

基于公民视角的 政府电子化服务绩效评估

Assess on Performance of Governments'
Electronic Service from Citizens' Perspective

□ 张 敏 著



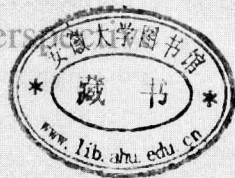
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摘 要

本文依据公共行政和公共管理理论，在公民主权原则、政治公平原则和顾客满意度原则的基础之上，构建了基于公民视角的政府电子化服务绩效评估框架，并以北京市政府电子化服务作为案例研究，进一步完善了绩效评估框架。

论文共分五章。

第一章 导论

包括研究背景、研究目标、主要问题、研究框架和研究流程、研究方法、研究过程、研究的贡献与创新、研究的局限与拓展。

电子政务建设的根本目标，是向社会和公民提供低成本、高质量的政府电子化服务，政府电子化服务是电子政务的核心问题。而绩效是电子政务建设追求的最终结果。因此，研究政府电子化服务的绩效问题具有现实意义。

目前，国际上虽已有少数学者从公民的视角来研究政府电子化服务的绩效问题，但主要集中于个案研究，而对于政府电子化服务绩效的理论研究和评估框架研究还很缺乏。对于中国学者来说，研究政府电子化服务的绩效是一个崭新课题，其中从政府立场来考核政府电子化服务绩效的研究成果比较多，而从公民视角上基于实证的研究，是不多见的。考核一个电子政务是否成功，最重要的是评估它为公民服务的效果，而公民视角在政府电子化服务的绩效评估框架中有所缺失。因此，基于公民视角来研究政府电子化服务的绩效问题具有理论意义。

本论文的研究目标是，如何从公民的视角出发，建立一套政府电子化服务的绩效评估框架。

要完成研究目标，需要选择恰当的研究方法。在本论文中，作者采用了定质与定量研究相结合的方法。

在具体研究进程中,为了解决不同问题,作者依次采取了不同的具体研究方法,具体包括:文献研究法、调查研究法、观察法、抽样调查法、统计分析法、深层面谈法。

第二章 文献综述

包括关于政府绩效评估问题的研究和关于政府电子化服务绩效问题的研究,关于新公共管理理论的研究。

不同的研究机构和研究者,对政府电子化服务绩效评估的准则和具体内容有交叉之处,但是在评估总体框架上存在很大争议。根据评估框架的不同,作者把研究政府电子化服务绩效的文献,主要分成五大类别。

第一类文献主要研究政府网站的绩效。

政府网站是政府电子化服务的主要载体,在很大程度上是G2C(政府对公民)的主要触点,而且政府网站又具有公开、客观和可测量的优点,因此一些大型研究中心和咨询机构都热衷于评估政府网站的服务成熟度和传递成熟度,并建立可量化的评估指标框架。

第二类文献主要研究政府电子化服务的综合测评指标框架。

政府电子化服务是以信息技术在社会和政府部门运用为切入点,基础设施的技术指标和人力资源的状况都会影响其绩效,因此,政府电子化服务绩效的测评框架除了评估政府网站建设现状,还应该评估信息基础设施建设现状和人力资源素质状况。这种绩效评估框架相对比较全面,但对框架中三个方面的权重分配情况未作说明,也没有给出具体的计算公式。

第三类文献主要研究政府电子化服务项目的有效性。

随着软件投资项目风险系数的增加,部分咨询公司开始关注政府电子化服务项目的有效性,主要焦点放在项目的服务水平和运行效益等方面,注重项目的产出与效益。

第四类文献主要研究政府电子化服务的整体效益。

这类文献一般从公共管理的视角提出评估准则,主要包括经济、效率、效益、公平、责任、回应和代表性。这类文献强调公共行政精神,凸显公共行政理想,但欠缺之处是对公共行政精神和公共行政理想无法进行定量分析。

