# 陸、專題演講 III

# Keynote Speech III

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一、時　間：101 年 10 月 16 日 ( 星期二 ) 上午 9 時 30 分
二、主　題：The Quality Training and Excellent Performance of the United States
三、主持人：趙麗雲 考試委員
四、演講人：Matthew C. Stafford 美國聯邦行政研究院副院長兼院務長
五、主持人：

各位先生、各位女士早安，我是今天早上的主持人趙麗雲，謹代表主辦單位謝謝各位的參與，根據我們今天的議程，早上第一個場次就是第三場的專題演講，今天演講的主題是美國公務體系的優質訓練與績效表現，大家可以在手冊中看到專題演講人的簡歷，不過我還是很榮幸能夠幫大家簡單介紹我們的演講人 Stafford 博士，他是美國聯邦行政研究院的副院長以及院務長，讓我們歡迎 Stafford 博士。

六、演講內容：

早安，我有講對嗎？你好，這次好像講的比較好，我是 Matthew，很早很早以前，人家叫我博士或叫我中校、上校，但是我現在覺得我們還是叫親切一點，叫我 Matthew 就好了，因爲我們的友誼比我的頭銜更重要。我要謝謝主辦單位，也謝謝各位與會、貴賓，在過去兩個禮拜，我們舉辦了一個工作坊，在中華民國和世界各地的工作坊我學到很多，感謝大家的參與，也謝謝各位與會人士今天的參與，謝謝大家跟我分享各式各樣的經驗，我從各位身上學到很多，非常感謝各位。

今天我們要談的是美國公務體系的訓練以及績效。這是我今天簡報的大綱，我很高興可以跟大家分享在這幾個主題上面我的一些想法，我們要怎麼樣瞭解美國的文官體系，首先我們要先瞭解一下歷史，美國的歷史是很短的，如果眞的要瞭解文官制度的話，要從中國來瞭解起，比如說從中國的漢代開始，當時漢武帝首次幫文官建立了績效制度，也就是根據大家的能力來招募這些文官，因此，漢武帝給了我們很好的傳統。

對於美國來說，我喜歡從兩個實驗講起，這都是在大西洋沿岸發生的，當然跟中國歷史比起來很短，在 1607 年的時候，英國的殖民者到了美國一個叫 Jamestown 的地方，這是在大西洋岸的一個地方，這個地方很不適合居住，附近都是沼澤，有很多蚊蟲，然後土地也很糟，很難種出什麼植物和作物來，這些人來這裡是爲了追求經濟機會的，可是到了這裡，卻要非常辛苦、艱困的努力，如果稍一鬆懈的話，他們這些人就會死亡。這裡的死亡率非常的高，大家可以看到當時的村落，這是重現當時的情況，大家可以看到最邊邊的小屋，他們就是在新大陸的邊緣開始了一個小小的村落，後來又跟美國的原住民起了衝突，開始有戰爭出現。對 Jamestown 這邊就覺得我們要有獨立的精神，這也是後來影響美國社會直到今天的一個力量；第二個影響的力量是來自 13 年後，一群獨立派的人離開了英國，這些是所謂清教徒，他們自稱爲新教徒，他們希望在新世界裡面可以建立新的聚落，可以信仰他們自己的宗教。當中有 51 個人也是像 Jamestown 的人一樣，爲了追求新經濟機會來到新大陸，所以這邊有兩派，一個是清教徒，另一個是追求經濟機會的。他們想自己來開始，但是清教

徒說：不行，你們些追求經濟的人不能夠分開，因爲如果我們不團結的話，我們就沒有辦法一起生存下去，因此後來有了五月花宣言，也就是這個社群裡面追求的不是個人的財富，而是社群的財富。他們就在右下角這邊成立新的聚落，這個聚落非常的成功，而且幫助他們保存了機會，他們也追求到他們想要的自由，也就是說，在美國社會裡存在兩派的思潮。有一派的人非常的追求獨立，另外一派的人非常追求社群的福祉，這些力量到現在還是存在，比如說 Jamestown 這邊的人，他們就是非常追求獨立的人，這些人很喜歡競爭，這些人很有創意能夠創新，而且他們希望能夠限制中央集權的力量，這是我們美國人非常重視並信仰的價值，當然這不是美國才有的價值，世界各地都有這樣的地方，像昨天吳博士說到，他很勇敢的說到，我們在美國會說眞相是有力量的，那眞相爲什麼有力量，就是來自我們 Jamestown 歷史的這段過去。

另外來自普利茅斯 (Plymouth) 的這群人也是另外一股力量，就是我們要爲團體著想，爲社群著想，是利他的，這群人會主張擴張中央政府的力量，大家可以在美國歷史當中不時的看到這些體驗，比如說在美國革命當中就看到獨立精神的體現，這個獨立精神在獨立宣言中寫得非常好，我們認爲這是不言而喻的，所有的人都擁有不可剝奪的權力，包括自由、追求快樂等等。大家想想看追求快樂竟然是政府會寫在宣言裡面的，政府會說我們要追求快樂，因爲快樂只是對不同人來說定義不同，總之，根據這個獨立精神、獨立宣言建立這個政府，但是後來這個政府卻遇到問題，所以 James Madison 要重寫一份文件，必須要重新建立一個政府，因爲之前的獨立宣言建立起來的政府失敗了。第二次文件寫的就是美國的憲法，這群人爲了要成立一個更好的聯邦，所以這裡寫著我們，不是個人而是我們這個社群。

但是今天我要跟大家說，因爲這個來自普利茅斯這派的，重視社群的這派在推動我們公務體系，因爲我們存在的價值就是要服務，這個很重要，但是我們也不可以忽略 Jamestown 的獨立精神，讓我們可以創新，可以有創意。憲法通過之後，這個獨立派的人說：好，我可以同意這個，但你必須要在這裡面再加上一些保障個人權力的這些文件。因此，美國創國初期，可看到獨立派跟社群派兩邊的鬥爭就一直在演進，到今天仍然是這樣。大家在今天的總統大選當中也可以看到我們有兩位總統候選人，正進行一系列的總統大選辯論，有些人主張個人自由，把錢還給大家，讓個人可以發揮他的創意跟創新；但是另一方則認爲，社群更重要，這些財富跟利益應該是共享的，來打造一個更好的社群、更好的社會。所以這兩方呢？他們都是對的，他們都沒有錯，最後是由選民來決定未來四年要由誰來當政。公務人員這個體系並沒有在我們憲法裡面直接的提到，憲法裡面只有說到總統會指派一些行政機構，這個行政機構有那些，在憲法裡並沒有說該如何運作。在前兩年其實運作得很好，但是後來 Andrew Jackson 當選總統，他上任之後，就把這些文官都趕出去，帶進了他自己的朋友、黨派，這個就把體系破壞了。也就是說，贏家全拿，這個作法很糟，Jackson 帶了他的黨派進來，幾乎是搶劫了我們的政府，因此當時我們希望中央政府可以限制總統指派公僕的權利，希望這些公僕的選任都是根據一定的標準來執行的。後來，我們在 1870 年代的時候成立了潘道爾頓法案，也就是公務人員要有一定的倫理、價值，可以不受政治的影響，這是一個非常重要的社會運動，希望能夠改善 Jackson 時代帶來的一些貪污問題，這是 1883 年的潘道爾頓法案。這種你不能根據政治的因素，來僱用或解僱公務人員的規定，很像 2009 年臺灣的一個相關法案。

後來又有相關的改革，比如說勞資關係法，這個是在 1935 年，讓勞方有集體談判的權力，昨天

我們也談到集體談判的能力，就是 Jamestown 獨立派的精神，但是另外一方面又看到普利茅斯這派社群的力量，其後又有 1964 年的民權法案，提到不可以有歧視的行爲，1978 年的公務改革法，提到高級文官的部分，也就是說文官可以從這個組織換到另外一個組織，只要他們能夠解決我們的問題。

大家現在對於美國比較進一步瞭解後，就可以進一步知道我們的公務體系都是從宣誓開始，要成爲公務人員時先要宣誓，憲法裡面並沒有明文說到公務人員，我們宣誓的是效忠我們國家的價值，也就是將個人的利益放在後面，把團體國家的利益放在前面。第二個部分則是有工作內容的敘述，這個職位要做些什麼？這些工作內容究竟是什麼？在這個工作內容的描述當中，也有談到績效的指標，這個績效指標是誰來決定，是由個人還是主管來決定的，比如說我有不同的職員，不同的職員工作內容都是不一樣的，他的績效指標也不一樣，因爲對組織的價值也不同。這個則是個人發展計劃，我訂出了績效指標、績效目標之後，就跟我的部屬談談，他希望要有什麼樣的發展機會、想要什麼樣的訓練、想要什麼樣的體驗、在未來一年想要追求些什麼，我也會請他們寫下來他們的職涯目標，包括在一到兩年想要達成什麼、五年之後想要達成什麼，這就是我們績效指標一個回饋的機制，未來一年再回來看這些文件。比如說現在有一個教授，他現在談的是情緒智商，那我就帶他去不同的學校去學，比如說神經科學還有情緒，還有這些知識怎麼影響到高階主管的決策；另外一位教授則是在作課程開發的部分，他在做課程理論，他的發展計劃跟另外一位教授就截然不同，但這一切都是爲了整體的利益著想。

除此之外，我們有三種不同的訓練，其中是有針對特定工作的，屬於技術性的訓練，例如執法人員或者是處理實務的相關人員，大部分都是跟勞力比較相關的技術人員；另外也有經常性的訓練，像是安全、多元或者是資訊安全，這個是經常性的訓練，每個人都必須要接受，比如我們從 8 月 1 日開始，所有公務人員必須在 10 月 30 日之前接受經常性的訓練；第三種訓練就是領導階層的訓練，這是我花最多時間的訓練，那可能是主管方面的訓練或是高階文官的訓練，通常是跟領導理論有關，也會有很多的體驗活動，它是非常透徹也非常客製化的訓練活動，因爲每一個領導人或是高階文官發展的階段都不太一樣。普利茅斯它的精神就不太一樣，其實就是跟職能有關係，在這個會議當中一直談到職能，今天也會持續探討，其實我們在所有的 28 項職能當中，都跟我們在這個聯邦人事管理局當中的職缺是有關係的，如果說你要進入聯邦體系的話，就必須要掌握這所有 28 種職能，它可以分成 5 種，比如說變革、領導或是領導人群，但是這些職能之間彼此又互相有關連，這些都是由美國聯邦人事管理局所提出來的，它在跨部會的會議當中提出 28 項職能，我們針對這 28 項職能去設計訓練課程及績效評估的計劃，待會兒我會跟大家再做介紹。

我剛講到發展有三個不同的類型，有訓練、教育以及體驗或是經驗，我們在本次會議當中一直在講訓練，但是我還想要再多談一談教育，因爲我覺得大家都很想要再進一步瞭解教育以及體驗。我們知道所謂的訓練就是對刺激做出反應，例如我們聽到鈴聲就會做反應，或是聽到警報器響了我們會怎麼做，或者是我們看到某一個表格就會去填寫，它是一個封閉的機制，也就是說它沒有辦法讓我們有新的刺激物。在訓練方面，其實去參觀內政部消防署的時候，就感受到訓練的重要性，他們的機構還有他們的硬體做得非常好的，在防災或是救災方面的訓練也做得非常好，我們就看了他的硬體設施，他們會去強化或是進行訓練，針對不同的火災進行回應，但是除了訓練之外，他們也會做教育，教育的重點其實就是要包含認知還有情感兩部分，這點是非常重要的，特別對於消防員

