

基于战略管理的 绩效考核

段钢 / 著

Performance Appraisal
Based on Strategic
Management



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本书以企业战略与绩效考评的关系问题作为主题,重点讨论战略导向绩效考评模式建构及其对组织绩效改进的影响。围绕上述问题,本书试图回答以下几个具体问题:绩效考评能否与战略相联系;绩效考评如何与战略相联系;绩效考评和战略的联系与否对组织绩效的改进有何种影响。本书首先对国内外企业特别是银行业绩效考评模式的演变进行了系统分析和评价,讨论了战略导向考评模式设计的理论基础;然后分析了当前绩效考评中存在的问题,探讨了战略导向考评模式的建构及其特点;进而讨论了战略导向绩效考评模式在银行业的实践探索;最后采用实证方法系统分析了战略导向绩效考评模式的实施对组织绩效改进的影响。本书对企业,特别是银行业战略导向绩效考评模式的建构,具有直接的参考意义。

本书可作为高等院校人力资源管理专业及相关经济类、管理类专业师生的教学和研究参考用书,同时也适合企事业单位,特别是银行业中高层管理者、人力资源部经理和负责绩效考评、薪酬福利人员,以及其他所有对绩效考评感兴趣的读者阅读。

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序

段钢是我的第一位博士生，先后在中国人民大学与北京大学与我共同学习与研讨了6年，系统地学习并掌握了经济学与管理学的基础理论、前沿动态和研究方法，本书是在他的博士论文的基础上修改而成的第一本专著。

战略管理与绩效考评一直是中西方理论界和企业界所关注的热点领域。从实践上看，事后进行的传统绩效考评模式已经无法满足当今企业战略管理的需要，有必要探讨与建立起战略导向型的绩效考评模式，把事前的战略、事中的管理与事后的考评相互联系、统一起来，以适应战略导向和实施的要求。从理论研究上看，虽然战略管理和绩效考评均为研究的热点，但是两个领域的研究基本上是各自独立进行的，缺乏有效的整合。虽然不少关于绩效考评的文献都认为应当从战略的高度或基于战略管理的角度来看绩效考评，但真正对二者之间的关系进行深入探讨的研究并不多见。

作者在查阅国内外大量文献的基础上，结合长期在银行业从事人力资源管理实践工作的优势，把事前的企业战略和事后的绩效考评两个领域紧密连在一起，探讨了企业战略和绩效考评的相互关系，初步建构了战略导向的绩效考评模式，并且研究了它对组织绩效改进的影响。本书在战略导向考评模式的总体框架的指导下，重点对我国银行业的发展变化和内外环境进行了比较系统的分析，展示了一条构建我国银行业战略导向考评模式的可行之道。

通过阅读本书，初步感觉有以下几个特点与贡献：

第一，本书对于绩效考评的研究特色，主要表现为系统性、深入性和文献性。从国内的研究情况来看，目前关于战略导向考评模式很少见到专门的研究，大多停留在概念介绍层面，因此研究缺乏系统性和深入性。而本书对战略导向考评模式进行了比较系统、深入的研究，对绩效、绩效考评和战略

等基本概念的内涵和外延进行了系统介绍，重点分析了绩效考评与战略联系的可行性，系统回顾和评述了战略导向绩效考评模式的文献，介绍了国外银行业战略绩效考评模式的演变，比较与分析了战略导向考评模式与传统考评模式的不同点，从理论上阐明了战略导向考评模式“应该是什么”的问题。

第二，本书构建了战略导向考评模式的总体框架。在系统、深入地分析目标管理、绩效管理、战略管理相关研究文献与成果的基础上，针对传统绩效考评体系中的缺陷，本书提出了由企业战略分析系统、战略导向绩效考评循环系统、战略分解与传递系统等三大系统组成的战略导向考评模式的总体框架，避免了绩效考评与企业战略的脱节，把组织绩效、部门绩效和个人绩效三种考评都纳入到这一研究框架中，把战略管理的思想比较系统地渗透到了整个考评过程中，突出了从战略管理的层面上来思考绩效考评问题的中心思想。