第五类文献主要研究某一地区或城市公民对政府电子化服务的使用率和使用效益。

这类文献采用问卷调查和统计分析的方法,研究公民对政府电子化服务

的认识、感受和接受状况，欠缺之处是没有提出总的研究框架，理论分析不够深入。

随着政府电子化服务建设在中国境内的进一步普及和深入，研究政府电子化服务的文献也大量涌现。

这些文献的内容，主要集中在三个方面。一是研究政府电子化服务的理论问题，包括概念、主要内容和特点，以及服务的质量特性等；二是研究政府电子化服务的技术问题；三是研究政府电子化服务的绩效问题，主要是研究政府网站的绩效。

对政府网站绩效问题的研究，多是由咨询公司或高校研究机构来完成，研究成果多是以报告的形式出现。这类研究通常采用比较固定的模式，即建立评估指标框架，以计算机和人工的方式来收集数据，进行量化分析和排序比较。评估指标框架一般包括网上办公、政务公开、政府与公民的互动、客户意识等几个方面。

上海市《政府网站与电子政务法律规制研究》课题组，开辟了政府电子化服务绩效研究的新框架，从使用者的角度来研究政府电子化服务在上海的实施和应用状况。其中，重点调研了行政执法人员、公安警务人员、税务征管人员和税务征管对象对政府电子化服务的认识与评价，以及政府电子化服务对纳税主体的影响。该研究的不足之处是抽取的调查样本存在一定的局限性，主要是网民和上海大学的部分学生；研究也相对比较简单。

政府电子化服务绩效是一个崭新的研究领域，从查找到的相关文献看，此类研究基本上起始于21世纪初，无论是理论还是实践都处于“拓荒期”。

美国著名行政学家戴维·H·罗森布鲁姆（David H. Rosenbloom）和印第安纳大学公共与环境事务学院副教授罗伯特·S·克拉夫丘克（Robert S. Kravchuk），从管理、政治和法律的途径描述、阐释和分析了公共行政，提出了大公共行政学说，传统公共行政和新公共行政以及公共管理理论都被包含在大的公共行政学范畴之内。

在公共行政的新公共管理途径中，公民被当作顾客，成本—效益和顾客回应性是其所追求的价值观。新公共管理途径对实践的认知模式不仅包括理论推理，经验观察，还包括指标测量，政府的预算建立在绩效测量的基础之上。总之，绩效是公共行政的新公共管理途径中的一个重要内容。

本论文在扬弃了上述研究成果之后，汲取了其中的研究视角、思路和方法论，并在此基础上做了进一步的科学研究。

第三章 基于公民视角的政府电子化服务绩效评估框架的构建。

包括构建评估框架的基本理念，政府电子化服务绩效的评估框架，研究方法和研究假设。

在公共行政和公共管理理论基础之上，作者提出了构建政府电子化服务绩效评估框架的基本理念，即公民主权原则、政治公平原则和顾客满意度原则。

公民主权原则主要体现在，公民对政府电子化服务的绩效，拥有最终的发言权。作者站在中立的立场，从公民的视角出发，把公民作为评估政府所提供的政府电子化服务绩效的主体，运用定量和定性相结合的实证分析方法，来研究公民对政府所提供的政府电子化服务的满意度。另一方面，公民主权原则的意义，还体现在政府所提供的政府电子化服务，应该为所有的公民服务，即体现政治公平原则。

政治公平原则体现在政府电子化服务在公民中的覆盖比率的高低，也就是公民对政府电子化服务的使用率的高低，是否所有的公民都有条件使用政府所提供的政府电子化服务，政府所提供的电子化服务是否为所有的公民（尤其是弱势群体）服务等。

顾客满意度是消费态度的一种特定形式，衡量的是顾客对所经历服务的满意程度。一方面反映了消费者在某一消费经历之后，对产品或服务的喜欢程度或不喜欢程度；另一方面消费者对产品或服务的这种消费态度，将影响其以后是否继续使用该产品或服务。

作者将“顾客满意度”定义为，公民在使用政府所提供的政府电子化服务之后，对其所进行的深入心理评价。相应地，政府电子化服务的“顾客满意度”的指标，包括“对使用政府电子化服务的态度”、“对政府电子化服务的实际使用”和“对使用政府电子化服务的行为意向”以及“对政府电子化服务的整体满意度”等测量指标。

