

2007



公務員絛用委員會

PUBLIC SERVICE COMMISSION

年報 ANNUAL REPORT

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The gradual lifting of the recruitment freeze in the civil service, following the revival of Hong Kong's economic fortunes, has presented fresh opportunities for trawling quality recruits into the civil service. Whether the civil service will succeed in competing with the private sector for talents in the market depends primarily on the intrinsic attractiveness of a civil service career and secondly on an efficient recruitment process. To this end, the Commission has pursued with the Administration a review of these two issues. The first review, on the current recruitment process, has been completed with satisfactory outcome. The recruitment process was assessed as too long and the civil service could lose out in terms of timeliness in making offers to quality candidates who are much sought after in the recruitment market. Through the joint efforts of the Commission and the Civil Service Bureau, the process was streamlined for application across the service with effect from December 2007 to facilitate speedier offer of appointment. The second exercise, which seeks to gauge whether the civil service continues to attract and retain staff in the face of competition from the private sector, is still progressing. The initial findings with the limited recruitment activities in the past year are that the applications alone suggests that the civil service is still attractive. It is however considered that a more in-depth study on the subject in 2008 with the resumption of recruitment across the service would be more realistic and meaningful. Chapter 3 of the Report gives more details of the two reviews.

Succession planning and performance management are two other important areas of the Commission's work in 2007. To ensure proper directorate succession by grooming and promoting the most deserving officers and at the same time to take effective measures against the non-performers, the Commission has suggested a number of improvement measures. Chapters 5 and 6 give a detailed account of the

随着香港经济回复繁荣，暂停招聘公务员的措施正逐步撤销。这缔造了新的机遇，当局可趁此罗致优秀的人才加入公务员队伍。在与私营机构竞逐人才方面，政府能否占有优势，主要视乎政府职位本身是否吸引，其次是招聘程序是否有效率。对于这两个问题，委员会已与当局进行检讨。首项有关招聘程序的检讨工作已经完成，并有令人满意的成效。由于现行的公务员招聘程序过长，政府往往未能先拔头筹，在求才若渴的招聘市场上率先聘任优秀人才。经过委员会与公务员事务局共同努力，当局已在二零零七年十二月精简所有公务员职位的招聘程序，以便能较快发出聘书。第二项检讨是要评估公务员队伍在面对私营机构的竞争时，是否仍能吸引和挽留员工。有关检讨工作尚在进行中。尽管去年招聘公务员的活动不多，但从申请书数目初步可见，公务员职位仍具吸引力。二零零八年当局全面恢复公开招聘公务员后，委员会便可就此课题作出更深入和实际的探讨。本年报第三章载述更多有关该两项检讨的详情。

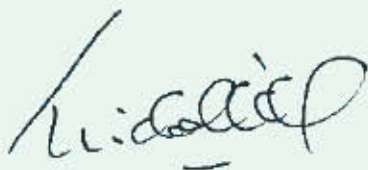
接班计划和工作表现管理，是委员会在二零零七年的另外两个重要工作范畴。委员会提出了多项改善措施，建议当局透过栽培和擢升最适合的人选，确保首长级人员的接班安排妥善，并同时采取有效的措施，对付表现欠佳的员工。第五章和第六章详述委员会如何促使当局提高首长级人员接班机制的透明度，以及把接班计划与完备的工作表现管理制度挂钩。委员会认为，如高级管理阶层全力支持，改善工作表现管理机制，应可令整个公务员队伍的接班计划更趋完善。

在纪律事宜方面，委员会继续支持当局以果断的态度处事，并一如既往，敦促

Commission's endeavour to push for a more transparent directorate succession mechanism and also for succession planning to be tied to a robust performance management system. The Commission believes that the improved performance management mechanism, if implemented with the full support of senior management, should strengthen succession planning throughout the service.

On the discipline front, the Commission continues to support the Administration's resolute stance and, as always, urges expeditious disciplinary action to achieve the desired punitive and deterrent effect. An account of the Commission's activities in this area is given in Chapter 8.

It has been as always a busy year for the Commission. I am indebted to Members for their wise counsel and contributions. Miss Eliza Chan retired from the Commission during the year after having served as Member for six years. I pay my warm tribute to her for her many years of dedication, sterling support and advice.



Nicholas Ng Wing-fui  
Chairman

当局迅速采取纪律行动，以收惩前治后之效。委员会在这方面的工作载于第八章。

年内，委员会的工作如往年般繁忙。我衷心感谢各委员在年内提供不少精辟意见，贡献良多。已担任委员六年的陈清霞女士年内离任，她多年来竭诚服务，鼎力支持，提供了不少宝贵意见，我谨此衷心致谢。



吳榮奎  
主席



1.1 The Commission was established in 1950 as an independent statutory body and its remit is stipulated in the Public Service Commission Ordinance and its subsidiary regulations (Chapter 93 of the Laws of Hong Kong). The fundamental role of the Commission is to advise the Chief Executive (CE) on civil service appointments, promotions and discipline. The Commission's mission is to safeguard the impartiality and integrity of the appointment and promotion systems in the civil service and to ensure that fairness and broad consistency in disciplinary punishment are maintained throughout the service.

## FUNCTIONS

1.2 With a few exceptions<sup>1</sup>, the Commission's advice on appointments and promotions relate only to the senior ranks of the civil service. This covers posts with a maximum monthly salary of \$33,330 (Point 26 of the Master Pay Scale) or more, up to and including Permanent Secretaries, Heads of Department and officers of similar status. At the end of 2007, the number of established civil service posts under the Commission's purview was about 33 200.

1.3 The posts of Chief Secretary for Administration, Financial Secretary, Secretary for Justice, the Director of Audit as well as posts in the Judiciary, the Independent Commission Against Corruption and the disciplined ranks of the Hong Kong Police Force fall outside the Commission's purview. In addition, following the introduction of the Accountability System on 1 July 2002 and the further development of the Political Appointment System, the appointment of Directors of Bureau, Deputy Directors of Bureau as well as Political Assistants to Directors of Bureau (which are non civil service positions) need not be referred to the Commission.

