精益统计，超越绩效
Lean Statistics, Beyond Performance
——刍议图书馆统计与绩效管理

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精益统计，超越绩效
Lean Statistics, Beyond Performance

- ## 从绩效评估到绩效管理
From Performance Measurement to Performance Management

- ## 从绩效考核到绩效使能
From Performance Assessment to Performance Empowerment

上海图书馆
上海科学技术情报研究所

从绩效评估到绩效管理
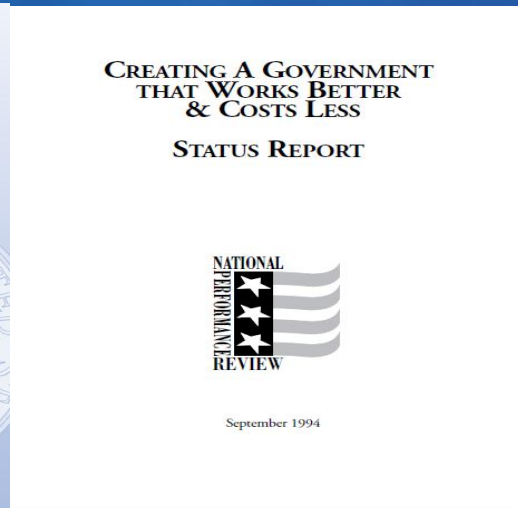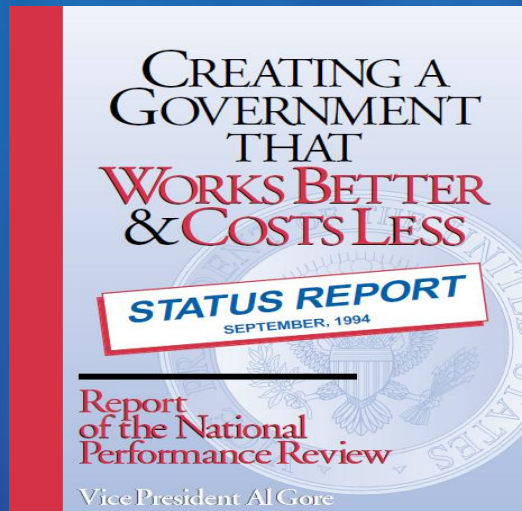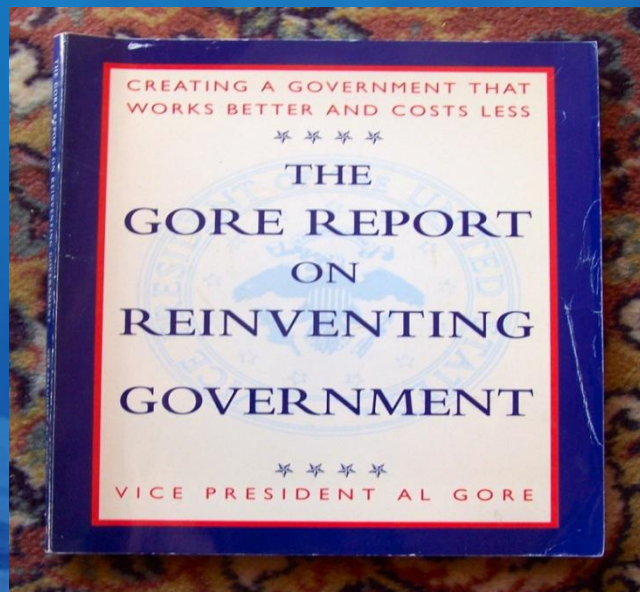## From Performance Measurement to Performance Management

- 图书馆评估就是对图书馆的绩效评估

从绩效评估到绩效管理

From Performance Measurement to Performance Management

- 公共机构的绩效评估是新公共管理运动的产物

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1998 年 开始，国际标准化组织（ISO）陆续发布了一系列图书馆绩效评估相关标准。

ISO11620：1998 **Information and documentation — Library performance indicators**信息和文献工作—图书馆绩效指标

ISO11620：1998.Amd1:2003 **Information and documentation — Library performance indicators — Amendment 1: Additional performance indicators for libraries**

ISO11620:2008 **Information and documentation — Library performance indicators**信息和文献工作—图书馆绩效指标

ISO11620:2014 **Information and documentation — Library performance indicators** 信息和文献工作—图书馆绩效指标

