

# Research on the History and Trend of Civil Service Appraisal System of Chongqing

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## Abstract

The strategies and the policies of the Party and the country ultimately need to be implemented by the civil servants. And a scientific civil service appraisal system is the basic guarantee of the qualities of the civil servants and the civil service system. The civil service appraisal system of Chongqing has been twenty years of history. Now, we need to review and summarize its development history, and analyze its future development direction and trend.

**Keywords:** Civil service appraisal system; History; Trend; Chongqing

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## INTRODUCTION

The existing civil service system of Chongqing was established in 2007. Recently, the state put forward the “Four Comprehensives” strategic blueprint of governing the country, and the development strategies of the One Belt One Road and the Yangtze River Economic Belt. Chongqing also proposed the strategy of Five Functional Areas. All of these have put forward some new requirements to the civil service appraisal system

of Chongqing. Therefore, this paper attempts to review the development history and explore the development trend and direction of the civil service appraisal system of Chongqing.

## 1. THE CORE CONCEPTS

### 1.1 Civil Servants

Civil servants in general sense refer to the staff who perform their official duties. The specific contents and scopes of civil servants are different in different countries and periods. *The Civil Service Law of the People's Republic of China*, which began in 2006, provides the concept of civil servants in our country, “Civil servants in this Law refer to the staff who perform public duties according to law, are brought into national administration work out, are paid the wages and benefits from national finance.” This definition contains three conditions that the civil servants must have. They are “performing public duties in accordance with the law, and being incorporated into national administrative preparations, and getting wages and welfares from the national finance.” April 2006, the Central Committee of the Communist Party of China (the CCCPC) and the State Council issued *The Implementation Plan of the Civil Service Law of the People's Republic of China*. The document made a clear provision on the scope of the civil service. The civil service includes the following seven categories of staff: the organ staff of the Communist Party of China (CCP), the organ staff of the People's Congress, the organ staff of the administration, the organ staff of the Chinese People's Political Consultative Conference (CPPCC), the organ staff of the People's Court, the organ staff of the People's Procuratorate, and the organ staff of the Democratic Parties.

### 1.2 Civil Service Appraisal System

The so-called appraisal, is to examine, review, test and verify. The appraisal of civil servants refers to the civil

service departments and agencies in accordance with their administrative authorities, according to certain procedures and methods, to understand, verify and evaluate the civil servants' political qualities, professional qualities, and performance of duties and completion of objectives. The civil service appraisal system consists of the following elements: Appraisal objects and appraisal subjects, appraisal contents, appraisal forms, appraisal procedures and methods, appraisal grades, and the uses of appraisal results.

## 2. THE BETA VERSION 1.0 OF CIVIL SERVICE APPRAISAL SYSTEM OF CHONGQING

### 2.1 The Background of Beta Version 1.0 of Civil Service Appraisal System of Chongqing

#### 2.1.1 The Needs of the Reality

First of all, the civil service appraisal system of Chongqing is from the real civil service appraisal need in Chongqing. According to the documents of State Commission for Public Sector Reform (SCPSR) of February 25, 1994 (Zhongbian [1994] No.1), the Central Committee of the Communist Party of China (CCCPC) and the State Council agreed that the administrative level of the government agencies in 16 cities (Wuhan, Chongqing, Shenyang, Dalian, Harbin, Guangzhou, Xi'an, Ningbo, Qingdao, Xiamen, Shenzhen, Nanjing, Chengdu, Hangzhou, Changchun and Jinan) was set at the sub provincial level. In 1995, the State Commission for Public Sector Reform (SCPSR) issued the *Notice of Opinions on Several Issues of Sub Provincial Cities* (Zhongbianfa [1995] No.5), and clearly defined the 16 cities as vice provincial city, but they were still prefecture-level cities under provincial jurisdiction, and were led by their provincial party committees and provincial governments. Thus, the Chongqing city was clearly the sub provincial city under the jurisdiction of Sichuan province. This put forward higher requirements for the management of civil servants in Chongqing. But in reality, Chongqing had not yet established a formal civil service appraisal system, and the appraisal of civil service in Chongqing was no formal and standard system to follow. The huge gap between the reality and the need called for the establishment of the civil service appraisal system of Chongqing.