1.1 委员会是在一九五零年成立的独立法定机构，其职权范围在《公务员叙用委员会条例》及其附属规例(香港法例第93章)已有订明。委员会的主要职责，是就公务员的聘任、晋升及纪律事宜，向行政长官提供意见。委员会的使命，是要维护公务员聘任和晋升制度公平公正，以及确保公务员纪律处分机制公允持正，惩罚原则总体一致。

## 职能

1.2 除少数个别情况<sup>1</sup>外，委员会就聘任及晋升事宜提供的意见，其范围仅限于高职级公务员，包括顶薪点达每月薪金33,330元(总薪级第26点)或以上的职位，至常任秘书长、部门首长和职位相若的人员。截至二零零七年底，在委员会职权范围内的设定公务员职位约有33 200个。

1.3 政务司司长、财政司司长、律政司司长、审计署署长，以及司法机构人员、廉政公署人员和香港警务处纪律人员等职位，均不在委员会的职权范围内。此外，自二零零二年七月一日推行问责制，继而进一步发展政治委任制度之后，各局长、副局长和局长政治助理均非公务员，其聘任事宜也无须交由委员会处理。

<sup>1</sup> The following types of case, irrespective of rank, must be submitted to the Commission for advice :  
- non-renewal/offer of shorter-than-normal agreement;  
- deferment/refusal of passage of probation/trial bar; and  
- retirement in the public interest under section (s.) 12 of the Public Service (Administration) Order [PS(AO)].  
以下各类个案，不论所涉职级高低，必须徵询委员会的意见：  
- 不获续约/提供任期较正常为短的合约；  
- 延长/拒予通过试用/试任关限；以及  
- 根据《公务人员(管理)命令》第12条为公众利益着想而退休。

1.4 As regards disciplinary cases, the Commission's purview covers all Category A officers<sup>2</sup> with the exception of exclusions specified in the Public Service Commission Ordinance<sup>3</sup>. Category A officers include virtually all officers except those on probation, agreement and those remunerated on the Model Scale I Pay Scale. At the end of 2007, the number of Category A officers under the Commission's purview for disciplinary matters was about 109 900. The Commission advises on cases involving officers who are subject to formal disciplinary proceedings as provided for under the Public Service (Administration) Order [PS(A)O] sections (s.) 9<sup>4</sup>, 10<sup>5</sup> and 11<sup>6</sup>. The minor misconduct cases which are punished by summary disciplinary action in the forms of verbal or written warning do not require submission to the Commission for advice.

1.4 至于纪律事宜，所有甲类人员<sup>2</sup>的纪律个案(《公务员叙用委员会条例》订明不适用的人员的个案除外<sup>3</sup>)均由委员会处理。甲类人员实际上包括试用人员、合约人员和按第一标准薪级表支薪的人员以外的所有公务员。截至二零零七年年底，在委员会有关纪律事宜的职权范围内的甲类人员约有109 900人。委员会提供意见予就根据《公务人员(管理)命令》第9<sup>4</sup>、10<sup>5</sup>和11<sup>6</sup>条对人员采取正式纪律程序的个案；至于采取简易纪律行动而以口头或书面警告作惩处的轻微行为不当个案，则无须徵询委员会的意见。

<sup>2</sup> According to the PS(A)O, officers appointed to and confirmed in established offices are classified as Category A officers.  
根据《公务人员(管理)命令》，获委任并已获确实受聘担任设定职位的人员，即属甲类人员。

<sup>3</sup> In accordance with s.6(2) of the Public Service Commission Ordinance, Cap. 93 of the Laws of Hong Kong, the posts of Chief Secretary for Administration, Financial Secretary, Secretary for Justice, the Director of Audit as well as posts in the Judiciary, the Independent Commission Against Corruption and the disciplined ranks of Hong Kong Police Force fall outside the Commission's purview.  
根据《公务员叙用委员会条例》(香港法例第93章)第6(2)条，政务司司长、财政司司长、律政司司长、审计署署长，以及司法机构人员、廉政公署人员和香港警务处纪律人员等职位，均不在委员会的职权范围内。

<sup>4</sup> Formal disciplinary action is instituted under s.9 of PS(A)O if the alleged misconduct, when proven, is not serious enough to warrant removal of the officer from the service.  
如指称的不当行为经查证后并非严重至足以令有关人员被免职，当局便会根据《公务人员(管理)命令》第9条采取正式纪律行动。

<sup>5</sup> Action under s.10 of PS(A)O is taken if the alleged misconduct, when proven, may result in dismissal or compulsory retirement of the officer.  
如指称的不当行为经查证后可令有关人员被革职或迫令退休，当局便会根据《公务人员(管理)命令》第10条采取行动。

<sup>6</sup> In accordance with s.11 of PS(A)O, if an officer has been convicted of a criminal charge, the disciplinary authority may, upon consideration of the proceedings of the court of such charge, inflict such punishment upon the officer as may seem to him to be just, without any proceedings.  
根据《公务人员(管理)命令》第11条，如任何人员被裁定犯了刑事罪行，纪律处分当局在考虑法院就有关控罪进行的法律程序后，即可对该员处以当局认为公正的惩罚，而无须进行任何其他程序。



- 1.5 In examining submissions from the Administration, the Commission may raise questions where necessary to ensure that the recommendations are sound and the related process is carried out fairly, meticulously and thoroughly. The Administration is required to clarify or justify its recommendations in response to the Commission's observations and queries. On many occasions, the Administration has modified its recommendations following comments from the Commission whilst, in other instances, the Commission has been satisfied with the propriety of the recommendations after seeking further clarifications or additional justifications. The Commission also draws the Administration's attention to deviations from established procedures or practices and staff management problems identified during the processing of submissions and, where appropriate, recommends measures to tackle these problems.
- 1.6 The Commission also handles representations from officers on matters falling within the Commission's statutory responsibilities and in which the officers have a direct and definable interest. In 2007, the Commission dealt with 20 representations relating to appointment issues. After careful and thorough examination, the Commission was satisfied that the grounds for representations in all these cases were unsubstantiated. There were also ten other complaints relating to matters outside the Commission's purview. They were referred to the relevant departments for follow-up action.
- 1.7 Separately, the Commission is required to advise on any matter relating to the civil service that may be referred to it by the CE. The Commission also acts as a "think tank" to the Secretary for the Civil Service on policy and procedural issues pertaining to appointments, promotions and discipline as well as on a wide range of subjects relating to the review and development of Human Resource Management subjects.
- 1.5 委员会在审阅当局所提交的建议时，如有需要会提出问题，以确保建议合理和处理程序公平周密。当局须就委员会的意见和疑问，澄清或解释所提建议。当局曾在不少个案中因应委员会的意见修改建议；但也有部分个案经当局澄清或详加解释后，委员会认为建议恰当。委员会审阅建议时，如果发现偏离既定程序或做法的情况，又或发现有人事管理的问题，便会促请当局注意，并按情况建议改善方法。
- 1.6 委员会也处理在委员会的法定权限内公务员就本身有直接和实际利益关系的事宜提出的申述。年内，委员会处理了20宗与聘任事宜有关的申述个案。经详细审查后，委员会认为所有个案的理据均不成立。委员会另外收到十宗投诉，所涉事宜不属于委员会的职权范围，已全部转交有关部门跟进。
- 1.7 此外，委员会须就任何由行政长官转介而与公务员有关的事宜，提供意见。委员会也充当公务员事务局局长的“智囊团”，就聘任、晋升和纪律方面的政策和程序，以及各式各样与人力资源管理相关的检讨和发展事宜，提供意见。