ISO/TR20983:2003 **Information and documentation — Performance indicators for electronic library services** 电子图书馆服务绩效指标

ISO 2789:2006 Information and documentation — International library statistics 国际图书馆统计

ISO 2789:2013 Information and documentation — International library statistics 国际图书馆统计

从绩效评估到绩效管理
From Performance Measurement to Performance Management

- 全面科学理解和把握 "绩效Performance"
  - 绩：投入Input+产出Outputs——统计
  - 效：效果 Effect+效率 Efficiency，成果Outcomes+影响Impact——调查统计+分析研究
  - 绩效：组织绩效、项目绩效、团队绩效、个人绩效

Global Library Statistics
(IFLA/UNESCO/ISO)

Annex 1. Global library statistics

All data to be collected separately for public libraries and higher education institution libraries

1	Libraries: Access and facilities	6 questions
1.1	Number of libraries	
1.2	Number of user workplaces (seats)	
1.3	Weekly opening hours • less than or equal to 20 • 20 to 40 • 40 to 60 • over 60	
1.4	Electronic services by type (percentage of libraries offering these services) • Internet access for users • online catalogues • websites	
2	Collection	4 questions
2.1	Number of volumes	
2.2	Number of electronic collections by type • electronic serials (subscriptions) • ebooks (titles) • databases (purchased or licensed)	
3	Library activities and events	2 questions
3.1	Number of events	
3.2	Total annual attendance at user training sessions	
4	Library use and users	
4.1	Total registered users	
4.2	Loans and usage • number of loans (without renewals and ILL) • number of downloads from the e-collection • number of visits	
5	Library staff	3 questions
5.1	Number of employees (headcounts) • of which female	
5.2	Hours of training per staff member	
6	Expenditure	4 questions
6.1	Expenditure • total operating expenditure • staff costs • expenditure on literature and information • other costs	
		23 questions

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Global Library Statistics
(IFLA/UNESCO/ISO)

Annex 2. Core performance indicators

The 23 indicators are calculated with data from the global statistics dataset and the following socio-demographic data of a country:

- Number of inhabitants
- Number of literate inhabitants
- Number of students in higher education

Setting data in relation not to the whole population, but to those inhabitants that are literate, may help to identify correlations between library use and literacy. The idea is that a higher number of public libraries, their collections and services, and a high amount of library use may have influenced the percentage of literate inhabitants in a country.

Of the 23 indicators 15 refer to public libraries. This is due to the double relation to total inhabitants and literate inhabitants, but also to the fact that the role of libraries for society is more clearly visible in public libraries.

Section	Core indicators
1. Access and facilities	– Average number of public libraries per 1000 inhabitants – Weighted average **opening hours** for public libraries – Average **opening hours** for higher education institution libraries – Percentage of public libraries offering an **Internet access** for users – Percentage of public libraries offering **websites**
2. Collection	– Average number of **volumes** in higher education institution libraries per student of higher education – Average number of **volumes** in public libraries per 1000 inhabitants – Average number of **volumes** in public libraries per 1000 literate inhabitants
4. Library use and users	– Number of **registered users** per 1000 inhabitants in public libraries – Number of **registered users** per 1000 literate inhabitants in public libraries – Number of **registered users** in higher education libraries as a percentage of number of students – Average number of **loans** per 1000 inhabitants in public libraries – Average number of **loans** per 1000 literate inhabitants in public libraries – Average number of **loans** per student (higher education) in higher education institution libraries – Number of **visits** in public libraries per 1000 inhabitants – Number of **visits** in public libraries per 1000 literate inhabitants – Number of **visits** in higher education institution libraries per students of higher education
5. Library staff	– Average number of **employees** in public libraries – Average number of **employees** in higher education institution libraries – Ratio of female to male **employees** in public libraries – Ratio of female to male **employees** in higher education institutions libraries
6. Expenditure	– **Expenditure on literature and information** per inhabitant in public libraries – **Expenditure on literature and information** per student of higher education in higher education institution libraries

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从绩效评估到绩效管理
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- ## 基于成果（Outcome-based）的绩效测评