第三，本书从理论研究与实证研究两个方面，分析了战略导向考评模式对组织绩效改进的影响作用。主要通过采用问卷调查法等实证的研究方法，以某银行 A、B 行作为研究样本，对其战略导向下的绩效考评系统进行了实证比较，对研究假设进行了检验与印证。研究过程中，作者进行了大量的调查与分析。既有问卷调查，又有个别访谈和实地考察，掌握了不少第一手资料。在此基础上，还运用了 SPSS 软件对数据进行处理，对问卷的统计结果，从样本特性、信度与效度几个方面进行了实证分析。在剔除了其他影响因素后，本书重点对企业竞争战略与组织绩效，以及对绩效考评体系的作用与满意度进行了分析。整个研究基本建立在可靠的数据基础上，既有定性分析，又有定量分析。

从实证研究的结果来看，战略导向绩效考评模式对组织整体绩效水平的提升和管理的改进，具有比较显著的作用。本书的研究结果有效地证明了战略导向考评模式对于组织绩效的改进具有一定的因果关系，实施战略导向考评模式的银行在绩效改进上优于采用传统绩效考评模式的银行。同时，本书的研究也检验了战略导向考评模式在银行实施的可行性，以及对银行组织绩效改进的影响，为银行业实施有效的绩效考评提供了有益的思路和指导方法。

由于国内企业对于战略导向考评模式的研究仍处于起步阶段，特别是关于如何将战略导向考评模式运用到银行业的实证研究还很少见到，因此本书的出版对这个领域的研究具有较为重要的参考价值。我作为段钢的博士生导

师深感欣慰，以此为序，希望他能继续潜心学问，刻苦钻研，同时也相信本书能给读者一些新的启示。

北京大学人力资源开发与管理研究中心
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2006年11月于北京大学

前言

所谓绩效考评 (Performance Appraisal), 是对组织或个体行为活动的绩效进行一系列科学测量与评定的程序、方式、方法之总称。它既包括对整个组织行为活动成果的测量与评价, 又包括对组织内各个群体和组织成员个体的考评。

绩效考评的历史久远, 人类将劳动成果与劳动耗费的最初比较可以被视为绩效考评工作的雏形。自工业革命时代由人事管理之父罗伯特·欧文 (Robert Owen) 采用四方颜色木块钉在机器上, 以激发工人的个人工作积极性以后, 绩效考评的作用在企业内就越来越受到重视。如何有效地调动个体和组织的积极性和创造潜能, 持续提高他们的绩效水平是人力资源开发与管理的核心。随着经济全球化和信息时代的到来, 世界各国的企业都面临越来越激烈的国内和国际市场竞争。在这种竞争中, 一个企业要想取得竞争优势, 必须不断提高其整体绩效和个体绩效。实践证明, 绩效考评是提高与改进绩效的有效方法。

改革开放以来, 我国学者对绩效考评的研究非常关注, 并从国外引入了目标管理、360 度绩效考评等许多方法。近些年对绩效管理研究的深度和广度有了很大的改观, 从主要以介绍西方绩效考评的理论和方法为主, 转向结合中国国情和企业管理实践, 进行绩效考评方法上的创新。然而, 不少企业实际应用的效果不太理想, 有的考评流于形式, 有的不但未能发挥绩效考评应有的作用, 反而产生了一些副作用, 造成了人力、物力的浪费。究其原因, 是多方面的, 但是缺乏系统观与战略观, 没有将这些考评方法与企业战略结合起来, 未能把企业战略具体化到绩效考评的每一个环节, 应该说是一个主要因素。

绩效考评不是简单的结果评定, 它既是一个指标考评过程, 也是一个控制过程, 其最终目的是达到组织的战略目标。绩效考评模式不仅仅是绩效考评的方法和技术, 绩效考评模式应当是一个有机的整体系统, 不仅包括考评

指标体系的设置,而且包括在以一定的目标为导向,应用系统管理的思想,将绩效考评的理念、方法、程序、标准、技术进行有机整合与具体化的整个体系。

本书选择了企业战略与绩效考评的关系问题作为研究对象,其研究的重点是战略导向绩效考评模式建构及其对组织绩效改进的影响。

本选题的目的在于针对传统绩效考评体系中的缺陷,在绩效考评与战略管理的理论指导下,建构出战略导向绩效考评模式框架,力图在研究设计中综合应用目标管理法(MBO)、平衡计分卡(BSC)和关键绩效指标法(KPI),将组织战略按照组织——部门(团队)——个人的顺序,层层分解为具体的可操作性目标。通过绩效考评使组织的战略管理渗透到人力资源管理活动当中,在发挥组织战略的牵引作用的同时,规范与协调绩效考评本身的约束作用,为员工成长与组织发展提供更有力的支持。这对于传统意义上的绩效考评模式是一种完善与改进,突出了战略层面上的绩效考评思想。

