialized or becoming a generalist

❖Entering the Management stream

❖Relocating for career advancement

Do Clear Career Road maps exist?

Are there acceptable parallel tracks?

How rigorous is management selection?

Is there a graceful parachute to escape from management?

Choosing

Internal career choice and opportunity greatly Impacts the latter stages Of the Employment Life Cycle

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Stages in the Employment Life Cycle

Choosing

Plateauing

Contributing
& Growing

Committing

Joining

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Everyone plateaus

Stages in the Employment Life Cycle

Choosing   Plateauing

Contributing
& Growing

Committing

Joining

Plateauing

?

eventually ■

❖**Three plateau categories**

❖**The Peter Principle**

❖**The Career Underachiever**

❖**: Peaking too Soon**: *The Kasparov Syndrome*

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Stages in the Employment Life Cycle

Choosing

Plateauing

Contributing & Growing

Passing on Wisdom

Committing

Joining

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Stages in the Employment Life Cycle

Choosing Plateauing

Contributing & Growing

Passing on Wisdom

Committing

Joining

Passing on Wisdom

Lack of attention squanders human capital built up over long periods of time and makes the passage towards exit a demoralizing – even humiliating one. Plenty of options available:

❖**Phased Retirement**

❖**Job Sharing**

❖**Knowledge Capture**

❖**Mentoring/Understudy Roles**

❖**Shedding Line Management responsibilities to serve as internal consultant (from power to influence)**

Taking pride in one's career is the compound of job commitment

The Notion of Human Capital is a Myth if it is Fully written off on the HC "Balance Sheet" as Separation nears

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Stages in the Employment Life Cycle

Choosing
Plateauing
Contributing & Growing
Passing on Wisdom
Committing
Separating
Joining

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Stages in the Employment Life Cycle

**Frequently the stage in the employment life cycle managed least well (*or least under control)*

❖Externally imposed Budget Cuts play havoc with workforce and talent mix

❖Early Retirement Schemes can gratuitously place talent pool at risk

❖And separation is greatly affected by upstream life cycle events

Separating

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Stages in the Employment Life Cycle

Choosing
Plateauing
Contributing & Growing
Passing on Wisdom
Committing
Separating
Joining

Separating
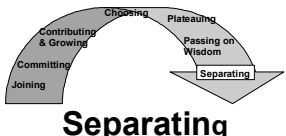
Good Analysis is Critical but frequently absent

❑**Turnover Patterns**

　❑*Mandatory Retirements*

　❑*Voluntary (Impact on quality of talent pool)*

　❑*End of Contract*

❑**Risk Exposure**

　❑*Percentage of staff able to retire – Now; Within x time frame*

　❑*Likelihood*

❑**Predicted access to expertise, post-retirement**

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Stages in the Employment Life Cycle

Choosing
Plateauing
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Passing on Wisdom
Committing
Separating
Joining
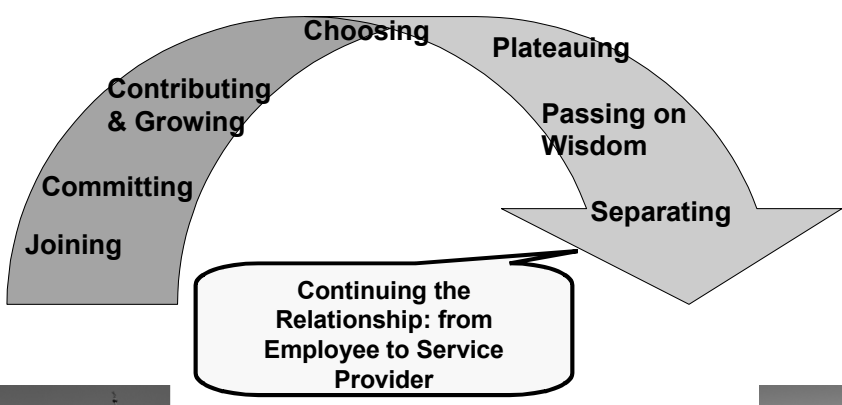
Continuing the Relationship: from Employee to Service Provider

IPMA-HR, Budapest, May, 2005

Some Summary Observations

o **Increasingly, the workforce choice is between employment and alternative means of sourcing skills and expertise**

o **Workforce analysis key to effective management of employment life cycles**

o **The life cycle has to dovetail with the broader employment/demographic & competitive realities**

o **It must be consistent with the desired "Employer Image"**

o **And it's important to periodically revisit the employment value proposition in use –** *What is the package of professional challenge, remuneration, job security, career prospects being offered?*

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Examples of Using the Employment Life Cycle in the World Bank

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World Bank Archetypes

The High End International Expert

Contributing

Joining

Separating

Challenge lies in persuading top talent to come on board and enticing them to stay for the right amount of time – frequently a short interval.