  – **Bertot and McClure, in a 2003 article in *Library Trends* (pp. 599–600), identified six types of outcomes: 1. Economic: outcomes that relate to the financial status of library users 2. Learning: outcomes reflecting the learning skills and acquisition of knowledge of users 3. Research: outcomes that include, for example, the impacts of library services and resources on the research process of faculty and students 4. Information Exchange: outcomes that include the ability of users to exchange information with organizations and other individuals 5. Cultural: the impact of library resources and services on the ability of library users to benefi t from cultural activities 6. Community: outcomes that affect a local community and in turn affect the quality of life for members of the community.**

从绩效评估到绩效管理
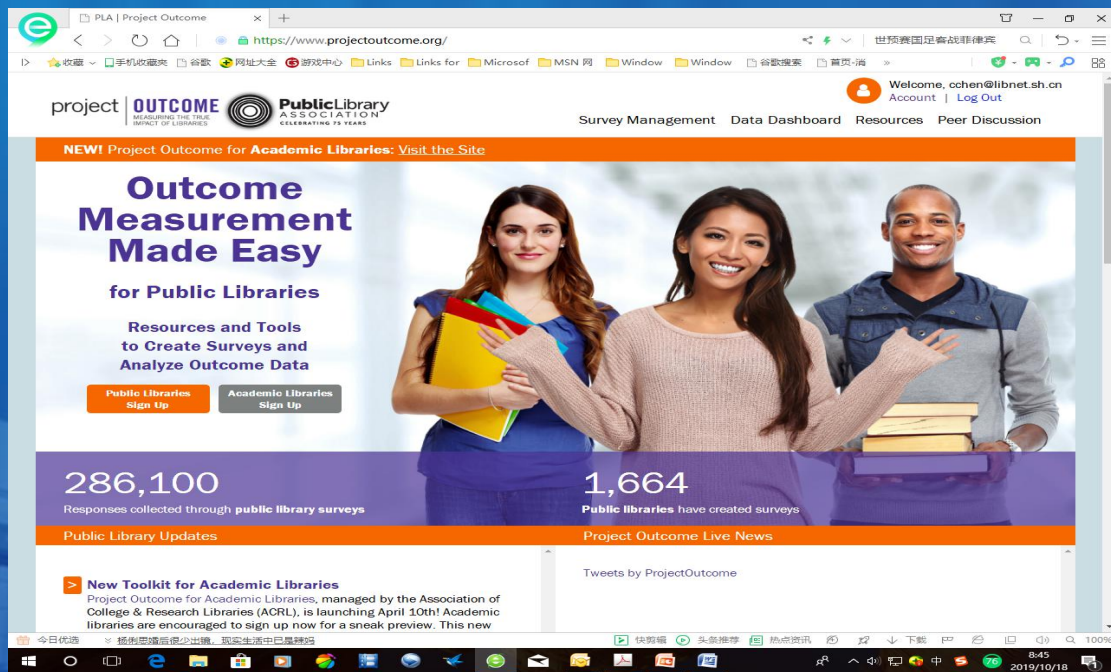## From Performance Measurement to Performance Management

- 全面科学理解和把握"绩效管理"
  - 绩效管理：质量管理、资金管理、项目管理、人力资源管理、非营利组织管理
  - 事前-事中-事后，过程+结果
  - 定性+定量，统计+调查
  - 整体-局部-个体：复杂性+系统性