#### 2.1.2 The Needs of the System

The Second background was that the Chongqing city needed to implement the national civil service appraisal system. The establishment of the civil service appraisal system of Chongqing was accompanied by the establishment of the national civil service appraisal system. In 1993 the State Council promulgated the

*Interim Regulations on Civil Servants of the State*, and made a special provision for the appraisal of civil servants. The following year, the Ministry of Personnel issued *Interim Provisions on the Appraisal of National Civil Servants*, and started to implement formally the appraisal system of national civil service. November 2, 1994, the Office of the People's Government of Sichuan Province issued the *Interim Measures of the Civil Service Appraisal of Sichuan Province*. On June 13, 1995, Chongqing Municipal People's Government issued *Interim Measures of the Civil Service Appraisal of Chongqing* (Chongbanfa [1995] No. 61) on the basis of the aforementioned regulations. This is the first to establish an assessment system of civil service in Chongqing.

### 2.2 The Basic Framework of Beta Version 1.0 of Civil Service Appraisal System of Chongqing

The Beta Version 1.0 of the civil service appraisal system of Chongqing based on the Interim Measures of the Civil Service Appraisal of Chongqing, including 7 chapters, and established the basic framework of the civil service appraisal system for the first time. The first chapter was general, introducing the basics, principles, methods and objects of the civil service appraisal system of Chongqing. The second chapter was the appraisal contents and standards. The third chapter was the appraisal's organization and implementation. The fourth chapter was the appraisal mechanism. The fifth chapter was the use of appraisal results. The sixth chapter was the other provisions, that is, the appraisals of civil servants in all kinds of special situations. Chapter seven was the supplementary provisions, first was to point out the County People's Government and municipal authorities may formulate specific measures for the implementation of the annual appraisal of civil servants according to the present measures and the reality of local area or the department; second is to regulate the interpretation units and implementation time. The establishment of the civil service appraisal system had greatly strengthened the appraisal and management of civil servants in Chongqing, and promoted the smooth development of the civil service organs in Chongqing.

## 3. THE FORMAL VERSION 1.0 OF CIVIL SERVICE APPRAISAL SYSTEM OF CHONGQING

### 3.1 The Backgrounds of Formal Version 1.0 of the Civil Service Appraisal System of Chongqing

#### 3.1.1 The Needs of the Reality

March 14, 1997, the fifth session of the Eighth National People's Congress of the People's Republic of China

reviewed and passed the bill that the original Chongqing city, Wanxian city, Fuling city and Qianjiang district merged and established the Chongqing municipality directly under the central government. June 18, 1997, the new Chongqing municipal government was formally established. Chongqing became a municipality directly under the central government for third times in history. After becoming a municipality directly under the central government, the administrative level of Chongqing was from the sub provincial level to the positive provincial level, the jurisdiction extended from the original Chongqing of Sichuan province to the original Chongqing, Fuling, Wanxian and Qianjiang of Sichuan province. The size, level and composition of the civil servants in Chongqing had undergone tremendous changes. So it was necessary to improve and upgrade the beta version 1.0 of civil service appraisal system of Chongqing.

### 3.1.2 The Maturity of Beta Version 1.0

After about three years of running tests, the beta Version 1.0 of civil service appraisal system of Chongqing had withstood the test of practice. So, on June 22, 1998, the mayor of Chongqing Pu Haiqing released the Order of People's Government of Chongqing (No.29), announcing, *The Civil Service Appraisal Method of Chongqing* had been passed at the twenty-second executive meeting of the municipal government on June 1, 1998, and now begin to publish and implement. Thus, the civil service appraisal system of Chongqing achieved the upgrade from beta Version 1.0 to formal Version 1.0.

### 3.2 The Upgrading Main Contents of Formal Version 1.0 of Civil Service Appraisal System of Chongqing

There was only little difference in the content between the formal Version 1.0 and beta Version 1.0 of the civil service appraisal system in Chongqing. For example, formal Version 1.0 more stressed that the appraisal "must be strictly adhered to the standards, be in line with the actual, and implement the programs". Formal Version 1.0 emphasized, "The appraisal should pay attention to the actual effect, simple, easy to operate, and prevent the complicated". In addition, the 1.0 official version made more detailed provisions on the usual appraisal for the first time," "There are two appraisal forms: One is to record once when a civil servant completed an important work; another is to record once in a fixed period (for example 1 month). Appraisal departments and units might choose one of them. The leaders in charge of the appraisal of the departments and units appraised regularly the work records of the appraised civil servants. They should appraise once every quart or half year, and signed their appraisal views, and as the basis for the annual appraisal".