从实践意义上看,本研究对企业特别是银行业战略导向绩效考评模式的建构,具有直接的参考意义。面对我国加入WTO的挑战,对于人力资源与绩效考评都相对薄弱的我国银行业来说,按照现代商业银行发展战略,构建符合我国国情的绩效考评模式,是提升银行业竞争能力的重要措施。因此,在从传统国有银行向现代化商业银行转轨过程中,能否建立起有效的战略绩效考评模式,对我国银行业的可持续发展将具有深远的意义。

全书分为8章,第1章绪论主要对本书所研究的问题进行了概述。首先分析了研究问题的提出背景,并对绩效、绩效考评、战略和模式等核心概念进行了界定;其次对所研究问题进行了分析,明确了研究的基本思路,阐述了所研究问题的理论和实践意义,介绍了本书的主要的研究方法;最后简述了本书的基本框架,指出了研究中所要突破的难点和研究特色。

第2章回顾了绩效考评的历史。主要包括以下内容:①绩效的概念和维度发展,描述了对绩效概念的研究所经过的单维度——二维度——多维度的转变过程;②对绩效考评中存在问题的相关文献进行回顾,主要从绩效考评的环境、系统特征、绩效考评因素、绩效考评的结果等方面对绩效考评中存在的问题进行了较为系统的分析;③对绩效考评模式的文献进行分析。主要研究和比较了基于控制的绩效考评模式、基于结果衡量的绩效考评模式、基于战略导向绩效考评模式三种典型的绩效考评模式,并对斯潘尔伯格战略整

合绩效考评模式、亨特的绩效考评及其扩展模式、鲍曼的绩效考评及其扩展模式进行文献分析和评述；④介绍了国外银行业战略绩效考评模式的演变，重点介绍和评述了风险——收益财务战略绩效考评模式及其指标体系、经济增加值战略绩效考评模式、平衡计分卡战略绩效考评模式三种银行业主流绩效考评模式。

第3章主要讨论了战略导向考评模式设计的基础。该章首先根据各种理论与战略导向考评模式关系的密切程度和指导方式，分为三大类，即核心理论基础、一般理论基础和直接理论基础，并系统分析了战略管理理论、平衡计分卡理论、系统论、控制论、信息论、目标管理理论、委托代理理论、激励理论等对战略绩效考评系统的理论支撑。

第4章主要分析了当前绩效考评中存在的问题。首先，结合几家权威专业机构绩效考评现状的调研报告，对我国企业现行绩效考评体系的局限性进行了系统的分析，重点指出了绩效考评体系与企业战略实施相脱节是考评体系中存在的主要问题；其次，结合银行业的特点，根据银行问卷调查和实地访谈的结果，深入分析了我国银行当前绩效考评体系和考评指标体系中存在的问题。

第5章主要探讨了战略导向考评模式的构建及其特点。该章首先探讨了实行战略导向考评模式的动因，指出了企业和银行绩效考评的发展趋势，即绩效考评系统需要纳入企业战略管理的全过程，考评指标要实现财务指标与非财务指标的有机结合，重视创新绩效考评，形成企业持续的核心竞争力；其次系统分析了构建战略导向考评模式的可行性，提出了战略导向、系统性、有效性、可靠性、成本效益性的设计原则；再次分析了战略导向考评模式的功能要求，即引领功能、沟通功能、管理功能、评价功能、鉴别功能，同时提出了绩效考评指标体系的设计要求，即目标一致性、可控性、考评指标值的适度性、定量与定性指标的结合、财务指标与非财务指标的有机结合等要求；最后在对战略导向考评模式分析的基础上，提出了由企业战略分析系统、战略导向绩效考评循环系统、战略分解与传递系统三大系统组成的战略导向考评模式的总体框架，并且从考评的目的、考评指标的来源与产生、考评指标的构成及作用、激励机制与考评指标的关系四个方面，将战略导向考评模式与传统考评模式进行了系统的比较与分析。