## PERFORMANCE TARGET

- 1.8 In 2007, the Commission advised on 895 submissions covering recruitment and promotion exercises, disciplinary cases and other appointment-related subjects. Altogether 321 submissions were queried, resulting in 121 re-submissions (38%) with recommendations revised by the Civil Service Bureau and departments after taking into account the Commission's observations. A statistical breakdown of these cases is shown in *Appendix I*.
- 1.9 In dealing with recruitment, promotion and disciplinary cases, the Commission's target is to tender its advice or respond formally within six weeks upon receipt of departmental submissions. All submissions in 2007 were dealt with within the pledged processing time.

## 工作目标

- 1.8 年内，委员会就895项建议提供意见，涵盖招聘和晋升工作、纪律个案和其他与聘任有关的事宜。委员会对其中321项建议提出疑问；公务员事务局和有关部门考虑委员会的意见后，修订其中121项(占38%)，并向委员会重新提交建议。有关个案的分项数字载于附录I。
- 1.9 在处理招聘、晋升及纪律个案方面，委员会的目标是在接获部门的建议后六个星期内，提供意见或作出正式回应。年内，所收到的建议全部在目标时间内获得处理。



2.1 Under the Public Service Commission Ordinance, the Commission comprises a Chairman and not less than two or more than eight members. All are appointed by the Chief Executive and have a record of public or community service. Members of the Legislative Council, the Hong Kong Civil Service and the Judiciary may not be appointed to the Commission. This restriction does not extend to retired officers.

2.1 根据《公务员叙用委员会条例》，委员会有一名主席和不少于两名或多于八名委员。成员全部由行政长官委任，并有担任公职或服务社会的经验。立法会议员、香港公务员和司法机构人员不得加入委员会，退休公务员则不在此限。

### MEMBERSHIP 成員

2.2 The membership of the Commission during 2007 was as follows:  
二零零七年委员会成员名单如下：

Chairman 主席	Mr Nicholas NG Wing-fui, GBS, JP 吴荣奎先生，GBS，JP	(since May 2005) (由二零零五年五月起)
Members 委员	Miss Eliza CHAN Ching-har, BBS, JP 陈清霞女士，BBS，JP	(December 2001 to November 2007) (由二零零一年十二月至二零零七年十一月)
	Mr Simon IP Sik-on, JP 叶锡安先生，JP	(since May 2003) (由二零零三年五月起)
	Mr Michael SZE Cho-cheung, GBS, JP 施祖祥先生，GBS，JP	(since February 2004) (由二零零四年二月起)
	Mr Thomas Brian STEVENSON, SBS, JP 施文信先生，SBS，JP	(since February 2004) (由二零零四年二月起)
	Mr Nicky LO Kar-chun, JP 罗家骏先生，JP	(since February 2006) (由二零零六年二月起)
	Mrs Mimi CUNNINGHAM KING Kong-sang 简金港生女士	(since February 2006) (由二零零六年二月起)
	Ms WONG Mee-chun, JP 黄美春女士，JP	(since July 2006) (由二零零六年七月起)
	Prof. CHAN Yuk-shee, BBS, JP 陈玉树教授，BBS，JP	(since December 2007) (由二零零七年十二月起)
Secretary 秘书	Mrs Stella AU-YEUNG KWAI Wai-mun 欧阳桂慧敏女士	(since November 2002) (由二零零二年十一月起)

Curricula vitae of the Chairman and Members are at *Appendix II*.  
主席及委员的简介载于附录 II。

### SECRETARIAT OF THE COMMISSION

### 委员会秘书处

2.3 The Commission is served by a small team of civil servants from the Executive Officer, Secretarial and Clerical grades. At the end of 2007, the number of established posts in the Commission Secretariat is 27. An organisation chart of the Commission Secretariat is at *Appendix III*.

2.3 委员会秘书处由行政主任、秘书和文书职系等公务员所组成的小组提供服务。截至二零零七年底，秘书处有27个编制职位，组织架构图见附录 III。

## METHOD OF WORK

- 2.4 Submissions from the Civil Service Bureau (CSB) and government departments/bureaux are meticulously examined by the Commission Secretariat, with further clarifications and justifications obtained where necessary, before the advice of the Commission is sought. Promotion cases form the bulk of the work of the Commission Secretariat and a flow chart illustrating the vetting process of such cases is at *Appendix IV*.
- 2.5 The business of the Commission is normally conducted through circulation of files. Meetings are held to discuss major policy issues or cases which are complex or involve important points of principle. At such meetings, representatives from the CSB and senior management from departments are invited to attend to appraise the Commission of the background of the issue or case but the Commission forms its views independently.

## HOME PAGE ON THE INTERNET

- 2.6 The Commission's homepage can be accessed at the following address:

<http://www.psc.gov.hk>

The homepage provides basic information on the Commission's role and functions, its current Membership, the way the Commission conducts its business and the organisation of the Commission Secretariat. Our Annual Reports (from 2003 onwards) can also be viewed on the homepage and can be downloaded<sup>7</sup>.