在此基础之上，作者构建了基于公民视角的政府电子化服务绩效评估框架，并阐述了研究政府电子化服务绩效所用的方法，即顾客满意度测量方法，具体方法包括问卷调查、统计分析方法和深入访谈等。在总结电子政务（包括政府电子化服务）绩效的主要研究结论的基础之上，作者提出了自己的研究假设。

第四章 北京市政府电子化服务绩效评估

包括北京市政府电子化服务框架，北京市公民对政府电子化服务绩效的

评价,北京市公务员对政府电子化服务绩效的评价,对这两种绩效评价的分析。

为了验证上述假设,作者以中国北京市政府电子化服务为例,从普通市民和公务员的视角研究了其绩效问题。

首先,对北京市政府电子化服务框架进行了阐述和分析,包括政府电子化服务的制度环境、建设框架和系统环境。

政府电子化服务建设不仅仅是一个信息技术问题,更是一个与国家政治文化环境和政府管理体制密切相关的系统工程,只有建立科学的政府管理体制,才能保证政府电子化服务系统的合理开发和深入应用。

中国政府自实行政体体制改革以来,尤其是开始建设电子政务(包括政府电子化服务)以后,进行了一系列法规制度建设和地方政府机构改革建设。其中与政府电子化服务建设有关的法规规章主要包括行政许可法和信息公开法等。

电子政务建设不仅与行政体制改革密切相关,还需要相关的电子政务法规规章制度,为其保驾护航。电子政务法规规章的建设,包括《电子签章条例》和一系列标准化规章制度的颁布、实施。

北京市政府电子化服务的系统环境包括北京市政府电子化服务的内网系统、北京市政府电子化服务的外网系统和北京市政府决策督察系统。

其次,采用问卷调查和统计分析的方法,比较研究了普通市民和公务员,对北京市政府电子化服务绩效的评价。分析结果如下:北京市政府电子政务和电子化服务建设水平不高;实施电子政务的政府机关单位,普遍缺乏绩效评估机制;公民对政府电子化服务的使用中存在数字鸿沟,包括使用范围比较窄,使用水平比较低,使用效果不明显;市民和公务员对电子政务和政府电子化服务的绩效,评价相对较差,都认为电子政务和政府电子化服务建设的最大获益者不是自己;市民和公务员都对电子政务的发展持有支持的态度。

第五章 北京市政府电子化服务中存在的问题

包括对政府电子化服务中存在问题的调研,对政府电子化服务中存在问题的分析总结,对政府电子化服务绩效评估框架的修改和完善。

针对普通公民和公务员对政府电子化服务绩效评价都不高的现象,作者深入调研和分析了北京市政府电子化服务中存在的问题。

首先,作者分别从北京市民和公务员的角度,通过问卷调查、统计分

析、文献研究法、访谈和观察法，调研了政府电子化服务中存在的问题。

其次，在以上调研成果的基础之上，对存在的问题进行了分析和总结，发现北京市政府电子化服务中存在数字鸿沟现象，并从信息基础设施的普及率、信息资源的丰富程度、信息主体的信息素质和能力、信息技术的发展应用能力、信息政策的完备程度五个方面，分析了北京市政府电子化服务中数字鸿沟的特点。根据公共行政/公共管理与政府电子化服务之间的关系，把北京市公务员针对电子政务和政府电子化服务所反映的问题，归纳为五个方面：行政文化、与政府电子化服务相关的法律规章制度的建设与实施、政府的组织形态、政府的业务流程和政府电子化服务系统建设的政府领导者的领导和管理能力。

最后，在对政府电子化服务中存在问题的调研和分析的基础之上，对政府电子化服务绩效评估框架做了进一步的修改和完善。

【关键词】：公民视角 政府电子化服务 绩效评估

Abstract

In this thesis, the author established a guideline system to evaluate the performance of electronic public service from the view of the citizen, on the basis of commonality administration and management theory, citizen dominion principle, polity equity principle and the principle of client satisfaction degree. And the author had decrypted the performance assessment system for the electronic public service of Beijing city which adopts the measure method of the client satisfaction degree to study its performance from the visual angle of the citizen.