第6章主要讨论了战略导向绩效考评模式的实践探索。首先在对“员工

业绩评价系统项目”实施背景分析的基础上,系统地介绍了项目的基本框架;其次在对项目试点行 A 行绩效考评现状剖析的基础上,重点介绍了战略导向考评项目的实施流程,即明确银行的愿景与战略,对战略目标进行分解、设计关键绩效指标体系,确定绩效指标的指标值、制定绩效合约,持续的绩效指导、及时的绩效反馈,制定绩效改进计划、合理确定绩效回报等流程;最后对项目实施的成效、不足之处进行了系统的分析,提出了改进的方法。

第 7 章主要分析了战略导向绩效考评模式的实施对组织绩效改进的影响。本章采用问卷调查等实证的研究方法,以某国有控股银行 A、B 行作为研究样本,对其实施业绩评价系统进行实证分析,对研究假设进行检验与印证。首先在对相关研究文献整理的基础上,设计了研究问卷;其次,介绍了样本的研究方法,包括选择调查样本标准、问卷的发放与回收过程,以及调查问卷主要采取的统计方法;最后对统计结果从样本特性、信度与效度进行实证分析,重点对企业竞争战略与组织绩效,以及对绩效考评体系的作用与满意度进行分析。

从实证研究的结果来看,战略导向绩效考评模式对组织整体绩效水平的提升和管理的改进具有显著的作用。本书的研究结果证明了实施战略导向绩效考评模式与组织绩效改进具有一定的因果关系。实施战略导向考评模式的银行在绩效改进上优于实施传统绩效考评模式的银行。

第 8 章总结了本书在理论和实证分析中所得出的结论和未来研究的方向。从总的研究结论看,绩效考评是能够与战略相联系的,通过构建战略导向绩效考评模式,将组织战略按照组织——部门(团队)——岗位(个人)的顺序,层层分解为具体的可操作性目标,为员工成长与组织发展提供更有力的支持。同时,通过对 A、B 两个样本的实证分析与检验,验证了绩效考评与战略相联系对组织绩效的改进有着显著性的影响。最后,本章也指出了研究中的不足以及今后需要进一步深入研究的问题。

由于受本人学识所限,本书还存在着一些疏漏和不足之处,恳请专家学者和广大读者批评指正,欢迎随时与本人联系(E-mail: duangang@ml65.com)。

作者

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Abstract

The so-called “Performance Appraisal” (hereinafter with PA) is the comprehensive term of a series of scientific procedures, ways and methods to measure or evaluate the performance of an organization or an individual. It comprises the appraisals and evaluations not only on the whole organizational behavior but also on various departments or individuals within the organization.

The Performance Appraisal has a long historical development. The very first comparison between the labor results and labor costs by human being can be counted as the undeveloped form of PA. During the Industrial Revolution ages, the father of the personal management, Mr. Robert Owen put four-color wood block on the worker's machine in order to motivate the workers. From then on, the function of PA was given more and more concerns and attentions within enterprises. How to activate initiative and motivate creativity of the individual and the organization in order to improve their performance is a core issue of human resource development and management. Along with the economic globalization and the arrival of information era, the worldwide enterprises are encountering more and more severe competition in domestic and international market. Involved in such competition, in order to keep its competitive advantage, the enterprises have no way but to improve their organizational and individual performances continuously. It is proved by practice that the Performance Appraisal is an efficient method to enhance and improve performance.

Since the reform and opening up program, the Chinese scholars pay more

attention to the performance appraisal research. They introduced many theories of performance appraisal methods from other countries, such as Management by Objectives (MBO), 360-degree performance appraisal. During recent years, the performance appraisal study had made great changes in its depth and width. Instead of mainly introducing the theories of western performance appraisal, the research keystone has changed to innovate the performance appraisal methods in accordance with our country's real situation as well as the enterprises administration practice. However, the performance appraisal effects are not really perfect in many enterprises. In some enterprises, the performance appraisal becomes formalistic and could not exert its function. It also brings some side effects, even resulted in the waste of manpower and material resources. After investigation, it was found with various reasons, however, the main reasons are short of systematic and strategic insights, not in accordance with the business strategy, and lack of implementation in every PA procedure.