## 工作方式

- 2.4 公务员事务局和政府部门/决策局所提交的建议，秘书处会先行详细审议，如有需要，会要求有关方面进一步澄清和解释，然后才徵询委员会的意见。委员会秘书处所处理的个案工作，大部分为晋升选拔个案。附录IV载列晋升选拔个案审核程序流程图，以资说明。
- 2.5 委员会的工作通常以传阅文件的方式进行。如须讨论重大政策、复杂或涉及重要原则问题的个案，便会举行会议。公务员事务局代表和部门的高级管理人员会获邀出席会议，阐述有关事宜或个案的背景资料，由委员会作出独立的判断。

## 互联网的网页

- 2.6 委员会设有网页，网址如下：

委员会网页载有委员会的基本资料，包括角色和职能、现有成员名单、委员会执行职务的方式，以及秘书处的组织架构。委员会年报(由二零零三年起)可在网上浏览，也可从网页下载<sup>7</sup>。

<sup>7</sup> Hard copies of the Annual Report are also available in public libraries and District Offices.  
委员会年报的印行本也可在公共图书馆和各区民政事务处索阅。



- 3.1 Since the establishment of the Hong Kong Special Administrative Region (HKSAR) Government on 1 July 1997, new appointees to the civil service must be permanent residents of the HKSAR. However, professional and technical posts may be filled by non-permanent residents in accordance with Article 101 of the Basic Law if there are no qualified or suitable candidates with permanent resident status.
- 3.2 While recruitments in the civil service are undertaken by the Civil Service Bureau (CSB) and individual Government departments, the Commission is involved in the process through overseeing the procedural aspects, advising on the shortlisting criteria and on recommendations for filling of vacancies in the senior ranks<sup>8</sup> of the civil service covering both open<sup>9</sup> and in-service<sup>10</sup> recruitments. It also advises departments on procedural problems encountered in the recruitment process in consultation with CSB.
- 3.1 香港特别行政区(特区)政府在一九九七年七月一日成立后，新聘用的公务员必须是特区永久性居民。然而，根据《基本法》第一百零一条，如永久性居民当中没有合格和合适人选，专业及技术职位可由非永久性居民填补。
- 3.2 公务员的招聘工作由公务员事务局及政府各部门负责，委员会亦参与其事。委员会负责监察高级级公务员<sup>8</sup>职位空缺的公开<sup>9</sup>及内部<sup>10</sup>招聘程序，以及就有关甄选准则和聘用建议提出意见。此外，如部门在招聘过程中遇到程序上的问题，委员会在与公务员事务局商讨后会向他们提供意见。

<sup>8</sup> They refer, for recruitment purpose, to those senior ranks under the normal appointment purview of the Commission (i.e. those attracting maximum monthly pay at MPS Pt. 26 (currently \$33,330) and above or equivalent). They exclude (i) the basic ranks of non-degree entry and non-professional grades with a maximum monthly salary at MPS Pt. 26 or above, and (ii) the judicial service, the Independent Commission Against Corruption and the disciplined ranks of the Hong Kong Police Force which are specifically outside the purview of the Commission.

就招聘而言，这是指属委员会正常职权范围内聘任的高级级人员(即月薪点达总薪级第26点(现为\$33,330元)或以上或同等薪点的人员)，当中不包括：(i)月薪点达总薪级第26点或以上属于非学位及非专业职系的基本职级人员；以及(ii)订明不在委员会职权范围内的司法机构人员、廉政公署人员及香港警务处纪律职系人员。

<sup>9</sup> Open recruitments are conducted for basic ranks, or a promotion rank when no one is found suitable in the lower rank, or where there is a special need. Since the establishment of the HKSAR Government on 1 July 1997, new appointees to the civil service must be permanent residents of the HKSAR. However, professional and technical posts may be filled by non-permanent residents in accordance with Article 101 of the Basic Law if there are no qualified or suitable candidates with permanent resident status.

对于基本职级、未能由内部晋升人员填补的晋升职级或有特别需要的职位，当局会进行公开招聘。香港特别行政区(特区)政府在一九九七年七月一日成立后，新聘用的公务员必须是特区永久性居民。然而，根据《基本法》第一百零一条，如永久性居民当中没有合格和合适人选，专业及技术职位可由非永久性居民填补。

<sup>10</sup> In-service recruitments are arranged when the pool of candidates is restricted to all or selected groups of serving civil servants. 内部招聘的职位只供所有或某些组别的在职公务员申请。



3.3 In 2007, the Administration made a number of major decisions which will have significant impact on recruitment activities in the ensuing years. Upon reviewing the progress in containing the size of the civil service and having regard to the need to address the manpower shortage and potential succession problems in the civil service in the long run, the Administration has decided to lift with effect from 1 April 2007 the general open recruitment freeze<sup>11</sup> imposed since 1 April 2003 on those grades that were not included in the Second Voluntary Retirement (VR II) Scheme<sup>12</sup>. For VR grades, the 5-year open recruitment freeze will not be further extended after its scheduled expiry on 21 March 2008. As a result of these decisions, open recruitments were re-activated at different pace by bureaux/departments in the latter half of 2007. However, to ensure that open recruitment will only be conducted where it is fully justified, the Administration will maintain control on the open recruitment for some selected grades with existing or anticipated surplus staff based on the latest manpower projection, in a state of obsolescence, or where new intakes normally come from in-service recruitment. To fill vacancies in these "controlled grades", the Heads of Department (HoDs)/Heads of Grade (HoGs) may conduct in-service recruitment exercises, but prior approval of the Secretary for the Civil Service (SCS) must be obtained before an open recruitment exercise is mounted.

3.4 During the first quarter of 2007 before the lifting of the open recruitment freeze imposed on non-VR grades, exceptional approval was given by the Joint Panel to conduct open recruitment to fill 135 posts in ten ranks in six departments. For grades included in the VR II scheme that are still subject to the open recruitment freeze until 21 March 2008, the Joint Panel has also exceptionally approved the conduct of open recruitment exercises by 28 VR grades during 2007, taking into account new initiatives that were not foreseen when the VR II Scheme was launched or the need to alleviate manpower shortage due to unexpected wastage.

3.3 年内，当局作出几项重要决定，对以后的招聘工作有重大影响。当局检讨过控制公务员编制的进度，并考虑到有需要长远解决公务员人手短缺和可能出现的接班问题，决定撤销自二零零三年四月一日起全面暂停公开招聘人员的规定<sup>11</sup>，没有纳入第二轮自愿退休计划<sup>12</sup>的职系可率先于二零零七年四月一日获得解封。至于自愿退休职系，暂停公开招聘五年的规定在二零零八年三月二十一日届满后，不会再度延长。因此，自二零零七年下半年起，各局/部门陆续重新展开公开招聘。然而，为确保所有公开招聘都是有确实需要才进行，当局仍继续监控部分职系的公开招聘程序，这些“受限制职系”包括现正面对或按最新人力推算即将出现过剩人手的职系、正逐渐取消的职系或一般只从内部招聘新入职人员的职系。“受限制职系”的空缺，须以内部招聘形式填补。有关的部门/职系首长如要进行公开招聘，必须先取得公务员事务局批准。

3.4 二零零七年首季，当局尚未撤销暂停公开招聘人员的规定时，联席委员会特别准许部分没有被纳入自愿退休计划的职系进行公开招聘，以填补六个部门内十个职级合共135个职位。另外，联席委员会又批准了28个被纳入第二轮自愿退休计划的职系，在二零零八年三月二十一日暂停公开招聘的规定解封之前，破例进行公开招聘，以执行于第二轮自愿退休计划推出时没有预计的新措施，或纾缓因流失人数超出预期而导致人手短缺的问题。

<sup>11</sup> Under the service-wide open recruitment freeze, while in-service recruitments, which do not affect the overall strength of the civil service, are generally permissible, exceptional approval by the Joint Panel (co-chaired by the Chief Secretary for Administration and the Financial Secretary and with the Secretary for the Civil Service as member) is required for the conduct of any open recruitment exercise.