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- 基于成果（Outcome-based）的绩效测评

https://projectoutcome.org

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- **What is Project Outcome?**
- We help libraries understand and share the true impact of their services and programs with simple surveys and an easy-to-use process to measure and analyze outcomes. Project Outcome is a free toolkit offering libraries access to training, data analytics, and standardized surveys that measure outcomes in key library service areas:
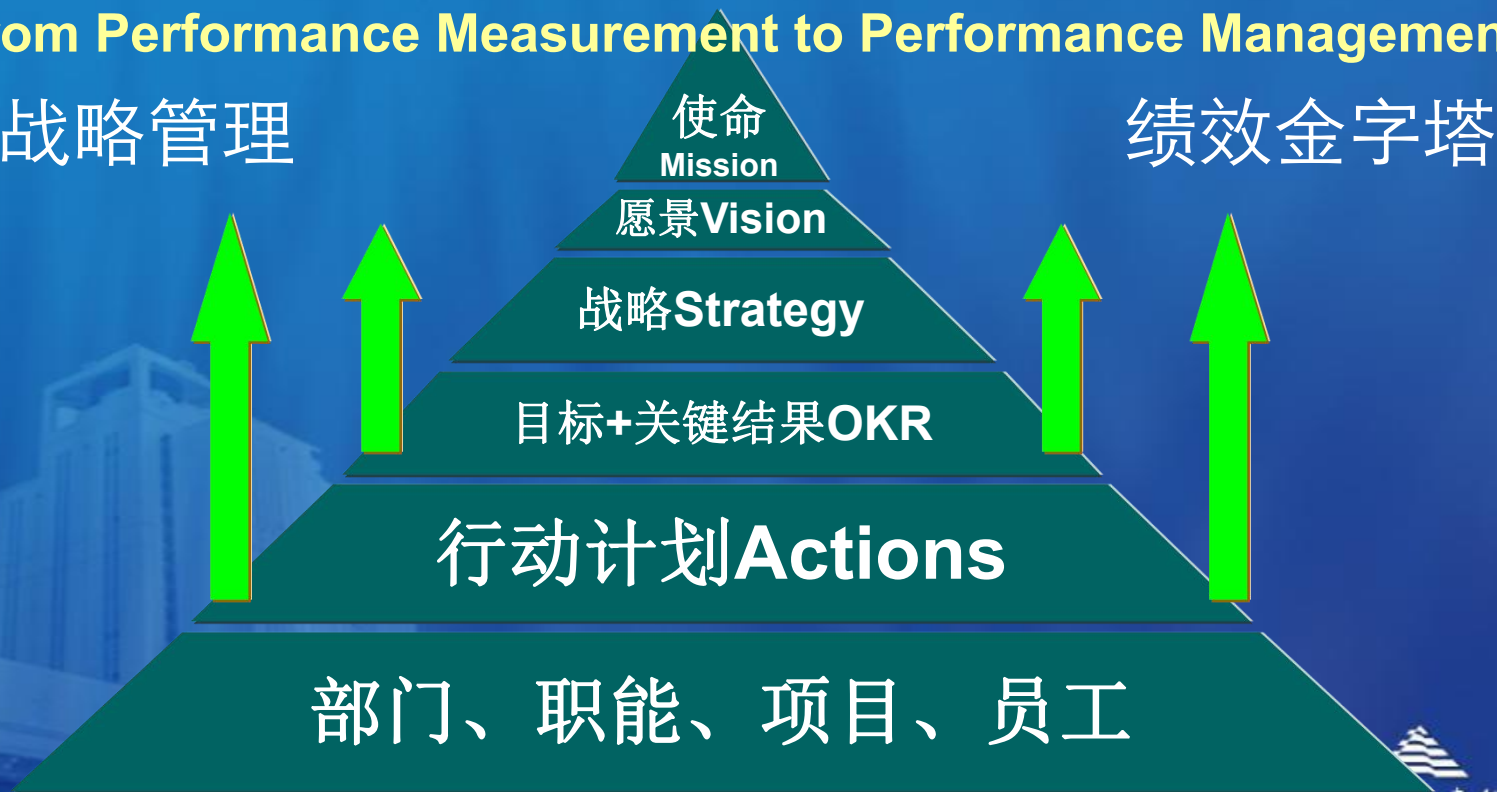
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战略管理

绩效金字塔

使命 Mission

愿景Vision

战略Strategy

目标+关键结果OKR

行动计划Actions

部门、职能、项目、员工

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From Performance Measurement to Performance Management

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  - 绩效管理：质量管理、资金管理、项目管理、人力资源管理、非营利组织管理
  - 组织绩效、项目绩效、团队绩效、个人绩效
  - 不同的管理视角、共同的目标愿景
  - 引入图书馆时如何协调协同？

从绩效考核到绩效使能

From Performance Assessment to Performance Empowerment

绩效管理的理念变革——**使能**

1、发展导向而非评估导向

2、自下而上而非自上而下

3、内在动机驱动而非绩效考核驱动

4、关注最终效果而非直接产出

参阅《绩效使能：超越OKR》
况阳著. 机械工业出版社，
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从绩效考核到绩效使能

