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厦门大学

博士学位论文

县级领导干部绩效评估通用型指标体系研究

——基于广西的调查

A Study on General Indicator System of County-Level

Leaders' Performance Appraisal

——Based on the Investigation of Guangxi

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## 摘要

领导干部绩效评估的关键是要有一套科学的指标体系。针对目前领导干部考核指标针对性不强、研究上的实证性和系统性不足等问题,本文沿袭“德、能、勤、绩、廉”的基本框架,以领导特质理论、领导行为理论和工作绩效结构理论为理论基础,在界定县级领导干部、绩效、通用型指标体系等关键性概念的基础上,主要采用实证研究方法对县级领导干部绩效评估通用型指标体系进行了系统的研究。

(1) 借鉴工作绩效结构的研究思路,通过职务分析、行为量表和探索性因子分析,设计了县级领导干部绩效评估通用型指标体系的基本指标:“德”维度包括政治品质、道德品质、思想观念、个性特质 4 个基本指标;“能”维度包括调控和判断能力、驾驭和处置能力、谋划和创新能力、表达和交往能力、合作和执行能力 5 个基本指标;“勤”维度包括务实和敬业品质、原则性和毅力品质 2 个基本指标;“廉”维度包括自律、他律、律他 3 个基本指标。

(2) 在指标要素理论建构上,先阐述了指标要素设计原则和原理,并提出了“德、能、勤、绩、廉”系统动力模型,然后在综合概括可资借鉴的指标要素的基础上,着重依据对县级领导干部的主要业绩领域及其主要职责任务的分析,建立了由 90 个指标要素构成的指标要素体系。

(3) 运用复权隶属度分析、相关性分析和信度效度检验对 90 个指标要素进行实证筛选,最后建立了由 4 个维度、14 个基本指标和 41 个指标要素构成的县级领导干部绩效评估通用型指标体系。

(4) 在运用层次分析法确定指标权重上,采用逻辑权重和内容权重相结合的客观定权方法改进了群组决策中专家权重的确定方法,最后较为科学地确定了县级领导干部绩效评估通用型指标体系的权重。

**关键词:** 县级领导干部; 绩效评估; 通用型指标体系; 层次分析法





## Abstract

The key of leading cadres' performance appraisal is to have a scientific indicator system. However, in the existing researches there are some problems such as lack of pertinence, not based on empirical and systematic study and so on. Following the basic framework of "morality, ability, diligence, achievement and incorruption", this thesis, after defining some critical concepts such as county-level leader, performance, general indicator system and so on, makes a systematic study about the general indicator system of county-level leaders' performance appraisal through empirical method, with the basis of the trait theory of leadership, the behavior theory of leadership and the theory of job performance structure. This thesis draws several conclusions:

(1) After learning from the ideas of job performance structure, this thesis designs basic indicators of general indicator system of county-level leaders' performance appraisal through job analysis, behavior scale and exploratory factor analysis. The dimension of "Morality" comprises 4 basic indicators: political quality, moral character, ideology, and personal trait. "Ability" includes 5 basic indicators: the ability of regulation and judgment; the ability of driving and disposal; the ability of strategy and innovation; the ability of expression and communication; the ability of cooperation and implementation. "Diligence" consists of 2 basic indicators: quality of pragmatic and dedicated, quality of principled and perseverance. "Incorruption" involves 3 basic indicators: self-discipline, disciplined by others and controlling others.

(2) On the theoretical establishment of the indicator element, this thesis proposes a dynamic model of "morality, ability, diligence, achievement and incorruption" after clarifying the indicator elements' designing rules and principle, then summarizes the indicator elements which could be referenced, finally constructs the indicator system which includes 90 indicator elements through the analysis of the key performance areas, and main responsibilities of county-level leaders.

(3) This thesis establishes the general indicator system of county-level leaders'

performance appraisal which comprises 4 dimensions, 14 basic indicators, and 41 indicator elements after the empirical selection of 90 indicator elements by re-weight membership degree-analysis, correlation analysis, and tests of reliability and validity.

(4) When determining indicators' weights using Analytic Hierarchy Process (AHP), this thesis improves the method of expert's weight determining in group decision-making through the objective method of weight determining which combines the logic weight with the content weight, and finally determines the weights of general indicator system of county-level leaders' performance appraisal scientifically.

**Key words:** County-Level Leader; Performance Appraisal; General Indicator System; AHP

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