## 4. THE VERSION 2.0 OF CIVIL SERVICE APPRAISAL SYSTEM OF CHONGQING

### 4.1 The Reasons of Civil Service Appraisal System of Chongqing Upgrading From Version 1.0 to Version 2.0

The root cause of the civil service appraisal system of Chongqing upgrading from Version 1.0 to Version 2.0 was to adapt to the reform and adjustment of the national civil service system and its appraisal system. The Civil Service Law of the People's Republic of China, beginning in 2006, adjusted and revised the appraisal system of civil service. In 2007, *The Organization Department of the Central Committee of the CPC and the Ministry of Personnel jointly promulgated by the Civil Service Appraisal Regulations (Trial)* (Zhongzufa [2007] No.2), and detailed the provisions of the civil service appraisal system. On December 24 of the same year, Chongqing Municipal Party Committee Organization Department and the Chongqing Municipal Bureau of Personnel jointly issued *The Implementation Measures of Civil Service Appraisal of Chongqing (Trial)* (Yurenfa [2007] No.209). Thus, the civil service appraisal system of Chongqing had completed the upgrading from Version 1.0 to Version 2.0.

### 4.2 The Main Changes of Civil Service Appraisal System of Chongqing From Version 1.0 to Version 2.0

#### 4.2.1 The Changes of Appraisal Objects and Scopes, and More Emphases on Classification Appraisal

Because the civil service law redefined the concept of civil servants, so the scope of civil servants changed. Appraisal objects and scopes expanded from the staffs of the government organs to the staffs of the government organs, Party committees organs, people's congresses organs, CPPCC organs, procuratorial organs, judicial organs and democratic parties' organs. At the same time, the Version 2.0 is more emphasis on classification appraisal. In 1998, the Civil Service Appraisal Method of Chongqing clearly defined,

The appraisal of the director of state administrative organs of the municipality level, the director of the state administrative organs of the district/city/county level, township mayor of the state administrative organs of the township (Above all, including non-leadership positions), and national civil servants of the following positions, are applicative of the Method. The state civil servants appraisal of the state administrative organs of the municipality level or above and the state civil servants of deputy magistrate or above in district/city/county, are organized and implemented according to the cadre management authority.

In 2007, *The Implementation Measures of Civil Service Appraisal of Chongqing (Trial)* clearly states,

The term of civil service appraisal as mentioned in these Measures refers to the appraisal of the civil servants of non-leadership members. The appraisal of leadership and non-leadership positions at the same level, should be handled by the

organs in charge of appointment and removal in accordance with the relevant provisions.

#### 4.2.2 More Emphasis on Performance Appraisal Principle, More Emphasis on Quantitative Appraisal Method

In 1998, the Civil Service Appraisal Method of Chongqing clearly defined,

The national civil service appraisal should adhere to the principle of objectivity and fairness, and the principle of seeking truth from facts. The national civil service appraisal should use the method of combining leadership appraisal and mass appraisal, and combining use appraisal and annual appraisal.

In 2007, *The Implementation Measures of Civil Service Appraisal of Chongqing (Trial)* clearly states,

The civil service appraisal should adhere to the principles of objective, impartial, and focusing on performance; and implement the methods of combining leadership appraisal and mass appraisal, combining usual appraisal and annual appraisal, combining qualitative appraisal and quantitative appraisal; and be conducted in accordance with the provisions of the authority, conditions, standards and procedures.

Visible, the Version 2.0 of civil service appraisal system adds the principle of “focus on performance” and the method of combining qualitative and quantitative, and emphasizes, “To be conducted in accordance with the provisions of the authority, conditions, standards and procedures”.

#### 4.2.3 Adding “Incorruptibility” in the Appraisal Contents, Adding “Basic Competence” in the Appraisal Results

In 1998, the Civil Service Appraisal Method of Chongqing clearly defined, “The appraisal contents of national civil service include four aspects of morality, ability, diligence and performance, and focus on work performance.” In 2007, *The Implementation Measures of Civil Service Appraisal of Chongqing (Trial)* clearly states,

The civil servants appraisal, must take the job duties and responsibilities of civil servants as the basic basis, and clear the job responsibilities, the quantity of work, and the quality of results, and appraise morality, ability, diligence, performance, integrity, especially work performance.