按照全面暂停公开招聘人员的规定，在不影响公务员整体编制的前提下，通常会容许内部招聘；如要进行公开招聘，则须经联席委员会（由政务司司长和财政司司长共同担任主席，并由公务员事务局局长担任委员）特别批准。

<sup>12</sup> As one of the measures to achieve the Government's aim to reduce civil service establishment to around 160 000 by 2006-07, the VR II Scheme was launched on 21 March 2003 to enable identified or potential surplus staff in 229 designated grades to leave the service voluntarily. About 6 300 applications were approved under the Scheme.

为达到政府在二零零六至零七年度或之前把公务员编制缩减至约16万个职位的目标，当局采取了多项措施，其中一项是在二零零三年三月二十一日推出第二轮自愿退休计划，让229个已确定或预计会有过剩人手的指定职系的人员自愿离职。结果，约有6 300宗根据该计划提出的申请获得批准。



3.5 As a result of the partial lifting of the recruitment freeze, the number of new recruits in 2007 was much higher than the figures in the past three years. Altogether the Commission advised on the filling of 676 posts, of which 94 were by in-service appointment and 582 through open recruitment. Two new recruits were non-permanent residents appointed to fill professional or technical posts. A statistical breakdown of these appointments and a comparison of the number of appointees in 2007 with that in the previous three years are provided at *Appendix V*.

### REVIEWS INITIATED BY THE COMMISSION

3.6 During the year, the Commission continued to work in collaboration with the Administration in improving the civil service recruitment mechanism through streamlining procedures and rationalising rules and practices. It also offered input and comments on the related policies. The following paragraphs give a detailed account of the reviews initiated and the observations raised by the Commission with the Administration in 2007.

#### (a) Streamlining of recruitment process

3.7 A civil service recruitment exercise involves various parties at different stages, namely the recruiting department, its policy bureau, CSB and the Commission. Depending on the size of the exercise and the need for seeking CSB's or the Commission's special approval (covering, for example, deviations from the normal recruitment procedures and waiver of language proficiency<sup>13</sup> or permanent resident status<sup>14</sup> requirement), the time required for completing the recruitment process in a normal exercise has been in the range of four to six months. The time needed would be even longer if the exercise requires the holding of written examinations of individual grades after the Common Recruitment Examination (CRE)<sup>15</sup>.

3.5 由于当局局部撤销暂停招聘人员的规定，二零零七年新聘公务员的人数，较以往三年大幅增加。年内，委员会就676个职位的招聘提供意见，当中94个职位从内部聘任，其余582个职位则经由公开招聘填补。有两名新招聘人员为非香港永久性居民，他们担任专业或技术职位。这些聘任的分项数字，以及二零零七年与先前三年聘任人数的比较，载于附录V。

### 委员会促成的检讨

3.6 年内，委员会继续与当局合作，借精简程序，以及理顺现行的规则和做法，改善公务员招聘机制。委员会也就相关的政策提出建议和意见。下文详述委员会在二零零七年向当局提出的意见和促成的检讨。

#### (a) 简化招聘程序

3.7 招聘人员的部门、有关的决策局、公务员事务局和委员会各方都须在不同的阶段，参与招聘公务员的工作。视乎招聘的规模和是否需要公务员事务局或委员会的特别批准(例如涉及偏离一般招聘程序，以及豁免符合语文能力<sup>13</sup>或永久性居民<sup>14</sup>的规定)，一般招聘程序需时四至六个月不等。如个别职系须在公务员综合招聘考试<sup>15</sup>后才举行笔试，所需时间便会更长。

<sup>13</sup> Since 1 January 2003, all applicants to civil service posts have to meet specific language proficiency requirements before appointment. HoDs/HoGs may apply to CSB for exemptions from the language proficiency requirements on a case-by-case basis if they encounter recruitment difficulties.

自二零零三年一月一日起，所有申请公务员职位的人在获聘任前，须达到指定的语文能力要求。部门/职系首长如在招聘方面有困难，可按个别情况向公务员事务局申请豁免符合语文能力的要求。

<sup>14</sup> Article 99 of the Basic Law provides that all public servants serving in government departments of the HKSAR must be permanent residents of the HKSAR, except where otherwise provided for in the Basic Law 101 regarding public servants of foreign nationalities and except for those below a certain rank as prescribed by law. The requirement of permanent resident status applies to new recruits appointed on or after 1 July 1997. Under existing policy, recruiting bureaux and departments may consider recruiting candidates who are not permanent residents of the HKSAR if there are insufficient qualified and suitable candidates with permanent resident status. However, they have to seek the advice of the Commission and prior approval of CSB for doing so before commencement of the recruitment exercise.

《基本法》第九十九条订明，在特区政府部门任职的公务人员必须是特区永久性居民，《基本法》第一百零一条对外籍公务人员另有规定者或法例规定某一职级以下者不在此限。有关永久性居民的要求适用于在一九九七年七月一日或以后新聘任的人。根据现行政策，如没有足够属永久性居民的应徵者合乎资格和适合聘用，招聘人员的局及部门可考虑聘请非特区永久性居民的应徵者。不过，有关的局及部门在展开招聘工作前，须咨询委员会的意见和获得公务员事务局批准。

<sup>15</sup> As a measure to enhance the language proficiency of its workforce, the Administration has imposed a requirement since 1 January 2003 that all applicants for civil service posts at degree and professional level should obtain a pass in two language papers, i.e., Use of English and Use of Chinese, in the Common Recruitment Examination held by the Civil Service Examinations Unit of CSB.