來說就是如此，因爲可以幫他們準備好面對未知，剛才我們講到說訓練它是封閉的，但是教育它就可以是開放的，幫助我們可以做出好的決定，像是消防員他們必須做出一些我們沒有辦法做的決定或是我們不用做的決定，比如說我們要進去某一個地方救火，可能碰到什麼樣的風險，碰到風險之後，或許我的其他隊員就必須要來幫助我，因此他必須要做出類似這樣的判斷，他不能透過訓練做判斷而必須要進一步的了解，透過教育的方式才能做出判斷。除此之外，這些消防員也必須學習不同的火災類型，某一種類型的火災，像是由於燃料潑灑出來而造成的，他們到了現場之後就知道說如何因應不同的情況做應變，透過我們對於救災的教育就能夠幫忙他們去做出決策、做出決定。除了訓練跟教育之外也必須要有經驗或是體驗，舉一個很好的例子，一個實驗或體驗很好的例子，就是在救災中心這邊，救災犬與消防員他們也有去做實際的體驗。

另外一個我在禮拜五看到的例子就是去 ASUS，ASUS 是一個公司，主要的目的就是營利，這個當然沒有什麼問題，因爲公司企業他們大部分的目標就是要營利獲利，但是華碩 ASUS 除此之外，還希望有更高貴的目標與價值，ASUS 他們就是在這樣的目標當中追求更高的價值，比如說推出很好的產品或是推出很好的訓練機會，而且讓學校及在地能夠接受相關的訓練跟教育，讓年輕人準備好迎向未來，他們提供教育讓大家可以創新。此外，他們也希望能夠注重生態，並在生態方面做出好的決策，我們就可以看到以竹子爲外殼的電腦，這些價值是華碩所秉持的目標，而且他們也會灌輸這些價值讓自己的員工去推廣，並透過教育來達到他們的目標。華碩員工他們在年度中會去學習公司的企業價值。對我們來說，我們就要去思考對新的公務人員，到底要灌輸了多少我們所要秉持的價值。其實在美國，我們不會花太多的時間去談所謂憲法賦予我們的價值，但這對我們國家來說是非常重要的，因此我們在學校當中非常注重這個部份，我們學校常常會針對高階的官員做訓練，很多的高階文官會提到我們學校上課之後，是他們第一次聽到這些相關、跟憲法有關的價值，如果是工作 20 幾年才聽到，這實在是太晚了，所以我們要更早做這件事情。

在教育的時候，其實在發展時就必須結合訓練、教育以及體驗或是實作，從另一個角度切入的話，其實學習有三方面，第一個是認知方面，就是所謂大腦方面的訓練，還有就是情感方面的學習，再來是技藝方面的學習，像是實作必須要把握機會把這三者結合在一起。在學習的時候，我們有時候要去記憶或是強記，年紀大了要強記比較困難，但我們年紀比較輕的時候其實有很多實作的方法，比如說記單字的時候就畫圖或是用單字卡，透過實作的方式比較有辦法記得，成人之後也可以採用這樣子的方法，而講到訓練的時候，其實大部分都是認知跟記憶的，而教育大部分是情感跟認知的，但是我覺得我們應該要盡可能去牽涉到認知還有情感以及技藝方面的學習，在我們的文官訓練計劃當中有很多不同的教學方法，比如說包含線上課程，我們另外用美國聯邦人事管理局（OPM）的學習網絡，這邊大部分談的都是所謂認知層面的學習，並沒有任何的實作，當然我們最後的測驗結果表現是還不錯的，但它實際造成的影響是比較小的。另外，我們也有比較正式的課程，在這方面表現的也還不錯，這涉到情感和認知層面的學習、在職方面，也就是所謂的實作學習，這方面還有訓練機會，就是我們會讓許多人可以針對自己所進行的業務來學習，而就線上學習方面，我們有一系列的課程、目錄，讓公務人員他們可以用獨立的方式去選擇自己想要的課程。我們針對領導也有所謂的認證，公務人員可以在線上或實際學習，並獲得認證，這會讓在他們履歷更豐富，也會成爲未來他們升遷很好的指標。此外，我們也有線上的指導，這個也是我們人事局的學習網絡當中所包含的。

現在大家瞭解了美國的情況，也瞭解我們體制、還有訓練的方法之後，我想要跟大家談一談我們所面臨的挑戰和機會以及解決方案。爲什麼我會把挑戰與機會放在一起呢？因爲我覺得每一次碰到挑戰都會有所謂的轉機，如果一棟樓它倒了或是發生火災，就表示我們可以蓋一棟新的大樓，在災害當中其實也有機會的，很多人會把災害或混亂當作是負面的，其實就沒有去善用其中所包含的機會，其實我們很多時候都處於這種封閉的訓練體制當中，但是很多時候碰到新的刺激、新的問題之後我們就不知道該怎麼處理了。碰到火災後很多人都不知道該怎麼做，常常看到很多人在火災當中被煙嗆死，但是懂得創新的人，他們就會懂的化危機爲轉機，比如說可以在牆壁上面打一個洞，然後逃出去。我的重點就是我們必須要有更多創新的機會，必須要透過教育來達成創新，以下就是我們所採取的一些方法。

首先，必須要先建立夥伴關係，美國的政府大約有170萬名文官，大部份美國政府所面臨的問題，也就是在操作或是實務面的問題，其實大部分都已經獲得解決了，但是我覺得文官之間彼此必須要分享經驗，像是勞工部做的事情，如果能夠透過其他部會或是人事管理局分享的話，處理事情可以更快速。而現在人事管理局也會跟國防部互相合作，希望能針對中階文官來推出一個方案，如此一來，就可以減低很多重覆的業務，可以讓比較資淺的官員晉升到中階文官。另外一方面可以進步的，就是我們可以有公部門的這種訓練機構，像是國家文官學院。在世界咖啡館時，我有看到類似的模式，就覺得可以推廣這樣的方法。我自己以前曾經碰過某一些問題，但在公部門的機制中，不知道如何處理和找到答案，共享有些學生在寫碩士論文，進行某一些問題的相關研究，或許我們就可以打電話給這些學生，告訴他們現在碰到的一些問題，詢問他們是不是可以協助政府來解決這些問題，目前有匈牙利學者 Dr. Kuei 就是在做類似的研究，所以我們要跟更多不同的學者、研究人員來合作，讓他們來幫忙解決政府所面臨的問題，所以夥伴關係是很重要的，我們現在就跟南加大、柏克萊大學互相合作，所以他們就可以選讀我們的課程並獲得學分，反之亦然，透過這樣子的方式，我們也希望能夠推廣或者是提升文官的教育。此外，我們也跟哈佛大學還有很多其他的學校互相合作。

最後是國際協定，除了部會之外，國家之間的互相分享也是很重要的。昨天的講者就有講到國際教育，那麼國家之間的交流就牽涉到國際教育，就是彼此分享機會，能夠獲得跨國界，不要受到政府體制的影響。透過跨國界的方式來做交流，因爲我們秉持著服務人民的精神，透過交流讓服務更有效率，希望在這次的會議也秉持著這樣的精神。而我們重視的，也是我們曾經在華碩的時候討論到的，某一些業務之間的這種交疊或是重複，他們用 Lin six sigma ，也就是六個標準差。我很少會看到政府用這樣的方式去檢視自己的業務，除了軍方它是一個例外，軍方會有用這樣的方法去檢視自己的業務，不過大部分的軍方單位，他不會去檢視最後產出的結果，因爲像是軍方在打仗的時候，其實就是要打贏，不會去想效率的問題、也不會考慮是不是能減少成本等等。不過身爲公務人員我們也要把握這其中的機會，然後去減少業務之間的重複或重疊。美國聯邦人事管理局跟國防部就是要達成這樣子的目標，去減少重複的計劃、政策或是方案，這樣子才不會浪費太多資源和浪費納稅人的稅金，所以重點就是要精簡，只要達到最主要的目標就可以了。

另外一個所要講的議題就是優質評估，很多公務人員在評估績效的時候就是以輸入或是投入，比如說金錢或是人員，每年舉辦多少教育，但我覺得這都不是最好的評估方式，因爲評估一個方案是否成功是要看它的成果，也就是訓練的結果到底如何才是我們關注的焦點。我們要去了解大環境

才會知道績效評估是不是做得正確，到底訓練是不是能改變大環境，這就是訓練的結果要評估的內容。如果說文官非常的努力工作，在這樣的體制之下，但是他們有太多需要服務的民眾導致他們過勞，業務量太重，就必須把這個大環境的因素納入考量，給他們不錯的績效評估。除此之外，也希望能夠減少他們負擔，減少需要服務的人或是減輕他們的業務量，希望透過改變的方式來改變大環境。其中一個模型就是柯博屈模式，它有四個不同的層次，最下面是滿意，上面是學習，但大部分的評鑑都只是評鑑最下面兩個，也就是說有無學到東西、是否滿意，有時我們把他叫作微笑回饋圖，當然我們都希望大家喜歡我們做的事情，但是喜歡與否與訓練是否有效是無關的，我們必須做得更多，我們要問來學習的人是否有把訓練學到的東西，應用到他的工作上，是否改變了機構的作法。所以我們又加了另外一層，就是 ROI 的部分—投資報酬率，身為文官體系的人，我們的長官就是要知道我們的這些訓練是否有產生投資報酬率，是否讓政府更好更有效率，更能夠幫助到人民等等，這是我們必須要更注重的部份。

我可以看到不同的人事管理方式，我們現在在聯邦政府裡面有越來越多的訓練，做這些訓練評估的時候更注意到我所說的這些重要事項。就像昨天 Monica 說到在德國有代溝，還有職場老年化的問題，其實我到各個研討會都聽到一樣的問題，在美國大家都說這是銀髮化，因為大家的頭髮都變白了，這些人不斷地變老，也沒有新的人來取代這些員工，某些政府過去曾經僱用了太多職員，現在就有太多的人在體系裡，有些人覺得年輕人並不那麼喜歡進聯邦政府做事，他們比較是 Jamestown 獨立那一派，不是普利茅斯重視社群的這一塊。其實這是一個挑戰沒錯，但挑戰也代表機會，我們可以證明專家是錯的，也許年輕人並不重視價值，而我們就不必一直去強調價值，就像我們昨天有聽到蒙古的作法，像蒙古做的多好，他改變人民的價值而提升了識字率，我們是不是能夠改變人民的價值，讓人民重視公共服務呢？其實在美國曾經發生過，就是在 911 事件之後，美國的人都團結起來，有 18 個月的時間，大家整個社會的心態都是不一樣的，大家都想要為大眾服務，這個就像一波浪潮一樣就過去了，但其實不是要靠危機來激發大家這種社群意識，這需要公部門的提倡來保持這樣的意識。再來呢，我總是在上課，大家希望我們來上課，來講所謂的「嬰兒潮」還有所謂的「X 世代」「Y 世代」等等，還有最新的「J 世代」叫「千禧年世代」的年輕人，可是光是知道我們這幾個世代不一樣並沒有辦法解決問題的，我們不僅要知道當中的差異，更要知道哪些是相同的，比如說是否大家都認同公務體系的價值、大家是否都願意為社群服務等。