Visible, the addition of “incorruptibility” for civil servants in the appraisal contents, conformed to the public attribute of the civil service, responded to the public expectations for the civil service integrity, fit the era background of anti-corruption.

About the appraisal result, *The National Civil Service Appraisal Method of Chongqing of 1998* clearly defined, “The appraisal results of national civil service include: excellent, competent, and incompetent”, the proportion of excellent grade of the annual appraisal of civil servants shall not exceed 15% of the actual number of people in this department.” In 2007, *The Implementation Measures of Civil Service Appraisal of Chongqing (Trial)* clearly states,

The results of the annual appraisal are divided into four grades including excellent, competent, basically competent and incompetent. The number of excellent grades in the annual appraisal of civil servants is generally no more than 15%, up to no more than 20% of the total number of civil servants who actually participated in the annual appraisal in the organization.

The appraisal result of civil service in Chongqing added the grade of “basic competence”, and properly increased the proportion of excellent grade. So it would appropriately improve the discrimination of the appraisal result, and increase incentives for civil servants.

#### 4.2.4 Increase the “Formula” and “Feedback” Links in the Appraisal Processes, and the Processes Are More Transparent and Fair

Compared with *The Civil Service Appraisal Method of Chongqing* in 1998, there were two changes in *The Implementation Measures of Civil Service Appraisal of Chongqing (Trial)* of 2007. The first is to increase the link of “to disclose the civil servants who prepared to be excellent grade for 5 working days in the organs”. This is an open and transparent approach. The first is to make the appraisal process open and transparent, and increase the confidence of the civil service to the appraisal. The second is to increase the public oversight of appraisal, and reflect the possible problems in time, so as to find out the inappropriate candidates, and ensure the justice and seriousness of the appraisal results. The second difference is to modify the “appraisal results should be informed to the people appraised” to “appraisal results should be informed to the people appraised in writing, and signed by the civil servants themselves”. This is very important. Because the appraisal results are involved in the vital interests of civil servants, so it would be not only more serious, but also avoid future disputes that to be noticed in writing and signed by the civil servants.

#### 4.2.5 Increase the Use Intensity of Appraisal Results: Increase the Rewards to Excellent Grade, and the Punishments to Basic Competence Grade

The appraisal results of civil service can't be put away, but should be used with other supporting measures. Compared with the Civil Service Appraisal Method of Chongqing of 1998, *The Implementation Measures of Civil Service Appraisal of Chongqing (Trial)* of 2007 greatly enhanced the use of the appraisal results. On the one hand, giving the outstanding civil servants more rewards.

Once the civil servants were identified as excellent grades, then they would be commended in this year; once the civil servants were identified as the excellent grade for three consecutive years, then they should be recorded third class feat. Granting commendation and third class feat should be in accordance with the relevant provisions of the award.

On the other hand, increasing the punishment to basic competence grade.

If the civil servants were identified in the annual appraisal for the basic competence grade, they will face the following consequences: (a) admonishing conversation, the deadline for

improvement; (b) this year is not calculated as an appraisal period according to the annual appraisal result to promote level and level of wages; (c) the post shall be not promoted within a year after the appraisal; (d) do not enjoy the year-end one-time bonuses.

By strengthening the rewards and punishments to the civil servants, it is bound to better motivate civil servants.

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## **5. THE TREND OF VERSION 3.0 OF CIVIL SERVICE APPRAISAL SYSTEM OF CHONGQING**

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### **5.1 The Grading Appraisal and Classification Appraisal Should Be More Scientific and Meticulous**

The civil service appraisals should be different between in the municipal authorities and in the districts or counties. There should be different in the appraisals of civil servants if they come from different districts or counties. The appraisals of civil servants should be different if they come from different departments. The appraisals of civil servants should be different if their positions are different. The appraisals of civil servants should be different if their categories are different. The appraisals of civil servants should be different if their grades are different. The appraisals of civil servants should be different if their classes are different. So, grading appraisal and classification appraisal should be more scientific and meticulous. It should be noted that the appraisals of civil servants should reflect the differences between different categories and levels of civil servants, and control the costs and be easy to operate.