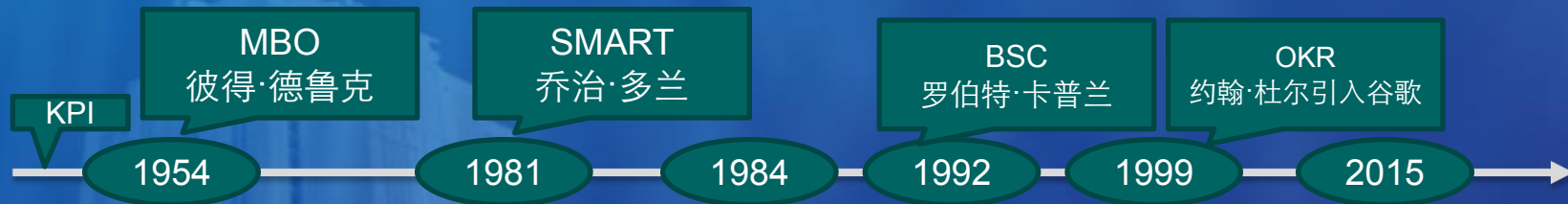## From Performance Assessment to Performance Empowerment

- 防止"绩效主义"
  - 目标自上而下分解指派，员工缺乏对工作的价值感知。
  - 绩效辅导等同于进展跟踪和监控，员工在工作中缺乏自主。
  - 强制绩效比例，让团队成员间竞争大于合作。
  - 强绩效应用桎梏了员工的冒险精神，员工因害怕犯错而不敢制定挑战性目标。

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- 绩效管理工具——平衡计分卡**BSC**、关键绩效指标**KPI**、关键成功因素**CSF**、目标与关键成果**OKR**

MBO 彼得·德鲁克	**SMART** 乔治·多兰		**BSC** 罗伯特·卡普兰	**OKR** 约翰·杜尔引入谷歌

KPI

1954 1981 1984 1992 1999 2015

参阅《绩效使能：超越OKR》
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- ## 绩效管理的发展历程

考勤　　　考核1.0　　　管理2.0　　　使能3.0

蒸汽时代　　　电气时代　　　信息时代　　　人工智能时代
（1769-1873）　（1873-1950）　（1950-2016）　（2016~）

绩效管理3.0　　　绩效管理2.0　　　　　　　　　　绩效管理1.0

工作动机　　　目标制定　　　过程管理　　　绩效评价

参阅《绩效使能：超越OKR》
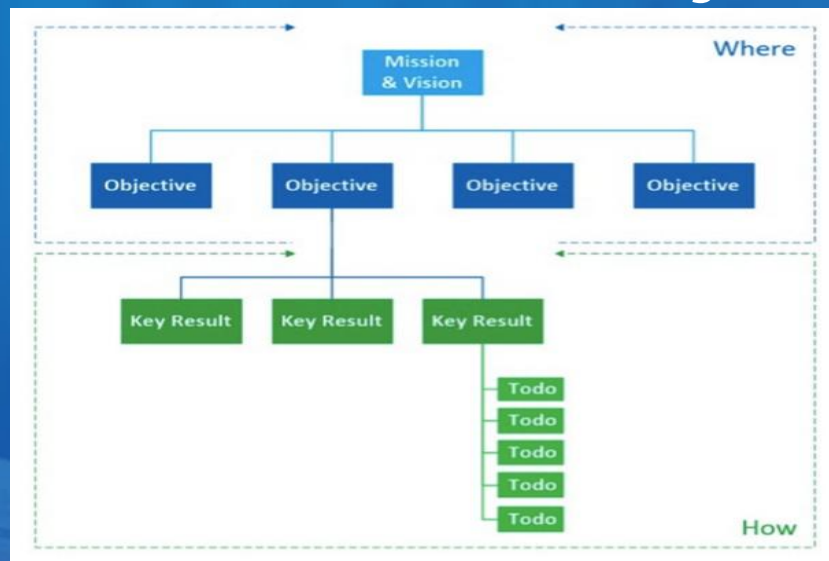况阳著. 机械工业出版社，
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从绩效考核到绩效使能

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• OKR—Objectives & Key Results

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1、发展导向而非评估导向

2、自下而上而非自上而下

3、内在动机驱动而非绩效考核驱动

4、关注最终效果而非直接产出

从来没有完美的工具

不以绩效提升和组织目标实现为

根本的绩效管理就是"耍流氓"

从绩效考核到绩效使能
From Performance Assessment to Performance Empowerment

统计工作是绩效管理的前提和基础。
1、统计方法
2、统计口径
3、统计分析
4、数据颗粒度

谢谢大家！

请批评指正！

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2019 年 11 月 20 日

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