为提高公务员的语文能力，当局规定由二零零三年一月一日起，凡申请学位或专业程度公务员职位的人士，必须在公务员事务局公务员考试组所举行的综合招聘考试的中文运用和英文运用两份语文试卷中，考获及格成绩。



3.8 The Commission is concerned that a lengthy recruitment process could put the Government in a disadvantageous position in competing with the private sector for talents, particularly in the current buoyant job market. This is more pertinent in the wake of the gradual resumption of civil service recruitment and the lifting of open recruitment freeze. The Commission has therefore advised CSB to accord priority to the conduct of a joint review to streamline the process. A number of improvements have been identified. On the principle that the integrity and impartiality of the recruitment system must not be eroded or compromised, the Commission and CSB would cease its involvement in those steps that would not add value to but would only lengthen the recruitment process by duplicating the efforts made by the recruiting bureaux/departments. These improvements have been put into effect from December 2007. They are described in the ensuing paragraphs.

**For recruitments to basic ranks and promotion ranks at Directorate Pay Scale Point 1 (D1) level and below where the HoDs/HoGs are the authority for appointments**

3.9 Departmental submissions on the recruitment to these ranks are forwarded direct to the Commission. Prior to the implementation of the streamlined arrangements, the Commission was involved in the following recruitment steps:

#### Preparation Stage

- (i) to advise on any proposed deviations from the established appointment rules, procedures and practices or approved Guides to Appointment (G/A)<sup>16</sup>;
- \*(ii) to advise on the content of the related vacancy circulars or advertisements;

3.8 委员会关注到，招聘过程冗长，不利政府与私人机构竞逐人才，尤其是现时劳工市场甚为活跃。随着政府逐步恢复招聘公务员和撤销暂停公开招聘的规定，情况更迫在眉睫。因此，委员会促请公务员事务局尽快联袂进行检讨，以期简化招聘过程。经检讨后，有多项地方已获得改善。在不影响招聘制度持平公正的原则下，委员会及公务员事务局停止了参与一些与招聘各局/部门的工序重复，但没有实质效用的工作，以避免延长招聘过程。这些改善措施已在二零零七年十二月实施，并在下文载述。

**招聘首长级薪级第1点或以下的基本职级和属晋升级级的人员(聘任当局为部门首长/职系首长)**

3.9 部门会把这些职级的招聘建议直接提交委员会。在精简安排前，委员会在下列招聘步骤的工作包括：

#### 筹备阶段

- (i) 就偏离既定聘任规则、程序、做法或经批准的《聘任指南》<sup>16</sup>的建议提出意见；
- \* (ii) 就有关的职位空缺通告或广告内容提出意见；

<sup>16</sup> The G/A is an official document prepared by departments for individual ranks to specify the qualification, requirements and the terms of appointment for recruitment or promotion to respective ranks. The bureaux and departments are required to update the entry requirements, terms of appointment and job description of grades under their purview in the respective G/As on an ongoing basis for CSB's approval.

《聘任指南》是部门就个别职级拟定的正式文件，说明各职级在招聘或晋升方面所需的资历、要求和聘用条款。各局和部门须经常更新其职权范围内各个职系《聘任指南》所载的入职条件、聘用条款和职责说明，并提交公务员事务局批准。



### Recruitment Stage

\*(iii) to advise on the sorting results which involve double-checking and verification of qualified and unqualified applications and the marks scored by each candidate in the test/examination/interview;

(iv) to advise on the shortlisting criteria<sup>17</sup> proposed for adoption to reduce the number of candidates to be interviewed, if appropriate;

\*(v) to advise on the selection arrangements including the assessment form to be used in selection interviews, the selection format and interview arrangements; and

### Final Stage

(vi) to advise on the proposed offers of appointment to selected candidates.

3.10 After review, the Commission has agreed to withdraw its involvement in those recruitment stages as mentioned in paragraph 3.9 (ii), (iii) and (v) above (i.e. those steps marked with an asterisk) as the recruiting bureaux/departments should be trusted to be able to adequately perform the related functions. However, the Commission's involvement in those key aspects covering deviations [paragraph 3.9(i) above], shortlisting criteria [paragraph 3.9(iv) above], if applicable, and the final offers of appointment [paragraph 3.9(vi) above] will be retained. Recruiting bureaux/departments will still be required to inform the Commission of the interview schedule for its consideration of observation at the selection interview.

### 招聘阶段

\*(iii) 就甄别结果提出意见，当中包括重复检查和核实合格和不合格的申请，以及各应征者在测试 / 考试 / 面试的得分；

(iv) 如要筛选合适数目的应征者面试，就筛选准则<sup>17</sup>建议提出意见；

\*(v) 就遴选安排提出意见，包括遴选面试时采用的评核表格、遴选形式和面试安排；以及

### 最后阶段

(vi) 就应征者的录用建议提出意见。

3.10 经检讨后，委员会同意在招聘过程中不再参与上文第3.9(ii)、(iii)及(v)段所载的工作(即有“\*”号的步骤)，因为委员会相信招聘各局/部门应胜任有余。不过，委员会将继续参与主要的工作，包括就各局/部门偏离既定做法[上文第3.9(i)段]、筛选准则[上文第3.9(iv)段](如适用)和录用建议[上文第3.9(vi)段]提供意见。招聘各局/部门仍须通知委员会面试时间表，以便委员会考虑是否出席观察遴选面试。

<sup>17</sup> Where a large number of candidates are eligible for consideration for appointment, departments/grades may devise shortlisting criteria to reduce the number of interviewees. The number of candidates to be screened for interview should be proportionate to the number of recruits that the department/grade intends to take in. As a general guideline, the number of candidates to be interviewed should not normally exceed five for each vacancy. The shortlisting criteria should have direct relation to the job and are not applicable to disabled candidates who should be interviewed as long as they meet the basic requirement.

如合资格应徵者人数众多，部门/职系可制订筛选准则，减少面试者的数目。获筛选进行面试的人数，应与有关部门/职系打算聘用的人数相称。根据一般原则，通常每个职位空缺的面试者不应超过五名。筛选准则应直接与职位的工作有关，且不适用于残疾人士。残疾人士只要符合基本入职条件，便应获得面试机会。

3.11 It is estimated that the above streamlined arrangements would cut short the recruitment process by at least four weeks, resulting in a speedier conduct of recruitment exercises and a more timely offer of appointment. While the Commission will retain its right to verify any information, if required, throughout the recruitment process, a quality assurance mechanism will also be put in place to ensure full compliance of rules and procedures by recruiting bureaux/departments. Under this mechanism, the recruiting bureaux/departments are required to confirm their compliance or otherwise with the stipulated requirements in the form of a checklist to be attached to the submission seeking the Commission's advice on the proposed offers of appointment. The checklist will also serve the purpose of reminding bureaux/departments ahead of time of the steps they should follow and the various exemptions or exceptional approvals that they should obtain, thus expediting the recruitment process as any omission on their part would cause delays unnecessarily.