另外我們要做的事就是把知識保存下來，現在文官體系裡面，是資深文官知道該怎麼做事，我們要把他們的知識留下來，但對他們是一個很大的威脅，你跟他說”好，你把你知道的事情都寫下來”，他們就想說”啊，為什麼你要我寫這個，你是要開除我了嗎？”其實不是的。華碩有一些員工他們了解核心價值是個人身上才有的，別人是無法取代的，所以私人企業是可以靠這個來賺錢的，可是公務體系不可以這樣，公務體系是要有共同的價值，我們是要為社群服務，我們必須要把這些知識留存下來才能為社群服務，這是部份是我們要多花時間進行的。另外一部分則是教育，我們要不斷的教育大家，讓大家跳出訓練的迴圈，可以有新的想法可以去處理未來新的問題與不斷改變的挑戰。我們也需要更多世代之間的輔導，例如在美國，我們會找高階與初階官員合作，由資深官員幫助剛入門的人員瞭解政府體系如何運作。過去兩年我們又做了相反的輔導方式，也就是說由資淺的官員輔導資深的官員，讓資深的官員知道有什麼新科技、現在有什麼新的溝通技巧等等，結果效果非常的好。

最後一點就是我們要能夠讓大家去冒險，你今天所學到的事情，是怎麼學來的呢？其實你學到最好的教訓都是透過失敗學到的，例如說自行車車手當初也是摔了很多次，在美國我看到很多飛行員，他過去在 DC 外面試駕的時候，也曾經失事。大家記得曾經有個機師把一架即將墜毀的飛機開到水域上，所以沒有傷害到其他人。現在，大家都覺得他是英雄，當初他並不想要墜機的，但現在他有這個墜機的經驗，大家都來請教他怎麼樣讓飛機停在水域上。過去，像拿破崙將軍是個很聰明的人，他很明智，瞭解人性，在拿破崙將自己右冕成爲法國皇帝時，有一位記者來訪問他，他問拿破崙說：你的這些將軍是什麼樣的人呢？拿破崙說：我不知道，他們從來沒有被打敗過。其實人性都有這部分，拿破崙了解。我們在贏的時候是表現不出眞正的性格的，一個老是在贏的人，基本上就是一個被寵壞的孩子，他想要什麼都可以拿到，他永遠都是贏家，他就變成一個寵壞的孩子。但是小孩要怎樣學到紀律呢？就是他想要什麼東西卻拿不到，這樣的小孩長大之後才能是一個成熟的個體。所以我們就要從拿破崙這個教訓裡面，學到從失敗當中可以學到更多的教訓。另外在職能這部分，我要提一下，這也許是今天最具爭議的一點，幾乎所有的專家都告訴我們訓練都該依照職能來設計，而這作法也已行之有年，但是萬一專家錯了，我們怎麼辦呢？如果我們要訓練出一個最好的聯邦行政官員，不是說把這些像積木一樣的職能組起來就好了，萬一不是這樣而已呢？萬一是還要牽涉到建築呢？我的朋友 Massimo 就是一個建築師，其實建築不是只有科學而已，還包括藝術，所以我也會認爲要訓練出一個高階的聯邦官員，不是只有科學而已，同時牽涉到藝術。George H. Pendlton 說，我們現在需要一個後職能的模式，過去的職能模式其實已經失敗了，世界各地都有高階主管，他們在危機出現的時候卻驚慌失措無法做出決定，過去接受的訓練都將他們固定在一個迴圈裡面，事情發生時卻不知如何回應。我們應該給這些領導人新的體驗，讓他們嘗試新的事情，我覺得這點是非常重要的。我們知道這個在防火員身上、消防隊員身上很重要，他們必須要能夠面對他們沒有處理過的情況。我覺得這對於領導職位的人來說更是重要，那我們的輔導及訓練課程該怎麼樣設計呢？我們的作法就是讓這些領導人才瞭解政府的大環境，我們可以給他們與政府相關的案例，有時我們作一些個案研究，比如說哈佛商學院的個案研究，這些資深的文官他們認爲這些並不適用，那我們可以給他們和政府相關的案例，比如說貪污的案例，像是成功或是失敗的各項政府專案等等。除此之外，我們也要看領導的角色，因爲我們希望把重點放在領導能力，我們不希望資深文官去上初階的課或是資淺文官去上很進階的課，這樣是不夠且不適用的。再來，還要讓他們能因應領導的挑戰，運用新的方法來思考。再來是合作，這是我看到另外一個挑戰，光是合作不就等於教育，當然合作在教育史上佔有一席之地，蘇格拉底就說合作是很有效的學習方式，現在全球大學方面也都有合作式的學習法，但是像蘇格拉底提倡的合作學習法就直接引用到現在臉書，其實臉書你可以說它在社群媒體上是有一些知識，但它眞的很有用嗎？我的女兒一到家就一直在上臉書，我就會問說那你們都在討論什麼呢？她會說我們在討論男生啊、電影啊、音樂啊，可是人生並不是只有男孩子、電影、音樂而已，可是社群媒體上就是討論這些而已，我們不能夠直接把它拿來用，我們必須要想一些方法，想一些技巧讓這些合作科技眞的發揮教育的功效。比如說在捷運上不管是在倫敦的地鐵、臺北的捷運或者是在東京或者是在華盛頓特區，你幾乎都會看到大家都是低頭在看手上的小螢幕，他們不會彼此交談，但他們的確是在合作，這樣是不是很有趣呢？那大家是在汲取知識嗎？或是在擴展新的社交圈嗎？認識新朋友嗎？這大概沒有。就很像是訓練的模式，他們是被鎖在一個小圈圈裡面，他們並沒有新的表現。我看捷運上有這個海報，它有寫到手機通話鈴聲的調整，現在手機太普遍了，所以大家還要來規範一下手機的使用，不要影響到別人。在美國也是一樣，比如我現在去吃晚餐，我看到一對夫妻坐在那邊，他們是不是在吃著燭光晚餐看著對方的眼睛，深情的對望？沒

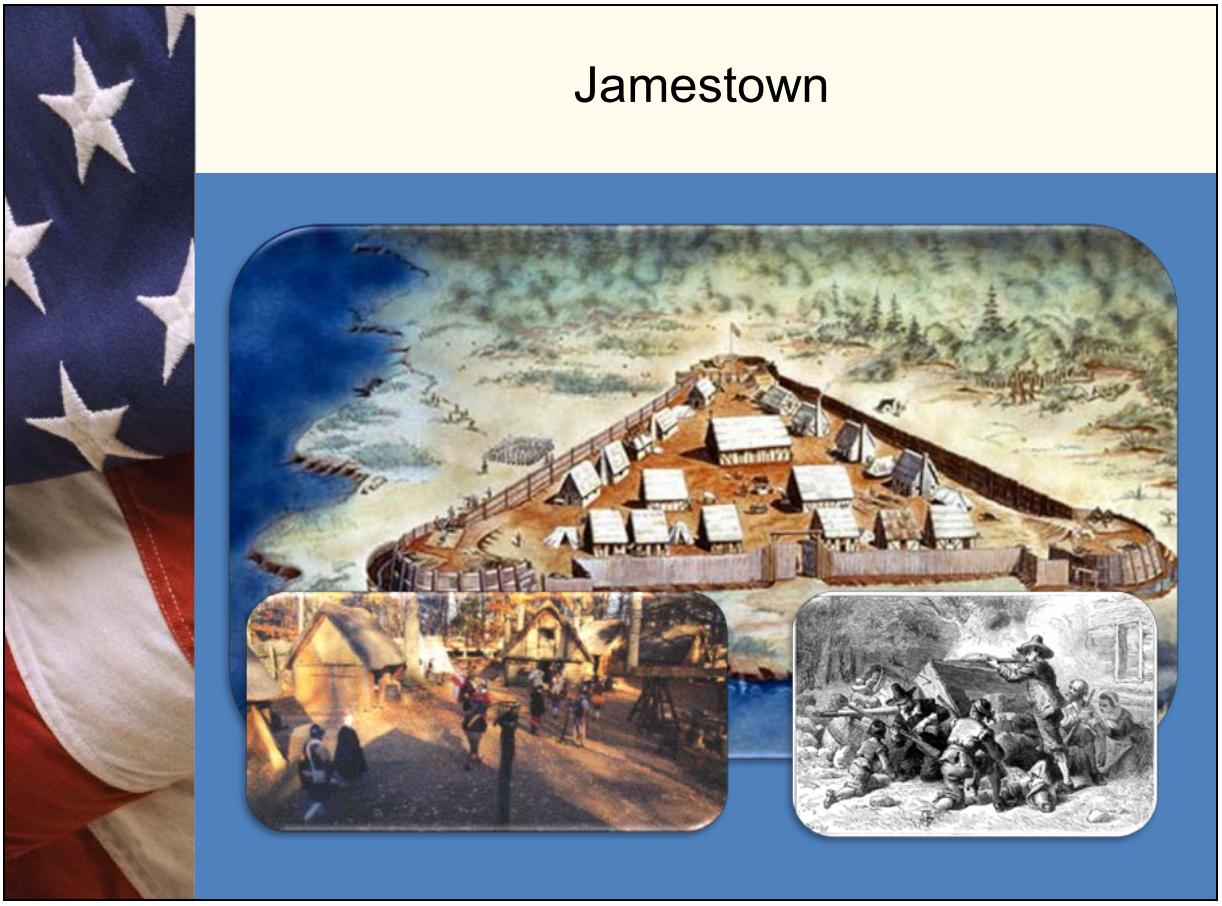
有，他們是自己看自己的手機，現在的世界眞的是截然不同。那我們如何可以做的更好呢？就是透過實踐社群來做，而我正好非常信仰實踐社群理論，這個理論基本上一開始是一個初階的軍官，他們之前有一個很好的做法，他們就是用自己的方式，一個人發現有一個好的做法，他們就在彼此之間相傳，比如有一天他們開會的時候，他們就說我之前失去了一位弟兄，我不知道該怎麼做，結果呢？他開了一個溝通的管道，別的人就跟他說，你應該怎麼樣做？你的弟兄戰亡了，你應該幫他申請什麼什麼，讓他的家屬可以得到撫卹等等，他們是在網站上溝通的。後來，我們就運用這個網站的模式，那還有幾本書也都是從這個模式出來的。這個實踐社群理論就是由 Etienne Wenger 所提出來的，大家如果對實踐社群有興趣，就可以去讀他的這一本書，這個是什麼呢？就是一群人他們會創造出知識，而且非常熱烈的參與在其中，這是最中間的一群人。第二圈、第三圈到最外面一圈的人是偶爾會參與的，根據 Wenger 的理論，我們應該儘量要把外圈的人推到裡圈去，那麼你在設定社群的時侯，不管是實踐社群或是合作的社群，都需要某種監督的人或是協調的人，才不會讓事情、讓溝通討論失焦了，例如說在各式各樣的討論當中，大家都是在聊約會網站或是買車賣車等等。

接下來說到合作，合作對我們未來非常的重要，我們今天其實也在合作，我們必須持續的合作下去，合作對我們的政府有助益，我們政府可以跳過一些學習的過程、跳過一些投資，只要能夠學到其他國家政府已經知道的事情，就可以避免閉門造車，中華民國在這部分其實做得很好，像是過去幾星期的工作坊或今天的研討會，我們已經在公務人員之間建立起分享的體系，接下來該如何做就靠我們自己來決定，我希望大家把時間、精力專注在我們的合作上。今天非常感謝大家的參與，非常感謝各位在各自的政府當中的犧牲付出，也非常謝謝大家今天的聆聽，謝謝！