This thesis includes seven chapters.

The first chapter is literature summarization.

The first chapter includes research background, research aim and main issues, research methods, research process, contributions and innovations, limits and break through, frame and research flow.

The basic aim of electronic government construction is to provide low cost, high quality government's electronic service (GES) to society and citizen. GES is the key point of electronic government. And the performance is the final result of electronic government construction. Because of this, the research of GES performance has the realistic meaning.

At present, it is still a vacancy in research of GES performance theory and GES performance assessment system. Although there are already several foreign scholars studying GES performance, they mainly concentrated on individual example research. For Chinese Scholars, it is a new task to research the theory of GES performance. Most of them are research productions of GES performance from the government's stand point, but it is rarely seen that the research production is from

the vision angle of citizen. The most important thing in the assessment of electronic government is the service effect for the citizen. But citizen's appraise is still a vacancy in GES performance assess system. Because of this, the GES performance research from the vision angle of citizen has the academic meaning.

The aim of this thesis is about how to establish a set of GES performance assessment system from the vision angle of citizen.

To finish the task, it is necessary to select a adapted method. In this thesis, the author selected the combination of qualitative and quantitative method.

In the research process, the author selected several different research methods to solve different problems. The methods include: literature review, investigation research, sample investigation, statistical analysis, in-depth interview.

The second chapter is literature summarization.

The second chapter includes the research of government performance assessment, GES performance and new public relationship management theory.

There is great debate on main frame assessment, though there are cross points in the GES performance assessment guideline and embodiment from different researcher in different institute. The author separated the GES performance research literatures into 5 categories according to the different assessment frames.

The 1st literature category is mainly on government's Website performance.

Government's Websites are the main carriers of GES. They are key points of G2C (Government to Citizen) in most occasion, and they have the in public, objective and measurable advantages. Thus, lots of large scale research centers and consultant institutes like to assess the government's Websites' service maturity and translation maturity, and had established quantitative assessment index systems for the government's Websites.

The 2nd literature category is mainly on GES portfolio assessment index system.

GES takes the IT implementation on society and government as start point. Both the technical index of fundamental IT facilities and the statement of human resources will affect the performance of GES. Thus, GES performance assessment frame should include not only the assessment of government's Website establishment, but also include the assessment of fundamental IT facilities and human re-

source statement. This performance assessment frame is more comprehensive, but has not given the description about each weight of the 3 aspect with no formula.

The 3rd literature category is mainly on GES project's validity.

With the increasing index of software investment risk, some consultant company started to pay attention to the GES project's validity. They focus on the aspect of project's service level and operation effectiveness, project's outputs and benefits.

The 4th literature category is mainly on the total benefits of GES.

These literature category usually gives assessment principle from public management aspect, mainly includes economy, efficiency, benefits, fair, responsibility, responses and representative. Such literatures emphasize the spirit and the ideal of public administration, but the spirit and the ideal of public administration could not be quantities analyzed directly.

The 5th literature is mainly on the GES usage rate and usage benefits of citizens in some area or city.

These literatures are using questionnaire investigation and statistical analysis methods to research citizen's knowledge and feeling and acceptance to GES, the shortages of these literatures are without general research frame established and the theoretical analysis is not in-depth.

With the dissemination and in-depth of GES establishment in China, the literatures on GES are rushing out.

These GES literatures mainly concentrate on 3 aspects. The 1st is on theory of GES, including concept, meaning and characteristics, and service quality characteristics and so on. The 2nd is on the technical problem of GES. The 3rd is on the performance of GES, mainly focus on performance of government's Websites.