#### For recruitments to ranks at D2 level and above where CSB is the authority for appointments

3.12 Departmental submissions on recruitments of these ranks are vetted by CSB before they are forwarded to the Commission. The recruitment steps prior to the implementation of the streamlined arrangements were the same as those depicted in paragraph 3.9 above except that both the Commission and CSB were involved in the process. After review, it is agreed to adopt the same streamlined measures as proposed by the Commission in paragraph 3.10 above except for the vetting of assessment forms which CSB, being the appointment authority for D2 and above, will continue to retain its vetting role in order to maintain a consistent recruitment standard at these levels. The streamlined arrangements will cumulatively cut short the recruitment process at D2 level and above by about four weeks.

3.11 上述的精简安排预计可把招聘过程缩短至少四个星期，令招聘工作更快完成，并及早聘任合适人选。委员会保留在整个招聘过程中核实任何资料(如有需要)的权利，也会制订质素保证机制，确保招聘各局/部门完全遵从有关的规则和程序。质素保证机制规定，招聘各局/部门就录用建议向委员会征询意见时须夹附查核列表，确认他们有否遵从订明的规定。查核列表的作用还包括，警醒招聘各局/部门注意应采取的步骤，以及确定已获得各项所需的豁免或特别批准，避免因有所遗漏而造成不必要的阻延，从而使招聘过程更加畅顺。

#### 招聘首长级薪级第2点及以上人员(聘任当局为公务员事务局)

3.12 部门会把这些职级的招聘建议，先送交公务员事务局审核，然后呈交委员会。在精简安排前，招聘步骤与上文第3.9段所述者相同，唯一的分别是委员会和公务员事务局均参与其中。经检讨后，当局同意采取委员会在上文第3.10段建议的精简措施，不过，公务员事务局作为首长级薪级第2点及以上人员的聘任当局，将会继续负责审核评核表格，确保这些职系的招聘准则一致。上述精简安排可把首长级薪级第2点及以上人员的招聘过程缩短大约四个星期。



3.13 To further reduce the preparation time and administrative work of recruiting bureaux/departments, CSB has agreed to deploy further facilitating measures. For example, recruiting bureaux/departments will be relieved of the need to seek CSB's prior approval for accepting applications from final year university students and those who have not yet obtained the requisite CRE results at the time of application since the successful candidates will only be appointed subject to their obtaining the degree and the requisite CRE results. CSB will also issue to bureaux/departments a new set of sample vacancy circular and advertisement for their reference. It will also encourage them to seek CSB's approval for updating the G/As<sup>18</sup> of recruiting grades well before the conduct of any recruitment exercise. Guidance to departmental staff will also be provided by CSB to ensure that with the implementation of the streamlined arrangements, those delegated with the sole responsibilities of vetting applications in bureaux/departments are fully conversant with the related procedures.

#### Concerted streamlining efforts required of bureaux/departments

3.14 The Commission reckons that notwithstanding the streamlining efforts made by the Commission and CSB, an expeditious offer of appointment can only be realized by the joint efforts of recruiting bureaux/departments in ensuring a speedy conduct of recruitment exercise at their end. Any delay on the part of a department in one or more steps could lengthen considerably the entire recruitment process. This is well illustrated by one recruitment exercise which targeted to net around 40 new appointees but attracted an overwhelming response of nearly 5,800 applications. The department had spent about two months to vet the applications, more than four weeks

3.13 为进一步减省招聘各局/部门的筹备时间和行政工作，公务员事务局同意实施更多便捷的安排。举例来说，招聘局/部门无须再在招聘阶段，特别徵求公务员事务局同意，以接受应届大学毕业生或在提交申请时尚未取得综合招聘考试成绩的应徵者的申请，因为倘若他们获得录取，也必须取得学位和所需的综合招聘考试成绩，才会获得聘用。公务员事务局会向各局/部门发出职位空缺通告和广告的新样本，以供参考，也会鼓励各局/部门在进行招聘前，预早徵求公务员事务局同意，更新招聘职系的《聘任指南》<sup>18</sup>。公务员事务局也会向部门提供指引，以确保在精简安排后，各局/部门内获授权专责审核求职申请的人员熟悉有关程序。

#### 各局/部门须共同努力简化程序

3.14 委员会认为，委员会和公务员事务局已致力简化程序，但招聘各局/部门亦须共同努力，迅速进行招聘工作，才能加快录用合适的应徵者。部门在一个或多个步骤上有所延误，便会大大延长整个招聘过程。例证之一是有有一个部门计划招聘大约40名人员，但反应热烈，共收到近5 800份申请。该部门用了约两个月审核申请、逾四个星期完成遴选面试，以及两个月拟备遴选委员会报告。结果，这项招聘工作从刊登招聘广告至提交遴选委员会报告徵询委员会意见，历时接近

<sup>18</sup> See Note 16 on page 13.  
请参阅第13页注16。



to complete the selection interviews and two months to compile the board report. As a result, it had taken this recruitment exercise about seven months from the date of placing a recruitment advertisement to the submission of the selection board report to the Commission for advice. The case highlights that there is scope to reduce the lead time spent on the recruitment process at the departmental level to enable a speedier offer of appointment to the right candidates.

- 3.15 In the light of the case quoted above and given the important role played by recruiting bureaux/departments in a recruitment exercise, the streamlined measures as detailed in paragraphs 3.10 and 3.12 above are only meant to be the first phase of shortening the entire recruitment process. Recruiting bureaux/departments can contribute an even more significant portion of time saving by speeding up those recruitment steps falling under their sole control, namely the conduct of written or physical tests, marking of test papers, selection interviews, etc. As a second phase in the streamlining process, the Commission has requested CSB to co-ordinate efforts with bureaux/departments to speed up these steps. The Commission will monitor the progress of some major recruitment exercises to assess the effectiveness of the streamlined measures.