# Quality Training and Performance Excellence within the United States of America US Civil Service System

Matthew C. Stafford

China's Civil-Service History
Emperor Wu of Han
HAN
The Han Dynasty
206BC – 2200AD


Jamestown

## Plymouth

## Competing Forces

| Jamestown - Individuality | Plymouth - Community |
| --- | --- |
| • Independence and self-reliance<br>• Competition<br>• Creativity and Innovation<br>• Adventure and Exploration<br>• Limiting central power | • Altruism<br>• Service before self<br>• Common good<br>• Cooperation<br>• Communal sharing of wealth and labor<br>• Expanding central power |

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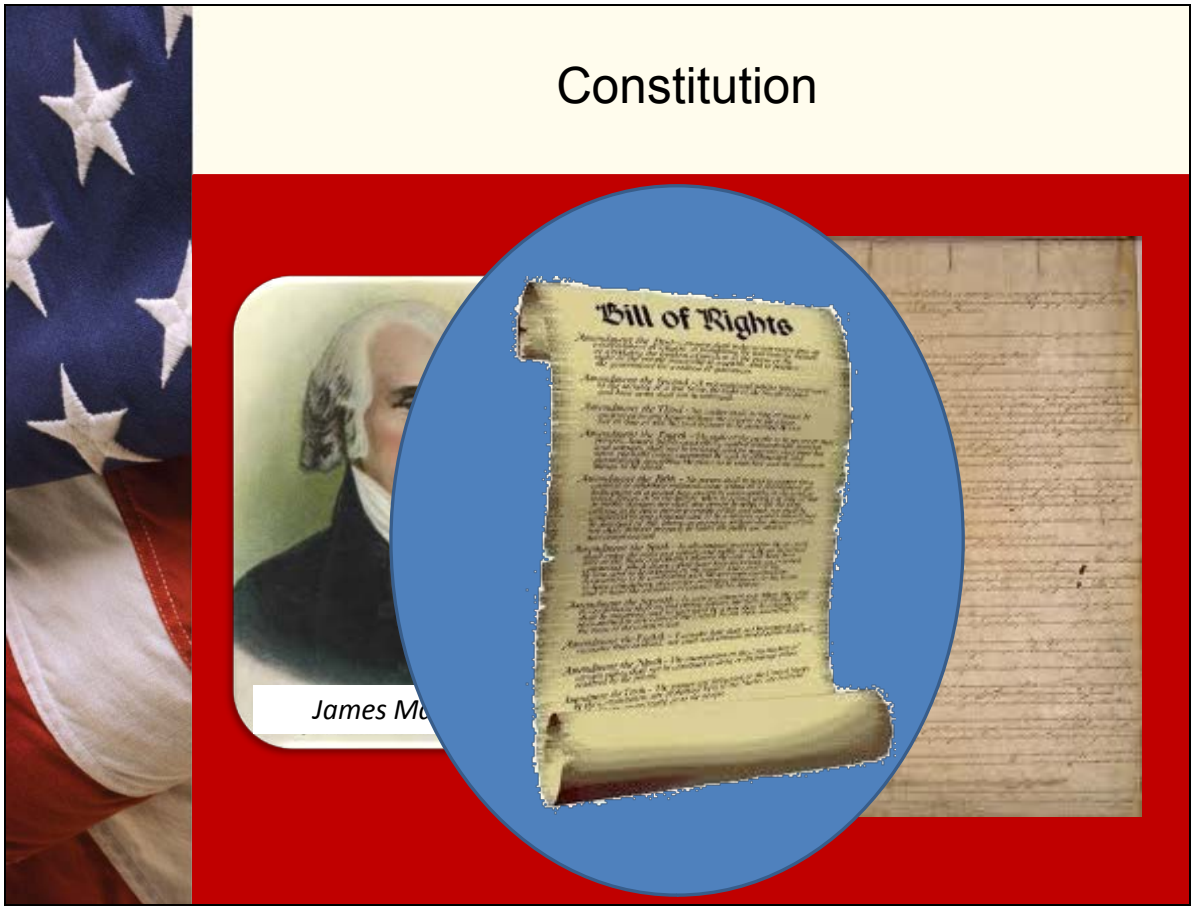
## American Revolution

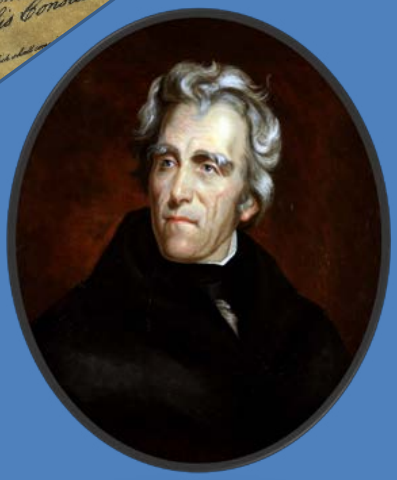
## Declaration of Independence

*Thomas Jefferson*


Constitution
Bill of Rights
James Mc

Presidential Election 2012

## US Civil Service System



## US Civil Service

## Pendleton Civil Service Reform Act - 1883

- Government jobs awarded on basis of merit
- Employees selected via competitive exams
- Illegal to fire or demote employees for political reasons
- Illegal to solicit campaign donations on Federal property
- Created the United States Civil Service Commission

*George H. Pendleton*

## Subsequent Reforms

- National Labor Relations ("Wagner") Act – 1935 – Collective bargaining
- Hatch Act – 1939 – Political activities
- Civil Rights Act – 1964 – Discriminatory practices
- Civil Service Reform Act – 1978 – Senior Executive Service

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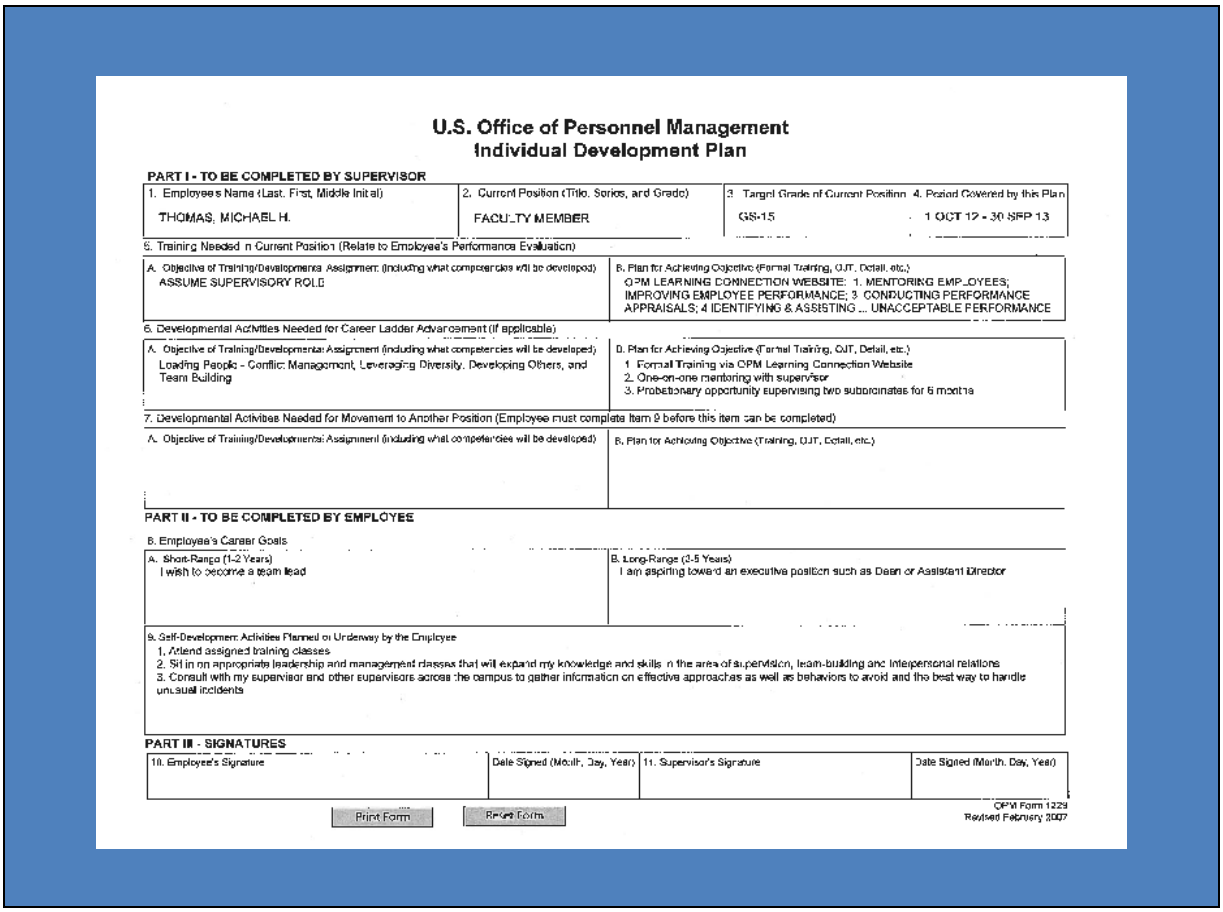

**U.S. Office of Personnel Management**
**Individual Development Plan**

**PART I - TO BE COMPLETED BY SUPERVISOR**

| 1. Employee's Name (Last, First, Middle Initial) | 2. Current Position (Title, Series, and Grade) | 3. Target Grade of Current Position | 4. Period Covered by this Plan |
|---|---|---|---|
| THOMAS, MICHAEL H. | FACULTY MEMBER | GS-15 | 1 OCT 12 - 30 SEP 13 |

5. Training Needed in Current Position (Relate to Employee's Performance Evaluation)

| A. Objective of Training/Developmental Assignment: (Including what competencies will be developed) | B. Plan for Achieving Objective (Formal Training, OJT, Detail, etc.) |
|---|---|
| ASSUME SUPERVISORY ROLE | OPM LEARNING CONNECTION WEBSITE: 1. MENTORING EMPLOYEES; IMPROVING EMPLOYEE PERFORMANCE; 3. CONDUCTING PERFORMANCE APPRAISALS; 4 IDENTIFYING & ASSISTING ... UNACCEPTABLE PERFORMANCE |

6. Developmental Activities Needed for Career Ladder Advancement (If applicable)

| A. Objective of Training/Developmental Assignment (Including what competencies will be developed) | B. Plan for Achieving Objective (Formal Training, OJT, Detail, etc.) |
|---|---|
| Leading People - Conflict Management, Leveraging Diversity, Developing Others, and Team Building | 1. Formal Training via OPM Learning Connection Website<br>2. One-on-one mentoring with supervisor<br>3. Probationary opportunity supervising two subordinates for 6 months |

7. Developmental Activities Needed for Movement to Another Position (Employee must complete Item 9 before this item can be completed)

| A. Objective of Training/Developmental Assignment (Including what competencies will be developed) | B. Plan for Achieving Objective (Training, OJT, Detail, etc.) |
|---|---|
| | |

**PART II - TO BE COMPLETED BY EMPLOYEE**

8. Employee's Career Goals

| A. Short-Range (1-2 Years) | B. Long-Range (3-5 Years) |
|---|---|
| I wish to become a team lead | I am aspiring toward an executive position such as Dean or Assistant Director |