### **5.2 The Appraisal Contents Will Be More Comprehensive, the Appraisal Focus Will Be More Prominent**

Different from the performance appraisal only focuses on work performance, the civil service appraisal is a comprehensive appraisal of civil servants. Some civil servants have strong working abilities and outstanding performances, but immoralities and corruptions. All of these are the appraisal contents. The civil service appraisal will examine various aspects of civil servants including morality, ability, diligence, performance and incorruptibility. Meanwhile, among the many appraisal projects, it is necessary to focus on the working performance. Because it prevents the leaders to appraise the civil servants by subjective impressions, so as to make the appraisals more objective. In addition, the performance of civil servants is comprehensive reflections of thought, ability, quality, and style. And it is the comprehensive inspections of morality, ability, diligence and incorruptibility. And focusing on work performance

is also a guide that may help civil servants to cultivate the pragmatic work style.

### **5.3 The Appraisal Index System Will Be More Detailed, Scientific and Quantitative**

The key of the success of the civil service appraisal lies in whether there is a scientific, meticulous and quantitative appraisal index system and standard. The appraisal contents that the national civil service appraisal system provides are too macro and general, and lack of operability. Therefore, the civil service appraisal system of Chongqing must be combined with the characteristics of the regions, the departments and the posts to design a scientific, meticulous and quantitative appraisal index system and weights. The design of the appraisal index system should consider the common requirements of the civil service work, and combine the characteristics of areas, departments, positions, and jobs. It is not only to use as far as possible the indicators that can be observed and measured, but also take into account the quantitative difficulties. It is not only to make the appraisal index system as detailed and accurate as possible, but also take into account the cost and convenience of the appraisal.

### **5.4 The Appraisal Process Will Be More Open and Transparent, and the Appraisal Procedure Will Be More Scientific**

Scientific, sound, open and transparent civil service appraisal process and procedure are important to ensure effective assessment of science. Therefore, the Version 3.0 of civil service appraisal system of Chongqing will be bound to perfect the appraisal procedure and process, and reflect more objective, fair, open, transparent and democratic principles. For example, there must have a project report to show objectively and completely out the works of civil servants. The annual appraisal must considerate comprehensively the self-rating of civil servants, the reviews of leaderships and peers, and the opinions and advices of subordinates and service objects. All comments and opinions must base on verifiable facts. The appraisal committee will give the civil servants appraised the final appraisal opinions and grades. The appraisal results need to be publicized for some days. After the expiration of the publicity, the appraisal grades of civil servants can be formally identified. The appraisal results need to be informed of civil servants in writing. The leaders in charge of and the civil servants need to discuss the appraisal results in order to improve the performance of civil servants in the future.

### **5.5 The Distinction Between Appraisal Results Will Be Much Higher, the Usage of Results Will Be More Intensity**

If the appraisal results of civil servants are not distinguished, the majority of civil servants are concentrated in the same grade, then it will reduce the incentive effects to the civil servants. Therefore,

the Version 3.0 of civil service appraisal system of Chongqing should optimize the appraisal criteria and appraisal standards, and make the appraisal results link with the incentives, job movements, wages and benefits, trainings, exchanges and so on. Finally it will make the truly outstanding civil servants can come to the fore, the competent civil servants can make persistent efforts, the basic competent civil servants can be spurred, the incompetent civil servants can be punished even demoted and dismissed. Eventually, the civil service appraisal will really play the role of incenting all civil servants.

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## CONCLUSION

With the establishment of the national civil service system in 1993 and the establishment of the appraisal system of national civil service in 1994, subsequently, Chongqing established the beta Version 1.0 of civil service appraisal system in 1995. After the beta Version 1.0 of civil service appraisal system of Chongqing had operated for about three years, along with the establishment of Chongqing municipality directly under the central government, the civil service appraisal system of Chongqing finally upgraded to the formal Version 1.0 in 1998. Next, the national civil service system and the national civil service appraisal system carried separately out major reforms in 2006 and 2007. Accordingly, Chongqing reformed comprehensively the civil service appraisal system and established the civil service appraisal system Version 2.0 of Chongqing in the end of 2007. It can be

predicted that, with Chongqing playing a more and more important role in the national development strategies and the establishment of Chongqing's Five Major Functional Zoning strategy, civil service appraisal system of Chongqing must also keep pace with the times and reform correspondingly. We are looking forward to a more scientific, democratic and normalized appraisal system Version 3.0.

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