The performance appraisal is not a simple outcome evaluation, but an indicator evaluation process as well as a control process with the final purpose to achieve the organization strategic goal. Further more, the performance appraisal model is nothing more than a kind of method and technique, it should be considered as a whole organic system. It is not only the setup of the PA indicator system, but also an organic integration and detailed entire system, which consists of PA method, procedure, standard and technique conformity in accordance with a certain target orientation through system management guidelines.

The object of this dissertation mainly focuses on the relationship between enterprise strategy and performance appraisal. It will concentrate on the PA model structure of strategic orientation and its impact on performance improvement within an organization.

In view of the shortcomings in traditional PA system, the purpose of this dissertation is to establish the strategic orientation structure of PA model under the theories of performance appraisal and the strategic management. It

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constructs the frame of performance appraisal model of strategic orientation and tries to use the theories of Management by Objectives (MBO), Balanced Score Card (BSC) and Key Performance Indication (KPI) in the research design in order to divide the organization strategy into maneuverability goals according to different section (team) — personal sequence. Adapting to performance appraisal can seep strategic management into the activity of human resource management. At the time of exertive leading function of organization strategy, it can regulate and coordinate the stipulation function of itself performance appraisal, and provide strong support of the growing of employee and developing of organization. This function is a kind of improvement compared to traditional performance appraisal model, and give prominence to the strategic vision of the performance appraisal.

From the view of practical purpose, the research has direct significance for the enterprises especially for banks in regard to performance appraisal model of strategic orientation. When encountering the challenges resulted from China's entering into WTO, it is an important step for Chinese banks which are lack of HR and PA management experience to enhance its competition capability by establishing performance appraisal model in accordance with China's real situation. Therefore, during the changing period from the traditional state-owned banks to modern commercial banks, whether they could build up the effective performance appraisal model of strategic orientation will have the profound meaning for their sustainable development.

The dissertation consists of eight chapters. The Chapter One "Introduction" summarizes the main research questions. First, it analyzes the background that the research question puts forward, and gives the definition of performance, performance appraisal, strategy and model etc. Second, the author analyzes research questions and defines research methods, concludes the significance of theory and the research question practice, and introduces main research methods of the dissertation. Finally, the author introduces the structure of the dissertation, and points out the difficulties and research special features which need to get breakthrough.

The Chapter Two “The evolvement of foreign performance appraisal model” focus on systemic review, analysis and evaluates on the related academic literature. It mainly includes the following contents: (1) the concept and dimensions developments of the performance, it describes the research of performance concept changing process of the single dimensions—double dimensions - multiplex dimension; (2) it reviews the literature of related questions in traditional performance appraisal, mainly systemically analyses the problem of the environment of performance appraisal, system characteristic, performance appraisal factors, and the result of performance appraisal etc; (3) it reviews the literature of performance appraisal model, researches and compares three mainly performance appraisal model, which includes basing on the control of performance appraisal model, result of performance appraisal model, and strategic orientation of performance appraisal model, then analyses and comments Spangenberg’s strategy integration of performance appraisal model, Hunter’s model, and Borman’s model; (4) introducing the evolvement of foreign banking strategic orientation of performance appraisal model, especially introduces and comments the three mainly types of banking performance appraisal model, which includes risk-income finance strategic performance appraisal model, Economic Value Added (EVA) strategic performance appraisal model, and Balanced Score Card (BSC) performance appraisal model.

The Chapter Three mainly discusses the theories foundation of the performance appraisal model of strategic orientation design. Based on the relations between the various theories and the performance appraisal model of strategic orientation, it divides into three major types, namely core theories foundation, general theories foundation and direct theories foundation, meanwhile it analyzes the theories support of performance appraisal model of strategic orientation systematically, such as the Strategy Management theory, BSC theory, System theory, Control theory, Information theory, MBO theory, The Principal-agent theory and Motivation theory...

Chapter Four mainly analyzes the problems, which exist among the current performance appraisal of current enterprises. First, according to research

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report given by a few authoritative institutions, it analyzes the limitations existing among the current PA system in enterprises, and points out the main question in the performance appraisal system which is the performance appraisal system disjointed with the business enterprise strategy implement; Secondly, combining with the characteristics of the banking, and according to the result of the bank questionnaire and field surveys and interviews, the author further analyzes the problems which exists in Chinese bank current performance appraisal system and performance appraisal indicators system.