9. Self-Development Activities Planned or Underway by the Employee
1. Attend assigned training classes
2. Sit in on appropriate leadership and management classes that will expand my knowledge and skills in the area of supervision, team-building and interpersonal relations
3. Consult with my supervisor and other supervisors across the campus to gather information on effective approaches as well as behaviors to avoid and the best way to handle unusual incidents

**PART III - SIGNATURES**

| 10. Employee's Signature | Date Signed (Month, Day, Year) | 11. Supervisor's Signature | Date Signed (Month, Day, Year) |
|---|---|---|---|
| | | | |

Print Form  Reset Form

OPM Form 1229
Revised February 2007

## Development – 3 Forms

- Training
- Education
- Experience

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## Training

- A specific reaction to a known stimulus

*Training Center, National Fire Agency, Ministry of the Interior*

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## Education

- Focuses on cognitive and affective domains
- Prepares learners for the unknown
- Informs and empowers: Innovation, problem-solving, decision-making and more…

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## Experience

- Applying lessons learned…

*Earthquake Response*

*Fire-Fighting*

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## Another Example

ASUS®

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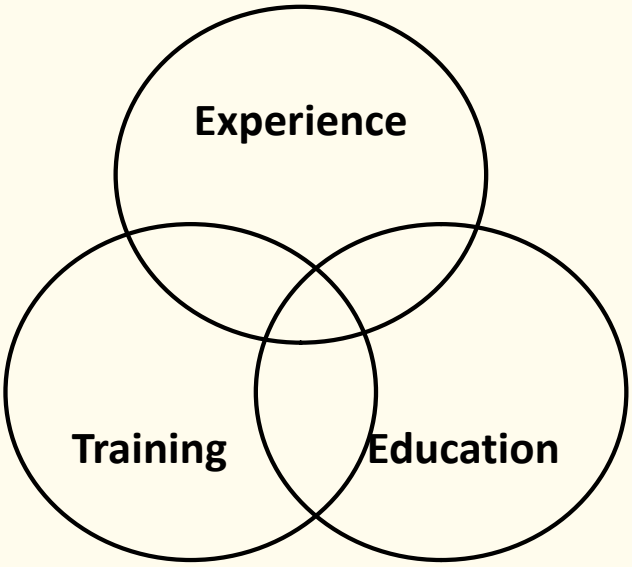
## Integrating Development

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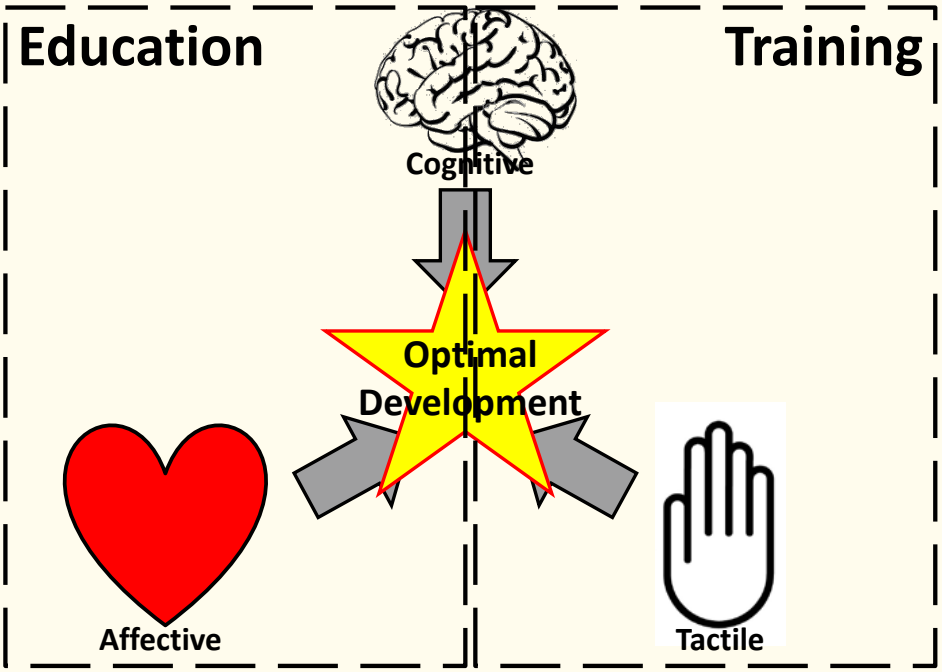
## Optimizing Development

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## Civil Service Training Methodologies

- Training methodologies differ dramatically in US system
  - Online courses
  - Formal courses
  - On-the-job training
  - External training opportunities
- Online: OPM Learning Connection
  - Extensive course catalog
  - On-screen instruction
  - Transcripting

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## The Future

- Challenges
- Opportunities
- Solutions

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## Partnerships

- Interagency

- Public-Sector Institutions of Learning

- International

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## Reduction of Duplication and Overlap

- Lean Six Sigma – possibility to affect…
  - Transportation
  - Inventory
  - Motion
  - Waiting
  - Over-processing
  - Over-production
  - Defects

- OPM Analysis underway
  - Interagency working group
  - Identify all courses / programs for mid-level managers
  - Share the best; scrap the rest

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## Quality Matters; Use Quality Measures

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# Kirkpatrick Model

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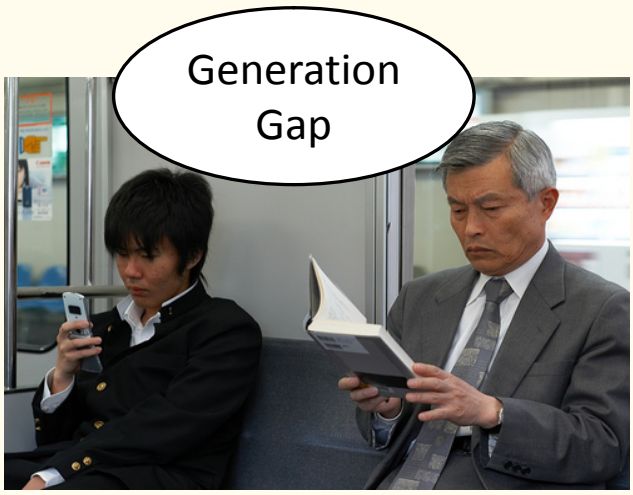
# Generational Differences and the Aging Federal Workforce

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## Approaches

- Capture knowledge for sharing
- Education
- Intergenerational mentoring
- Permit Risk-Taking … even Failure!

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## Competencies

| Leading Change | Leading [illegible]ple | Results Driven | Business A[illegible]n | Building Coalitions |
|---|---|---|---|---|
| Creativity and Innovation | M[illegible] | Accountability | [illegible]ment | Partnering |
| External Awareness | Lever[illegible] Diversit[illegible] | [illegible]stomer Se[illegible] | [illegible]an Capital Management | Political Savvy |
| Flexibility | Developing Others | | Technology Management | Influencing / Negotiating |
| Resilience | Team Building | [illegible] | | |
| Strategic Thinking | | [illegible]lem [illegible] | | |
| Vision | | Technical Credibility | | |

**Fundamental Competenci[illegible]**

Interpersonal Skills
Continual Learning
Oral Communication
Written Communication
Integrity/Honesty
Public-Service

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## "Post-Competency" Development

*Evidence abounds that executive and leadership develop[illegible] failed to meet expectations. … The "competency model" of [illegible]tive, proposing as it does a single set of competencies that [illegible] success, [illegible] supplemented with a development mo[illegible] on leaders[illegible] rather than executive traits and [illegible]es. Execu[illegible] focus on "what gets done" [illegible] on one w[illegible] competencies execut[illegible]*

George Hollenbeck
[illegible] Effective Organizations
[illegible]iversity of Southern California
*Competence not Competencies,*
*[illegible]aking Global Executive Development Work*

**…executive and leadership development has failed…**

**The "competency model" … must be supplemented with a development model based on leadership challenges rather than … traits ad competencies**

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## Aligning with Competency Approach

**Government Context**

Planning the Leadership Journey

**Leadership Roles**

**Leadership Challenges**

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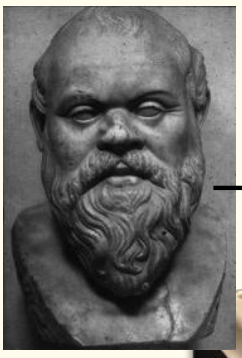
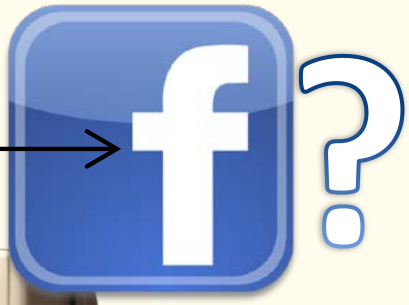
## Collaboration – Leveraging Technology



Socrates



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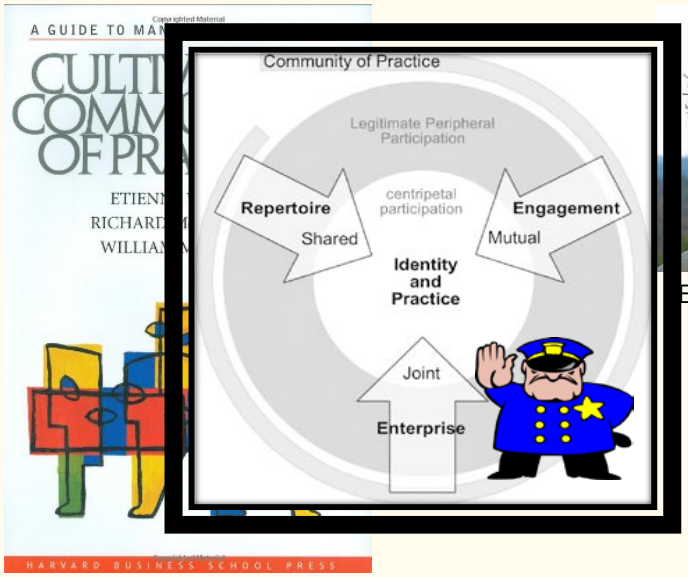
## Communities of Practice



Etienne Wenger

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## Collaboration

- For ourselves, our offices, our agencies / ministries
- For our governments
- First steps toward an international community of civil servants

*The next steps are up to us!*

UNITED STATES OFFICE OF PERSONNEL MANAGEMENT

*Thank you*

***Dr Matthew Stafford***
***Dean of Faculty***
***Federal Executive Institute***

UNITED STATES OFFICE OF PERSONNEL MANAGEMENT

# Stafford Presentation for

2012 International Conference on Human Resource Development in the Public Sector

Topic: "The Quality Training and Excellent Performance of the United States"

(NOTE: Chinese words are spelled phonetically to aid in my pronunciation)

## OPENING REMARKS

- President MA
- Doctor GWAN
- Minister TCHAI
- Fellow conferees and my colleagues from the 2012 International Human Resources Development Workshop
- Ladies and gentlemen

ZHOA-WAHN (Good Morning). I am deeply honored to have the opportunity to speak to this august gathering this morning. My colleagues and I, as participants in the HR Development Workshop hosted by the National Academy of Civil Service, have been extraordinarily impressed by the level of dedication we have seen demonstrated here last week as well as the professionalism and openness exhibited in the Conference. In every instance, the Academy staff and faculty, as well as the other civil servants we have met from across the Republic of China have demonstrated their tremendous commitment to excellence in public service through their sincere desire to share ideas and best practices for the sustained improvement of governance across our planet. Both the Workshop and this Conference have proven to be enlightening learning opportunities and my colleagues and I are grateful to our hosts for these wonderful experiences. SHIEH-SHIEH (Thank you)

## INTRODUCTION / OVERVIEW

I was asked to speak today on the training system that exists within the United States Federal Government and to address specifically the ways in which this system continues to ensure excellence in the performance of our civil servants. I am proud to share my thoughts on this important topic; however, I must apologize to my workshop colleagues as they have already heard some of what I am going to say in our sessions over the past week as we each shared overviews of our systems and how they work. In this presentation, however, I will go deeper into these topics as well as discuss some of the ways in which the United States is transforming its systems to prepare for the future.