The research on government Website performance problem mostly finished by consultant companies or research institutes, and the research results are mostly in the report format. Such research usually use fixed pattern, that is establish a assessment index system, collect data by computer or manual, progressing quantitative analysis and sorting compare. The assessment index system usually includes office on network, government affair publicity, interaction between government and citizens, consumer consciousness and so on.

A task group of 'Government Website and Electronic Government laws and

rules research' in Shanghai created a new frame of GES performance research, studied GES implementation and application in Shanghai from user's vision angle. They mainly investigated and researched on the GES knowledge: appraise of tip-staff, tip staves, revenue and taxpayer, and the GES effects on taxpayer. The disadvantage of this research is the samples limit that most of the investigated are internet users and institute students in Shanghai, and the research is relatively simple.

From the relative literatures, we can find that the GES performance is a new research area both in theory and practice. Such research started at the beginning of 21 century.

David H. Rosenhloom, an America public administrative specialist, and Robert S. Kravchuk, associate professor of The School of Public and Environmental Affairs-Indiana University, described and analyzed public administration from managing, political and legal aspects. They created broad sense public administration, which includes traditional public administration, new public administration and public management theory.

In the new public management process of public administration, citizens are considered as consumers. Cost-benefit and consumer response characters are pursued value. The practice knowledge mode of public management process includes not only theoretical consequences and experience review, but also index measurement. Government's budget established on the basis of performance measurement. In a word, performance is an important content of new public management in public administration.

After absorbed the advantages and abandoned the disadvantages of those literatures, using the special research vision angle, thoughts and methodologies, studied more on the basis of those literatures.

The 3rd chapter is on the establishment of GES performance assess system from the vision angle of citizens.

This chapter includes setting the concepts of assessment system, GES performance assessment system, research methods and research assumptions.

On the basis of public management and public administrate theories, the author setups the basic principles of establishing the GES performance assessment

system. They are citizen rights, politic fair, and consumer satisfaction principles.

The citizen principle is mainly on the right of final declaration of citizens to the GES performance. Standing on adiaphorous point, the author has taken the citizens as the main body of GES performance assessment, and researched the citizens' satisfaction to GES by combination method of qualitative analysis and quantitative analysis. On the other hand, the meaning of citizen right principle is also represented in that the GES should serve for all citizens, this means politic fair principle.

The politic fair principle is that the coverage rate of GES on citizens should be higher. The coverage rate of GES on citizens is the citizen's usage rate of GES, means if all citizens have the conditions to use GES, or if the GES is serving for all citizens (especially weak group in citizens), and so on.

The consumer satisfaction is a special form of consumer's attitude which can measure the consumers' satisfaction they practiced. On the one hand, it represents how much the consumer like or dislike the product or service he received; on the other hand, this consumer's attitude will influence him if he will continue accept the product or service.

The author defined the consumer satisfaction as in-depth psychology assessment after the citizen used the GES. Relatively, the consumer satisfaction index of GES including 'attitude to the usage of GES', 'actually usage of GES', 'action attendance to the usage of GES' and 'the totally satisfaction to GES' and so on.

On this basis, author established a GES performance assessment system from the citizen's vision angle, and described the method of researching GES performance, that is customer satisfaction measurement method including questionnaire investigation, statistical analysis and in-depth investigate etc. On the basis of conclusion from electronic government (including GES) performance research, author setup her own research consumptions.

The 4th chapter is on Beijing government GES performance assessment.

The 4th chapter includes introduction of Beijing GES system, Beijing citizens' assessments on GES performance, Beijing civil servants' assessments on GES performance, and the analysis about these two types of assessment.

In order to validate those assumptions, author studied the performance of Beijing GES performance problems from the vision angle of general citizens and civil servants', taking the Beijing GES as an example.

First of all, author described and analyzed the Beijing GES system, including GES institution environment, facilitate frame and system environment.

The GES construction is not only an IT problem, but also an engineering system with close correlation to national politic and culture environment and government administrative system. So long as the scientific government administrative system is established, the reasonable developed and fully used GES system is guaranteed.