Chapter Five mainly discusses the construction of strategic orientation performance appraisal model and its characteristics. Firstly, the author discusses the driving factors of implementing the performance appraisal model of strategic orientation, which in the business enterprise currently especially in the bank. Then, the author points out the development trend of the business enterprise and the bank performance appraisal, namely the performance appraisal system needs to bring into the process of whole business enterprise of strategic management, and the indicators should organic links both financial indicators and non-financial indicators, and regarding the creative performance appraisal, thereby keeping the core competencies of business enterprise; Secondly, the writer systematically analyzes the possibility to set up the strategic orientation performance appraisal model, and also puts forward the design principle of strategic orientation, systemic, validity, reliability, and cost efficiency; Thirdly, the writer analyzes mainly functions request of the strategic orientation performance appraisal model, which is the evaluation function, discriminate function, communicate function and management function, and put forward the design request of the performance appraisal indication system at the same time, which is including goal consistency, controllable, and reasonable of the performance appraisal indications, combining with the finance indications and non- finance indications; Finally, at the foundation of the model analyzes to the strategic orientation performance appraisal, the writer puts forward the frame of strategic orientation performance appraisal model, which composed of three systems of the strategic analytical system of business enter-

prise, strategy orientation performance appraisal circulatory system, and strategy resolving and delivery system. The writer analyzes from four relate aspects, which is the purpose of performance appraisal, the source and creations of the performance appraisal indications, the composing and functions of the performance appraisal indications, and the relationship between the motivating mechanism and performance appraisal indications. Then, the writer systematically analyzes and compares the strategic orientation performance appraisal model with the traditional performance appraisal model.

Chapter Six mainly illustrates the practical probing of strategic orientation performance appraisal model. First, it introduces basic guidelines systematically based on the "Performance Appraisal System" background information analysis. In addition, it introduces the implement process of the strategic orientation performance appraisal system foundation systematically based on Bank A current performance appraisal analysis. It requires to define long-term vision and strategies, break down strategic target, design key PA indicators system, set PA indicator value, draft PA contract and guidance book, reflect performance on time, work out improvement plan and settle PA rewards flow-chart; Finally, the writer analyzes outcomes and shortcomings, meanwhile put forward the methods of the improvement.

Chapter Seven mainly analyzes the influence of performance improvement, which implements the performance appraisal model of strategic orientation organization. Using the research method of the questionnaire, the research takes the branch A, B of a State-owned holding bank as the research samples, and analyzes the implementation of the performance appraisal model, proves and confirms the research hypothesis. Firstly, after the foundation of studying literature, the writer designs the research questionnaire; Secondly, It introduces the research method of the sample, which includes the choice research sample standard, the questionnaire issue and return process, and investigate the covariance method that questionnaire mainly adopt; Finally, the writer analyzes the sample characteristic, reliability, validity, especially analyzes the business enterprise strategy competition, and analyzes the func-

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tions and satisfactions of the system to implement the performance appraisal system.

From result studies on demonstration evidence, the performance appraisal model of strategic orientation has notable functions to promote the whole level of performance appraisal and improve the management. The research result of the dissertation proves that it has certain causality between the strategic orientation performance appraisal model and organization results improvement. The bank which implements the strategic orientation performance appraisal model has rather high-level performance than the bank that the implement traditional performance appraisal model.

Chapter Eight summarizes the conclusion and points out future research direction which comes from theory and example analysis. From the general research conclusion, the performance appraisal can link with strategy. Such link can be realized through setting up the performance appraisal model of strategic orientation, dividing the organization strategy into maneuverability goals according to organization- section (team) - personal sequence, and providing strong support of the growing of employee and developing of organization. According to the substantial evidence analysis and the examination of two samples of bank branch A and B, it verifies that the performance appraisal and strategy integration mutually will bring distinct impact on the organization performance of the improvement. At the end of the chapter, the writer puts forward some problems for further study in the future.

Limited by my knowledge scope, there can be some oversights and deficiencies in this book. Any suggestions or corrections from scholars as well as other readers are welcomed, and please contact me at any time via the E-mail: duangang@m165.com.

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