## BACKGROUND – A BRIEF HISTORY

A great place to begin understanding the United States' approach to civil-servant training is to understand the nature of my country's society as our training system tends to leverage the strengths of our unique culture to produce success. Unlike China, with has a rich, unbroken line

of history stretching back for thousands of years – and with a tradition of excellence in civil service that is almost as long! – my country is comparatively very young. Our national history extends back a mere 400 years when settlers from England came to the New World to begin new social experiments on our Atlantic Coast. Two of these experiments in particular are worthy of note as they help to understand the very nature of my nation's society even today.

In both cases these experiments were launched by Englishmen "on the run." In the first, the settlers were running toward new economic opportunities – a chance to make a living and secure a future for themselves and their families. In the second, the settlers were running away from religious oppression. Their differing motivations drove entirely different approaches to their social experiments.

The first of these experiments was launched in 1607, with the English settlement at Jamestown, in the southeastern tidewaters of modern Virginia. It was a highly undesirable location for human settlement. Swampy with poor soil, hot-and-humid weather conditions and swarms of biting insects, the early settlers suffered greatly at Jamestown. The suffering only increased as the settlers came into conflict with the aboriginal peoples living in the region.

The mortality rates were extraordinarily high. Settlers worked and fought hard for their survival. Those who could not or would not work perished. There was no social structure in place to help; Jamestown was a business venture designed to make money. The settlers' survival was clearly a matter of individual effort. In essence, Jamestown lived up to Thomas Hobbes' famous description of the natural state of man: "continual fear, and danger of violent death; and the life of man solitary, poor, nasty, brutish and short!"

The second experiment was launched just 13 years later a few hundred miles north of Jamestown in a settlement called Plymouth in modern Massachusetts. Here, 41 religious separatists traditionally called "Puritans" had come to the New World to escape religious persecution under the Church of England. With the Puritan band, however, came 51 settlers who – like those who had settled in Jamestown – had left England in search of economic opportunities. The Puritans called this group "the Strangers." The two groups stayed separate during their long sea voyage; however, when they arrived in the New World and found that they were hundreds of miles from their intended destination – a landing point very near the Jamestown colony– the Strangers started talking of striking out on their own to secure their fortunes. This greatly concerned the Puritan leaders who realized the small band of settlers could never survive the harsh winters of the New World without the commitment and cooperation of each and every member of the entire party. They drafted a charter – the Mayflower Compact – that subordinated individuality to community, binding all signers into a "Civil Body Politic" for the purpose of passing and obeying "just and equal Laws … for the general good of the Colony."

United States history books and popular films often refer to the Massachusetts colony as "the Plymouth adventure," an adventure being a journey into the unknown. If that is accurate, then it is equally accurate to call the Southern colony "the Jamestown venture," as it was clearly a business undertaking.

More than semantics are involved in the distinction between the two colonies, however. One can argue that these two settlements represent competing forces in United States society that manifested themselves at the very dawn of my nation's history and continue to figure prominently in its operations even today. As I will discuss in a moment, these competing forces are even present in my country's approach to Civil Service. From Jamestown we see the manifestation of the fierce independence and exultation of individuality that is a hallmark of United States society; from Plymouth comes the idea of community – the subordination of self to the greater society that is the competing theme.

That fierce independence – reflecting the Jamestown venture – is often difficult for some to understand. It is sometimes perceived as arrogance or rebelliousness. On the other hand, this is the force behind much of the United States' innovation and exploration; it is the force that produced great entrepreneurs, authors and even entertainers. My colleague from Italy, Mr. Massimo, is very fond of American improvisational jazz and blues. Musical improvisation reflects Jamestown individuality and helps explain the birth of the blues and subsequently developments in rock and roll music within the United States.

In terms of my country's history, Jamestown individuality was a driving force in my country's revolution against the British Crown. It is clearly evident in Thomas Jefferson's Declaration of Independence, drafted and passed by the Continental Congress in 1776: "We hold these truths to be self-evident, that all men are created equal, that they are endowed by their Creator with certain unalienable Rights, that among these are Life, Liberty and the pursuit of Happiness." The idea that every person has such basic rights and that these cannot be ignored or abrogated by any community power is a reflection of that fierce Jamestown-venture independence.

Returning to my nation's story, however, after achieving independence from England the colonies saw that fierce adherence to individuality came at a high price. The failure of the nation's first governmental system, under the Articles of Confederation, revealed that effective governance required the subordination of individuality to some overarching structure. Within a mere twenty years of the Revolution, fought for individuality and independence, communal forces rallied to create a new government.

These communal forces – reflecting the Plymouth adventure – jettisoned the failed governmental system of the individualists offering instead a Constitution that embraced a unified social order: "We the people of the United States, in order to form a more perfect union, establish

justice, insure domestic tranquility, provide for the common defense, promote the general welfare, and secure the blessings of liberty to ourselves and our posterity…" Interestingly, the Jamestown individualists did not sit idly by during this transitionary period. In return for their support for the new Constitution, the individualists almost immediately put forth a list of ten individual rights – the first ten amendments to the new Constitution – that are collective known in my country today as "the Bill of Rights."

The Constitution, although it has been amended repeatedly to respond to changes in the national condition, remains the bedrock of my nation's governmental system. Still, the competing tensions between Plymouth community and Jamestown individuality continued throughout my nation's history. In the best of times, individuality has prospered. In economic hard times or during times of war, community has proven more powerful. Even today, we see these two themes manifested in the debates leading to the upcoming November Presidential election: Although both candidates reflect both Jamestown and Plymouth values, one can see a bias in each candidate's approach. In terms of domestic economics, for instance, one is arguing for increasing money to individuals and relying on individual initiative for increased national strength and growth – a Jamestown approach – while the other is arguing equally emphatically for a redistribution of wealth and government involvement that reflects the Plymouth approach. The truth of the matter for my country is that the right answer lies neither in Jamestown nor in Plymouth, but in optimizing the tensions between these approaches to develop solutions that address the needs of the people best.

Understanding these tensions is more than a mere academic exercise. Knowing how people think and what they value is fundamental to designing and developing systems that will be acceptable and effective in delivering desired outcomes. One such system that has originated out of these competing tensions is the United States civil service system.

Our Constitution offers little guidance specific to the subject of civil service. It merely notes that the President "shall appoint … all Officers of the United States, whose Appointments are not herein otherwise provided for." For years, civil servants were Presidential appointees with each new Administration bringing with it its own cadre of loyal workers. The government survived these transitions of power only because each new administration recognized the value of experience and consequently practiced some degree of moderation as it came into office, replacing many but not all of the civil servants from the previous administration. That all changed with the inauguration of Andrew Jackson in 1831. Invoking what came to be known as "the spoils system" or "the patronage system," the highly individualistic Jackson replaced such a large portion of the Federal workforce with his personal supporters that critiques became concerned. The "spoils system" was based on a quotation, "to the victor go the spoils" and was basically a situation in which individuality became more powerful than community. In the case of the Jackson administration, greed and corruption were the result.

In response, politicians with a commitment to community argued for a civil service corps that was above greed and corruption; one that was even above the competitive nature of politics. They envisioned civil servants with a professional ethic and values that would ensure that public service remained these servants' first and greatest concern. Through a series of laws, beginning with the Pendleton Act of 1883, they created a civil service that was not appointed, but hired and promoted based on merit; one that was not subject to political pressures but functioned for the public good; and one built around values promoting public service over individual or party gain.

The civil service has changed since its founding. The communal pressures that introduced competency examinations in 1883 were countered by individual pressures to eliminate such examinations later. Other rights and privileges for civil servants have also been captured in law, the right to join unions, protection from discrimination and even a recent piece of legislation that grants military-like honors for career civil servants upon their deaths. Yet community pressures have also played a part. In 1978, for instance, our Congress passed a Civil Service Reform Act that created the Senior Executive Service, a group of very senior, very talented executive leaders who would move across government agencies to solve problems and ensure that the interests of individual agencies remained subordinate to the greater public good.

## TODAY'S DEVELOPMENTAL APPROACH

Now knowing something of my country's civil service system and the competing forces between community and individuality let me discuss United States' civil-service developmental programs and how the competing forces are leveraged within these programs to achieve excellence in Federal service.

First, just like our President, each new civil servant swears an oath to protect and defend the Constitution of the United States upon taking office. This is not an oath to a piece of paper. As I mentioned, the civil service is not addressed in the Constitution directly. It is instead an oath to the principles and ideals embedded within the Constitution and the government framework it describes. The oath marks an important subordination of individuality to community in the life of the civil servant and is the first step that the new civil servant takes in adopting the communal values so evident in the Constitution.

Beyond that starting point, however, the forces of individuality figure prominently in civil servant development. Each job within the service has a job description, outlining general duties to be performed. Within each job, however, the civil servant and supervisor contract for specific performance by jointly deciding on "performance elements." These elements are the specific areas in which the civil servant's performance is assessed and evaluated. The elements are detailed in terms of quality and quantity so that workers know exactly what is expected of them.

Similarly, each civil servant creates an "individual development plan" that outlines the developmental initiatives – to include education, training and experiential activities – that the civil servant will pursue during the coming year to enhance individual capabilities and performance. The supervisor ensures that the requested developmental activities are in line with the needs of the office, agency and government as a whole and then oversees the civil servant's progress in these development efforts. Failure to achieve progress in one's personal development plan can be a factor in the performance appraisal at the end of the year. Failure to complete required training, for instance, could result in an employee being assessed as a poor performer.

In essence, there are three types of training within the United States civil-service system:

1. There is training that is job-specific – what is typically referred to as technical training;

2. There is training that is common to federal service anywhere – what some call "recurring training," addressing topics such as diversity training, computer security training, etc;

3. And there is training that is specific to leadership growth.

Of these three types, only recurring training is required by all civil servants – the community approach. In the United States, recurring training is either a periodic or a positional requirement. In terms of periodic training, agencies post a training requirement and a due date and all of their employees must complete the required training by that due date. For positional requirements, training requirements are posted specific to a given job or set of responsibilities. For instance, prior to becoming a supervisor in the Office of Personnel Management, I had to complete four, online training courses. These addressed:

- An overview of personnel management
- Measuring performance
- Assessing and addressing poor performance
- And mentoring fundamentals

Except for such training requirements; however, the majority of training that a civil servant receives is addressed through the individual training plans that I described previously.

To aid supervisors in creating individual training plans specific to technical training, government agencies routinely offer "career paths" – guidance on specific training opportunities that are available and schedules to help in deciding when in an individual's career the training would prove most valuable. The effort in designing and developing technical-training content and these career paths reflects a community mindset. The ability of an individual employee to accelerate personal, technical development or to decide not to pursue all available opportunities and remain at a lower level of expertise reflects the individuality mindset.