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World Bank Archetypes

The Junior Professional Associate
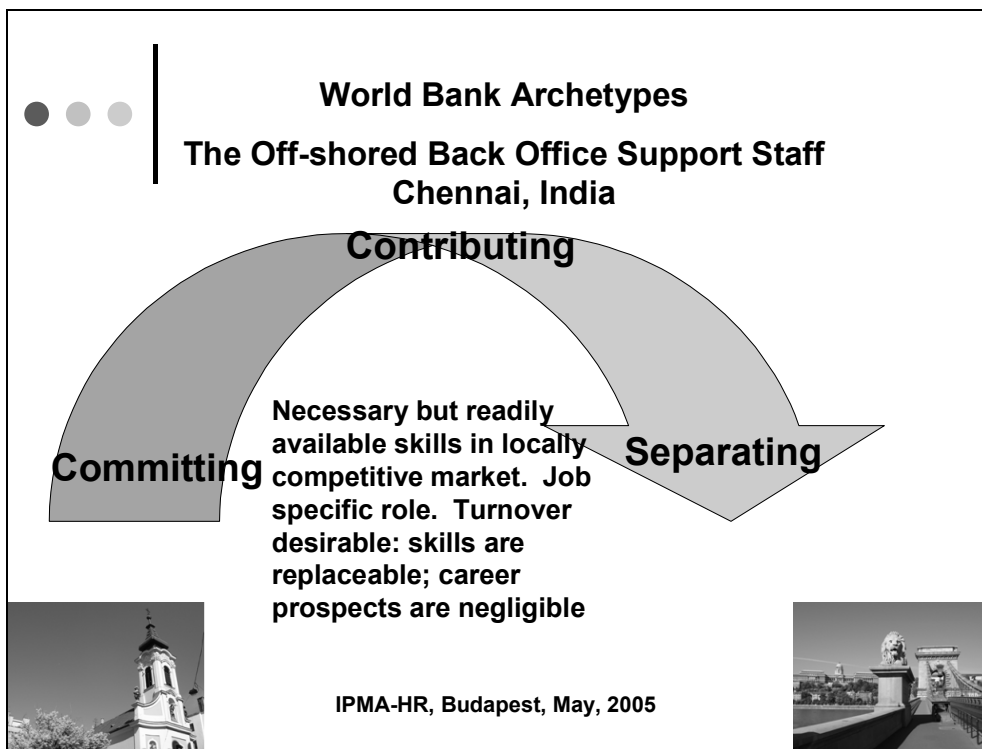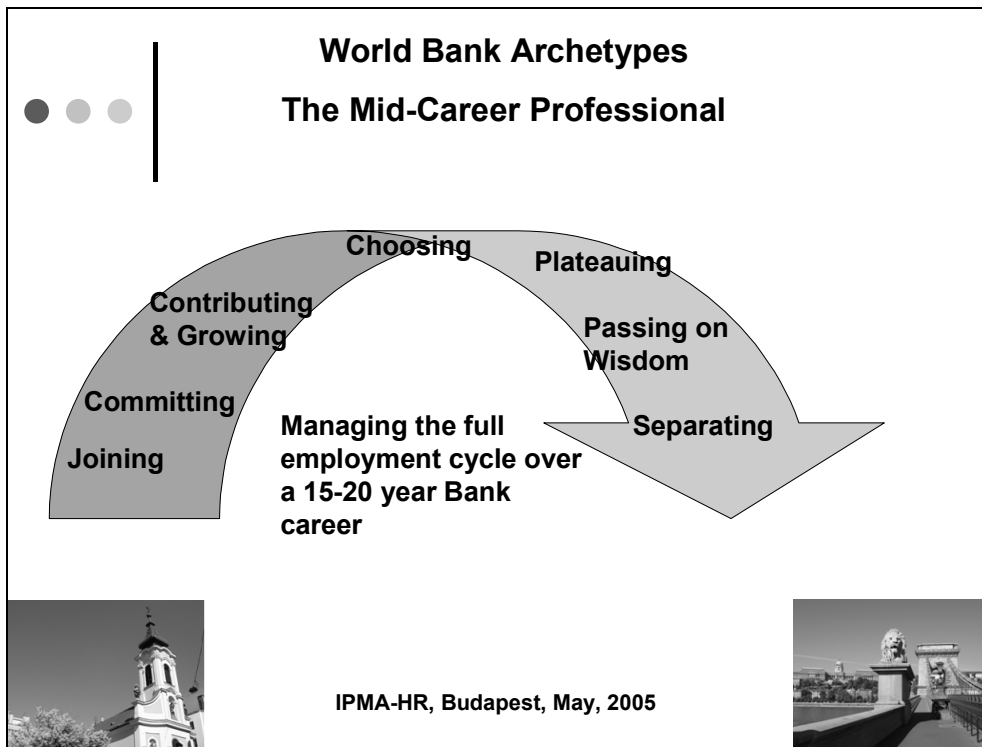
Contributing & Growing

Joining

Managing Expectations. Preparation for post-Bank & Building an alumni pipeline. Growth is externally focused

Staying engaged: Alumni

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World Bank Archetypes

The Mid-Career Professional

Choosing

Plateauing

Contributing
& Growing

Passing on
Wisdom

Committing

Joining

Managing the full
employment cycle over
a 15-20 year Bank
career

Separating

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World Bank Archetypes

**The Off-shored Back Office Support Staff
Chennai, India**

Contributing

Committing

Necessary but readily
available skills in locally
competitive market. Job
specific role. Turnover
desirable: skills are
replaceable; career
prospects are negligible

Separating

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Thank You

八、相關照片

與會人員合影

會議進行中一隅

林部長專題報告

聆聽林部長專題報告

美國聯邦政府功績制度保護委員會處長 Steve Nelson 與林部長合影

林部長與主辦單位 IPMA-HR 新舊任會長及執行長合影

參觀匈牙利國家英雄紀念廣場

與我國駐匈牙利代表處李代表滋男於布達佩斯機場合影

荷蘭海牙國際法庭前留影

我國駐荷蘭代表處前與張代表小月合影