Since the reform of Chinese government administration system, especially since the establishments of electronic government (including GES), serials laws and rules have been setup and reform of local government reforms have been build up. Among the laws and regulations, Public Administration Law and Information Public Law are related to the GES establishment.

Electronic government is not only closely correlated with reform of public administration system, but also need to be guaranteed by electronic government law and regulations. The setup of electronic government law and regulations includes *Digital Signature Regulation* and serial standard regulations' declaration and implementation.

The Beijing GES system environment includes inner network and outer network of Beijing GES, and Beijing government decision supervision system.

Second of all, the author compared the assessment to the Beijing GES performance from general citizens and civil servants, using questionnaire investigate and statistical analysis methods. The result is as following: Beijing electronic government and GES establishment level is not high. There is digital division in the Citizen's GES usage process, including narrow application, low usage level and low effectiveness. It is common in the lack of performance assessment system for those GES departments of government. The assessments to electronic government and GES performance from citizens and civil servants are relatively low, and both of the citizens and civil servants considering that the biggest benefited is not themselves. And both of them have the supporting attitude to electronic government.

The 5th chapter is on the problems in Beijing GES.

The 5th chapter includes investigation to the problems in GES, analysis and conclusion to the problem in GES, modification and consummation to the GES performance assessment system.

Aiming at the low assessment to GES performance from general citizens and civil servants, author investigated and analyzed the problems in GES.

First, author investigated the problems in GES by questionnaire investigation, statistical analysis, literature research, as well as interview and inspection methods.

Second, on the basis of the upper, author analyzed and concluded the problems in GES, and found out that there is Digital Division phenomena in Beijing GES. And the author analyzed the Digital Division's characteristics from 5 aspects, including dissemination rate of information facilities, abundance level of information resources, diathesis and competence of information main body, application development competence of information technology, and consummation level of information policy. According to the relationship between public administration/public management and GES, the problems of electronic government and GES from civil servants were concluded into 5 aspects: public administrative culture, GES related laws and regulations setup and implementation, system statement of government, business process of government, leader's leadership and management ability on GES system establishment.

At last, author modified and consummated the GES performance assessment system on the basis of investigation and analysis of GES problems.

Keywords: citizens' perspective GES performance assessment

前 言

政府为了适应变化了的公共行政环境，提高自身的管理和服务能力，耗费巨资来建设电子政务。电子政务建设的根本目标，是向社会和公民提供低成本、高质量的政府电子化服务，因此，绩效是电子政务建设追求的最终结果。好的绩效评估体系和方法不仅可以直观地再现电子政务发展状态，还可以突显电子政务建设中存在的重大问题，为电子政务建设策略的调整和方法的改进提供了依据。

目前，国际上虽已有少数学者从公民的视角来研究电子政务的绩效问题，但对于中国学者来说，从政府立场来研究电子政务绩效的研究成果比较多，而从公民视角上基于实证的研究，是不多见的。考核一个电子政务是否成功，最重要的是评估它为公民服务的效果，而公民在电子政务绩效评估体系中有所缺失。基于不同的视角和方法进行研究，会导致一系列不同的研究成果。因此，基于公民视角来研究电子政务绩效评估问题，具有学术价值。

绩效评估已经成为电子政务建设中的一个重要环节，政府部门定期的通过电子政务绩效评估来考核其业绩和调整其建设策略。作者提出的基于公民视角的政府电子化服务绩效评估体系和具体的实施方法，对于实施绩效考核的政府部门具有借鉴意义和应用价值。

作者依据公共行政和公共管理理论，把公民主权、政治公平和顾客满意度等理论引入到政府电子化服务绩效评估领域，使用顾客满意度测量方法构建了基于公民视角的政府电子化服务绩效评估体系，并运用该体系采用抽样调查、统计分析和深度访谈等方法研究了北京市普通公民和公务员对北京市政府电子化服务的使用状态和基本需求。在该评估结果的基础之上，作者分析了我国现阶段政府电子化服务建设的发展状态和其中存在的问题，这些问题主要体现在：实施电子政务的政府机关单位，普遍缺乏绩效评估机制；公