We also find the competing forces of individuality and community in leadership development, which is my specialty. To facilitate leadership development, the Office of Personnel Development – the regulatory bureau for personnel policy within the United States government – worked with agencies from across the government – a community approach – to discern 28 "competencies" vital to success as a leader. These competencies – specific skill sets desired or required for success as a Federal leaders – help guide supervisors in selecting developmental opportunities for their employees. Courses are developed to address specific competencies so that workers and their supervisors can select opportunities specific to individual employee needs.

The 28 competencies include:

- Conflict Management
- Accountability
- Financial Management
- Partnering
- Vision
- Interpersonal Skills
- Oral and Written Communications…

It is a long list; however, those who wish to pursue advancement within the civil-service system must endeavor to master all of these leadership competencies. To do so, they invest individual effort to achieve community-determined outcomes.

To aid civil servants in achieving growth in these areas, the government offers a wide variety of developmental opportunities. In essence, these opportunities fall into three categories: training, education and experience. Like the social tension between individuality and community that I have described, the distinction between these three developmental approaches is not academic but is important to building and delivering developmental opportunities that achieve desired outcomes.

Training is designed to produce specific reactions to known stimuli. It emphasizes cognitive and tactile learning. We train people to respond to a fire alarm or how to protect their computers from malicious software or computer attacks. We train workers to fill out forms or use their equipment properly. At Taiwan's excellent Training Center, National Fire Agency, Minister of the Interior that my workshop colleagues and I visited on Friday, we saw training at its best: Firefighters were instructed how to respond to specific types of fires. What to do and not to do in a wide variety of situations.

Yet we also saw education. Education focuses on the cognitive and affective domains of learning. At the Training Center, instructors provided the theoretical underpinnings for the science of firefighting. Instructors explained how fires "work," how buildings are constructed and what might be necessary in rescuing victims trapped in earthquakes. Equipped with this cognitive

knowledge, the Training Center's graduates can respond to fires that differ from those they experience during their courses. They also received affective-domain instruction, however. They learned to place relative values on life and property – this level of understanding equips them to make decisions that fortunately, most of us will never have to consider: What is the appropriate level of risk to assume in a rescue? Is the risk I take to rescue this person worth the risk to my team if I am disabled in the rescue attempt? These are critical considerations for firefighters; considerations that can only be properly addressed through education and the affective domain of learning.

In a visit to the Asus computer corporation, headquartered here in Taipei, my workshop colleagues and I saw another example of how training, education and experience are being combined and leveraged for success. Asus is a business concern. Business concerns exist to make a profit. There is nothing wrong with that; it is the same all over the world.

At Asus, however, the senior leaders have recognized an inherent human motivation – a desire to serve as part of something bigger, broader and better than oneself. Asus is leveraging this motivation by working hard to be more than just a leading competitor in the computer industry. The corporation has ascribed to noble values that motivate employees to perform: integrity – only the truth is tolerated; respect for one another; a spirit of belonging that permits employees at all levels of the company similar access to recreation, dining and medical facilities; and a concern for the environment. Values such as these are not inculcated through simple training. One does not develop an appreciation for ecological responsibility through rote memorization and fill-in-the-blank testing. Values are inculcated through education and mentoring – experiential learning. At Asus, the result is a workforce that knows right from wrong and does the right thing even when the situation is new or unfamiliar.

Asus is also developing a workforce that is intellectually agile; one that can think and innovate quickly. This is an absolute must in an industry where rapid design and development is as important as capabilities in ensuring the success of a new device. Training alone will not produce workers who can achieve these desired levels of innovation; education and experience must be integrated into developmental solutions to produce such workers.

We must also integrate experience. Experience provides us opportunities to apply what we have learned through training and / or education. We can leverage experience for learning by placing employees into different areas within their area of expertise – often called "broadening" or moving them to positions of greater trust or responsibility. The orchestration of experience into an employee's development can substantially increase the benefits of training or education and is a key consideration in a civil servant's career path.

In very simple terms, training prepares us for the known, education for the unknown and experience lets us apply our learning. Training prepares us to deal with the situations we can

expect; education for the unexpected. As civil servants, how often do we and our people encounter the unexpected? Quite often! Charles Caleb Colton noted that tests can be formidable even for the best prepared because it is always possible to ask more questions than any one person can answer. The citizens of our collective nations are asking more questions than our civil servants can possibly answer. New situations arise almost daily. Clearly, our civil servants need more than rules and regulations to guide them in navigating these unfamiliar waters; they need an underpinning of principles and values from which they can draw to guide their actions for the benefit of the governments and people they serve.

Of course, civil servants also need the experience. No amount of training or education can prepare civil servants for a hostile member of their citizenry or to address some of the less routine issues they will face in their careers. Success in such endeavors takes practice. Through experience we can assess the effectiveness of our training or education even as our civil servants get opportunities to reinforce their learning through application.

The United States civil-service system leverages training, education and experiential learning in its approach to leadership-development. Some competencies, such as communications and problem-solving, can be advanced through simple training opportunities. Most, however, require education as well. Discussions on creativity, customer service, team-building and negotiating clearly require deep dives into the affective domain of learning; the domain most in the purview of education. Yet there are constraints on education. It requires a tremendous resource investment – an investment of time, money and materials.

To meet the developmental needs of its civil service system with an eye toward resources, the United States government offers developmental opportunities through a variety of methodologies. There are individual, computer-based classes available through e-Learning sites; resident and blended-learning courses, offered through organizations like the Office of Personnel Management's Center for Leadership Development, where I work; and opportunities for courses with private-sector providers and public institutions of learning. Getting back to the competing forces that drive my society, the federal civil-service community decides on the developmental aims – the outcomes – and provides appropriate developmental opportunities; and the individual, in concert with their supervisor, decides which of the opportunities to pursue. Of course, the Federal community also sets the values and principles that guide organizations and the people who serve them. In the case of the United States, our values are reflected in the Constitution and the various Amendments that have been passed over the years to keep the Constitution relevant to the needs of our society.

The result of our developmental system that exists with these competing tensions is a heterogeneous work force: a work force that recognizes and leverages its diversity – its

individuality – for the good of the Government as a whole – for the community. There are experts and novices, specialists and generalists, employees who specialize in customer service while other employees within the same office specialize in administrative or managerial processes. This approach has proven highly effective; however, there is always room for growth and improvement.

## LOOKING TOWARD THE FUTURE

I have presented to you a broad overview of training within my country's civil-service system within the context of the competing forces of community and individuality that are so foundational to United States society. I would like to turn now to the challenges and opportunities we face and how we will address them. My colleagues from the Workshop will recognize many of these challenges, as we each voiced similar concerns in the overviews of our individual civil-service systems that we presented last Tuesday. My hope is that my colleagues will find some useful solutions in what I offer here today.

### * Partnerships *

One area of growth that promises tremendous potential in helping us to overcome resource constraints is partnerships. In my country, there are strict rules governing interaction between public and private-sector organizations and officials; however, there are ample opportunities for partnerships across Federal agencies; Federal, state and local governments; and between Federal developmental centers and public-sector institutions of learning. The Federal Executive Institute where I work is partnering with public-sector universities in exploring advances in leadership theory specific to Federal service. We are also partnering with universities to have our course offerings become part of their degree programs so that United States Federal executives can advance in their educational goals more quickly by leveraging our courses to achieve their desired aims. Such partnerships are typically captured in "Memoranda for Understanding" or "Memoranda of Agreement."

The partnerships need not be so formal; however. Repeatedly in my educational career I have found myself stymied by a lack of knowledge on a given issue. In multiple instances, I realized that if I just had the information I needed, I could do something better or faster. Without the time to conduct the research myself, or the funds to contract for professional research, I have often turned to local colleges and universities to help. Master's or PhD candidates in search of research topics for their theses or dissertations have been invaluable in researching challenges and offering credible solutions at virtually no cost to me or my government. Further, the universities are typically elated that their students are allowed to work "real-life" problems instead of theoretical or largely irrelevant problems from the past. These have been immensely beneficial partnerships for me in the past. As a result, my academy, the Federal Executive Institute, is pursuing many more such partnerships at this time.

A third type of partnership underway within my institute is international partnerships with civil-service academies across the globe. These are formalized partnerships – governed by memoranda as described previously – but like the partnerships with public-sector learning institutions, these provide opportunities for sharing and interaction that cut costs and time by sharing work, courseware, lessons learned and exchanging faculty or students. The Federal Executive Institute has several such partnerships underway and is eager to pursue more.

## *Reduction of Duplication and Overlap *

Partnerships offer one way to reduce costs while increasing effectiveness. Another way to reduce costs is to analyze systems and processes for waste. The presenters for the Asus computer company dedicated time to discussing Lean Six Sigma efforts across their enterprise. Lean Six Sigma is one of the more popular management approaches to enhancing efficiency and effectiveness. It focuses on reducing waste in Transportation, Inventory, Motion, Waiting, Over-processing, Over-production, and Defects. Might our governments benefit from taking a similar approach in our operations? Of course we might!

A recent analysis of the developmental opportunities that exist across my Government identified multiple instances of duplication. Even now, there is an effort underway to consolidate the number of learning opportunities; an approach that will leverage the best programs for use by a wider audience while eliminating programs that are not as effective. The result will be reduced cost.

As effective as Lean Six Sigma and similar programs have been in manufacturing, such innovations have not been adopted as wholeheartedly within government. Many military forces have toyed with such innovations; but to date there are few notable successes resulting from their efforts. Perhaps we, as civil servants, should reformulate this manufacturing equation so that it is more specific to the needs of a service-based organization? Even without such a grand reconceptualization; however, the tenets of the lean teachings have value for us and are worth considering, if only to reduce overlap and duplication

## *Quality Matters, so use Quality Measures *

Another area for reconsideration concerns the quality of our developmental programs. Often in my career, I have been invited into organizations to inspect and assess their developmental programs. One finding that has been repeated in many of the after-action reports regards the way in which these organizations measure the quality of these programs.

Too often we, as leaders in the field of development, are captivated by measures that tell us very little about the success of our programs. For instance, I often hear discussions that point to the amount of money invested, the number of contact hours required, the number of civil servants who

participated, etc. These are "input measures." What do these numbers really tell us about what was learned or the return on investment that our governments are getting for their developmental dollars?

Some organizations go further, leveraging the famous Kirckpatrick Model of Training Evaluation. Yet even these seldom reach beyond the first two levels – a simple reaction to training or an end-of-training test. The next two levels address behavioral changes that occur back on the job and, perhaps most importantly, the impact of the developmental opportunity on the student's organization. It is in these final two levels of evaluation that we find substance for our boasts on developmental excellence and it is here where we need to spend our time and effort in ensuring our programs are of sufficient quality to warrant the expenditures our governments make on their behalf.

## *Generational Differences and the Aging Federal Workforce*

Another challenge voiced by many Workshop participants last week was the advancing age of our civil servants. There are a variety of reasons offered to explain this trend. Some argue it is an organizational problem in which the government expanded at a point, drew in a large number of same-aged people and those people have now displaced new people simply because there are not enough positions to support a large number of new hires. Others argue a change in the social conscience is to blame; that young people are less willing to serve the government because their values are not aligned in that direction. Still others argue it is purely an economic reaction to the fact that government jobs tend to pay less than their private-sector counterparts. There are other explanations offered as well.

The bad news is that all of these experts are right: All of these reasons are valid explanations for at least portions of our populations. That, of course, also means that these experts are wrong – again, for at least portions of our populations. It is our responsibility to address this challenge before it becomes a crisis. What can we do?

The solution involves multiple aspects of succession planning; a complex array of processes and endeavors that ranges from recruiting to retention. In terms of development, however, we must prepare the civil servants who are just now ascending in their career ladders – as well as those who will be joining our work forces in the future – for success. We must capture the knowledge that exists now; expand opportunities for intergenerational mentoring and collaboration; and challenge our upcoming executives with education, training and experiential opportunities that prepare them for the roles they will one day fulfill.

Capturing knowledge can elicit fear from some employees. They may feel that having all of their knowledge written down will eliminate their unique value to their system. On Friday, in the Asus presentation, workshop participants were told that those competencies a competitor can

replicate are not core competencies; that only those competencies that are unique and irreplaceable are core to a given business. This is a fine model for a business in competition with other businesses for its very survival. It is a model consistent with the Jamestown venture, touting the strength and value of individuality. It is not, however, appropriate to the Plymouth-adventure model of public service. Individuals reluctant to share their knowledge for the good of the community are probably in need of additional education to reinforce the service-before-self values inherent in public service.

Education is also helpful in breaking down the invisible-but-very-real barriers that inhibit collaboration across generational lines. Across my country, I see many training sessions describing the differences between the various generations: the "baby boomers" act this way, the "Generation X" people act that way, the "Generation Y" people behave differently still, and the new "Millennials" are a different species entirely! How helpful is such training? Is it in our best interest to reinforce the Jamestown individuality or should we instead invest our time in a Plymouth approach: reinforcing the shared values and breaking down those walls that separate the generations and inhibit communication? To return to my Plymouth example, the Millennial may in fact be "the Strangers" in our 21st Century journey but like the Puritans before us, it is essential for our collective survival that we bind ourselves collectively to our community – to our national service. Education and cross-generational collaboration – with a focus on common values – offers a path to achieve success in this area.

Related to this is a developmental approach that equips ascending civil servants for success in senior positions. Intergenerational mentoring is one approach; however, there is also a need to empower these junior leaders with expanded opportunities to lead, make decisions, solve problems and, perhaps most importantly, to fail from time to time. Too often in our highly competitive organizations and societies, we overlook the tremendous learning potential of failure. There is a famous story of a United States private-sector executive who went to his corporate president and said, "Boss, I've lost a third of a million dollars in my operation this year, do you want my resignation?" The boss responded, "I just spent $330,000 training you, why would I want to lose you now??" It is anecdotal but points to the tremendous learning power of failure. But there are other reasons to allow for risk-taking and failure as well.

On the day that Napoleon Bonaparte crowned himself emperor and passed out the eagles that created his marshals of France – the most senior military leaders except for Napoleon himself – a reporter asked, "What type of men are these marshals of yours?" Napoleon thought for a moment and responded, "I don't know; they've never been defeated."

We reveal very little of our character in our continual successes. In fact it is often argued that continually achieving success in every endeavor is what leads to spoiled children – they get whatever they want. Learning to deal with setbacks – with not getting what we want is an important

part of maturing … and it says something about our character. We reveal far more of our character when we keep trying – persistence – even after a failure than when we continually win. In selecting the future executives who will run our organizations, wouldn't we rather have someone who can handle a setback; who continues to persevere even after a failure?

Providing opportunities for risk-taking and failure, with follow-on mentoring to maximize the learning value of the experience is an important step in preparing the next generation of civil-servant leaders for success in support of our governments and our people. We need to give them these opportunities.

## * Competencies *

And now I come to what may be the most controversial portion of my presentation; competencies. Virtually everyone in training today talks about "competencies" – the need to identify them, build programs to enhance and measure them, etc. The eerie question to consider is this: What if everyone is wrong?

George Hollenbeck of the Center for Effective Organizations, has been writing on a post-competency era for some time. In his 2003 article, "Competence, not Competencies: Making Global Executive Development Work," Dr. Hollenbeck argued for a new approach to executive development; one that works for both private- and public-sector executives.

As we begin the 21st century, evidence abounds that executive and leadership development has failed to meet expectations. Unless we change our assumptions and think differently about executives and the development process, we will continue to find too few executives to carry out … strategies, and the competence of those executives available will be too often open to question. The "competency model" of the executive, proposing as it does a single set of competencies that account for success, must be supplemented with a development model base on leadership challenges rather than executive traits and competencies. Executive performance must focus on 'what gets done' rather than on one way of doing it or on what competencies executives have.

As noted earlier, competencies are a Plymouth-adventure approach to development; a standardized approach for ensuring everyone meets the same societal standards. Here, Dr. Hollenbeck is arguing for a return to Jamestown; tailoring development to the specific talents of the individual as well as the specific needs of the organization or the job. It is an interesting perspective.

Take for example the 28 competencies I listed earlier. In terms of leadership development, it is incumbent upon my civil servants who want to rise to the executive level to master all 28? Will they use all 28 in their jobs? Returning to my "Lean Six Sigma" discussion, are the efforts and

resources invested in their mastering competencies they will not use wasted? Dr. Hollenbeck would argue that they are. More importantly, he argues for the kind of experiential learning that allows for risk-taking and even failure that I agree is so important to the development of our future leaders.

Does this mean that competencies will go away in the near future? I think that is doubtful. Competencies are a kind of intellectual shortcut to figuring out which talents to develop as well as how those talents will be developed and assessed. Even Dr. Hollenbeck argues for a system that operates in concert with existing competency systems. Still, his call for something more seems entirely worthy of our consideration as we move into a new era of leadership development in both the national and global arenas.

## Increased Opportunities for Collaboration –

## * Leveraging Technology to Enhance Opportunities *

The final area I wish to address in my presentation involves collaboration and technology. Educators have always grasped the inherent power of collaboration. Socrates employed a collaborative learning technique in his question-and-answer method, now called the "Socratic method," which is still used in universities around the world today. The question before us is not the value of collaboration but how we might leverage its value through technology.

First, it is broadly perceived that technology-based collaboration is significantly less costly than its face-to-face counterpart. While this is true in many instances, it is equally true that what is labeled technology-based collaboration often fails to achieve the same levels of learning as its face-to-face counterpart. This is not to say that collaborative online is "bad." Far from it. It is only to say that such learning opportunities require a high degree of preparation and planning in order to ensure participants achieve desired learning outcomes.

I am always amused when I ride on a mass transit systems – whether in New York, Washington DC, Tokyo, Taipei, or in Europe – and see people with their heads down, locked in their text-message conversations. Are they collaborating? Probably. Are they learning? Probably not.

My daughter is a big fan of these electronic devices. When she lived at home she was in near-constant contact with her friends. I would frequently ask what she and her friends were discussing. Boys, movies and music were typically the top three answers on her short list of topics; never politics, history, science or math. So just connecting people electronically will not give us the results we want. Yet I often see extraordinary investments in just that – the connecting technological infrastructure. We need more.

As educators, we know that we start building developmental opportunities by looking at our

end state: What do we want our students to know or know how to do? Do we want a behavioral change or a change in their beliefs? We then strive to determine how we will measure success; how will we know when our students have achieved the desired levels of learning?

After answering these foundational questions, we begin looking at the learning opportunities we will present to our students to enable the desired learning to occur – our curriculum. It is only after this step that we should even consider methodologies.

If, for instance, my desired learning outcome is for you to be able to mount a horse, ride it a kilometer in less than five minutes, and dismount the horse successfully do you believe that I will ever conclude online collaboration will represent the best methodology for teaching these skills? The methodology is the final factor in determining the construction of our developmental opportunity. Much work has to be done before reaching this point.

Still, technology has an important place in the civil-servant learning opportunities in our future. One particularly intriguing development that occurred over a decade ago was the development of "communities of practice." Communities of practice exist in both real and virtual environments. In either medium, however, they work similarly.

Under the facilitation of one expert or a team of experts, a group "meets" in a real or virtual environment to share ideas, pose and answer questions and/or advance learning in a given area. The facilitator keeps the group going by introducing new learning challenges and periodically "harvesting knowledge" from the group for the benefit of both the group and those observing the group's progress.

Etienne Wenger, a social learning theorist from Canada, has written extensively on communities of practice. He notes that, "Communities of practice are groups of people who share a concern or a passion for something they do and learn how to do it better as they interact regularly." In his 2002 book, Cultivating Communities of Practice; a Guide to Managing Knowledge, Etienne argued that within these communities, there are concentric rings. In the inner circle the facilitator interacts with those most engaged in the subject practice. This is the core of the knowledge-creating machine that drives the community of practice. In the next ring are those that have a deep interest in the topic but are not as active in the collaboration. A third ring represents those who only periodically view what is happening within a community. The key to success in leveraging communities of practice for learning is to bring the people into the community and then to entice them down into the center ring where they can really engage with the material and produce knowledge to benefit themselves, their fellow participants and the organization as a whole.

Communities of practice are but one technological-based collaborative opportunity. There are others. Video-conferencing, learning management system-based discussion boards, etc.

The communities-of-practice example, however, underscores the need for investment in both the facilitation – the input in terms of the people and curriculum placed into the discussion – and assessment/evaluation – the output or extracted knowledge of the group. Without such considerations, discussions can quickly devolve to conversations; collaborative learning can become simply sharing personal views. In the worst cases, technological infrastructure supporting learning can be hijacked – taken over for unintended purposes. I have seen collaborative systems within the United States become dating websites, bulletin boards for selling used books and vehicles, or places for students to vent frustrations over teachers, courses and even each other. Collaboration is an extraordinarily valuable tool in the learning process, whether face-to-face or in the cyber domain. Nevertheless, just as with an academic discussion in a classroom, in order to ensure learning in the virtual environment, there must be some effort made to ensure that the collaboration remains focused on desired learning areas and that participants are consistently challenged to reach desired learning outcomes.

## CONCLUSION

Although collaboration is valuable in most learning situations, it is vitally important to the success of our individual civil-service systems. The questions that exist within one office, agency or ministry may have already been answered in another. Improvements in efficiency and effectiveness in one endeavor may be entirely applicable to another or at least adaptable enough to create similar, positive outcomes. We know this; we need to do more to leverage this within our individual governments.

We should also, however, continue to collaborate across our international borders. Although our languages and organizational structures differ widely, as civil servants – whether elected or appointed – we share similar values. We share, for instance, a commitment to our governments and, more importantly, to the people of our individual nations. In most instances, we work for less money than our private-sector counterparts, do not enjoy the same level of prestige or privilege and yet our service is foundational to the success of our individual nations and the services offered to our people

These common values – self-sacrifice, service before self and an unflagging faith in people to unite together to resolve the social problems they face – link us in ways that make us something of an international family. Like a family, we are not in competition with one another but can and should rejoice in one another’s successes. To maximize the power of this familial relationship requires us to be willing and open to sharing both successes and – although frightening at times – our failures.

The 2012 International Conference on Human Resource Development in the Public Sector is an excellent step in the right direction. Last week’s workshop was another. The Republic of China

has made important first steps toward an international consortium of civil servants dedicated to excellence in the public-sector. It is up to all of us to continue contributing to this effort.

Thank you for your time and attention.