**(b) Guidelines on the application of the Government's policy on employment of people with disabilities (PWDs) in the civil service**

- 3.16 It is the Government's general policy to integrate the disabled into the community through the process of vocational rehabilitation and eventual gainful employment in the commercial and industrial sector as well as in the civil service. To achieve this, Government, as the largest employer in Hong Kong, has taken a lead in placing the disabled in appropriate jobs in the civil service, recognising that the abilities of many disabled persons outweigh their disabilities and that only in productive and remunerative employment will their fullest possible vocational, social and economic potential be realised.

七个月。上述个案凸显了部门应缩减招聘过程的处理时间，以便可以迅速录用合适的应徵者。

- 3.15 鉴于上述个案所反映的情况，以及招聘各局/部门在招聘工作方面担当重要角色，委员会认为上文第3.10及3.12段载述的精简措施只是第一阶段的缩短招聘过程安排。招聘各局/部门可在其负责的招聘步骤中，即举行笔试或体能测验、评阅试卷及进行遴选面试等，加快步伐，从而大幅缩短所需时间。作为精简过程的第二阶段，委员会已要求公务员事务局协调各局/部门的工作，加快有关步骤。委员会会监察一些大型招聘工作的进度，以评估精简措施的成效。

**(b) 有关政府聘用残疾人士政策的应用指引**

- 3.16 政府的政策是为残疾人士提供职业康复服务，让他们最终得以在工商界和政府觅得职位以自力更生，从而融入社会。政府明白不少残疾人士残而不废，他们只有从实质参与工作和赚取酬劳的过程中，才可尽情发挥职康潜能和贡献经济效益。为了贯彻上述政策，政府作为全港最大的雇主，一直带头聘用残疾人士担任合适的公务员职位。



- 3.17 Under the existing policy, an applicant for a civil service post can state in the application form whether he is a candidate with a disability and request special arrangements to take the written examination and/or attend an interview. If he meets the basic entry requirements for the post, he will be invited to a selection interview without being subject to shortlisting criteria which are drawn up with a view to reducing the number of candidates for interview. As stated in its 2005 Annual Report, the Commission was concerned about the requirement of a mere declaration of disability by PWDs on the application form for employment in the Government. Noting that the prevailing procedures related to the employment of PWDs were issued in 1999, the Commission requested the Administration to review the procedures to include the consideration of the requisite provision of documentary evidence certifying the disability of the candidate.
- 3.18 During the year, the Administration completed a comprehensive review on this subject and drew up a set of guidelines. To ensure that the guidelines would not conflict with any prevailing legislation enacted for the protection of the interests of disabled and able-bodied individuals, the legal and policy aspects of the guidelines were cleared with the relevant bureaux and authorities before issue.
- 3.19 In the new guidelines, CSB has fully adopted the Commission's views that the proof of disability status should be verified by the recruiting bureaux/departments prior to according preferential treatment to the candidate who has claimed to be a PWD. It is only in cases where the stated disabilities can be verified by the naked eye (e.g. people with physical handicap or blindness) that the proof of the disability status may be ascertained during the interview. CSB has also taken the Commission's advice to further illustrate with examples how an appropriate degree of preference is to be accorded to a PWD who is found suitable for appointment and is in competition with other able-bodied candidates having comparable suitability for appointment.
- 3.17 根据现行政策，投考公务员职位的人可在申请书内申明是否残疾人士，并可要求当局在笔试及/或面试时作出特别安排。应徵者如符合有关职位的基本入职条件，无须经过为控制面试人数而拟定的筛选程序，便可直接获邀参加遴选面试。委员会于二零零五年年报中，就残疾人士只须在申请政府职位的申请书内申报残疾情况的规定表示关注。鉴于现行有关招聘残疾人士的程序是在一九九九年公布，委员会要求当局检讨程序，考虑增设规定，要求应徵者提交证明其残疾人士身分的文件。
- 3.18 年内，当局全面检讨了有关事宜，并制订一套准则。为确保这些准则不会抵触现行保障残疾和健全人士利益的法例，有关决策局和相关当局已在准则公布前，审核当中所涉及的法律和政策事宜。
- 3.19 公务员事务局采纳委员会的所有意见，在新准则内规定：招聘各局/部门应先核实自称残疾的应徵者的残障状况，然后才给予优待；只有可凭肉眼证明的残疾状况(例如：肢体伤残或失明)，招聘各局/部门可在面试时才作核实。公务员事务局亦采纳委员会的意见，举例说明了当残疾人士与健全人士表现相若，并同样适合受聘时，应如何适当地优先录用残疾人士。



3.20 With the gradual resumption of civil service recruitment, the Commission welcomes the timely promulgation of the new guidelines which provide useful and practical pointers relevant to the consideration of PWDs as candidates of civil service recruitment exercises.

**(c) Recruitment examination as a qualifying benchmark or shortlisting criterion**

3.21 Since 1 January 2003, all applicants for civil service posts at degree and professional level should obtain a pass in two language papers, i.e., Use of English and Use of Chinese in the CRE held by the Civil Service Examinations Unit of CSB. Apart from this language proficiency requirement, the HoDs/HoGs may decide on whether, and if so, when and how to conduct further recruitment examination (including any trade test) to screen candidates for selection interviews. Under the prevailing policy, recruitment examination is usually conducted when the skills and attributes to be tested cannot be obtained in any other way, e.g. where the required skills have not been tested in public examinations, or the candidates' aptitude for the job and other attributes cannot be judged from his record or assessed in an interview. It provides a more reliable and objective screening than shortlisting of candidates solely on the basis of their qualifications or experience on record.

3.22 During the year, the Commission has observed that different departments and grades have accorded different status to the recruitment examinations in the appointment process. Some took the results of the written examination as a shortlisting tool and others as a job requirement. The different status accorded to recruitment examination has given rise to different treatments to PWDs in recruitment exercises. In two cases where the recruitment examination was treated as a shortlisting tool, PWDs who were not subject to any shortlisting criteria were invited for interview even if they had not attended or passed the recruitment examination. In another case where the recruitment examination was treated as a job requirement, PWDs who had not sat or passed the written examination were automatically screened out.

3.20 随着政府逐步恢复招聘公务员，委员会欢迎当局及时公布新准则，就如何在招聘工作中处理残疾人士的申请提供了有用和切合实际的指引。

**(c) 招聘考试作为合格基准或筛选准则**

3.21 由二零零三年一月一日起，凡申请学位或专业程度公务员职位的人士，必须在公务员事务局公务员考试组所举行的综合招聘考试的中文运用和英文运用两份语文试卷中，考获及格成绩。除了这项语文能力的要求外，部门/职系首长可决定是否需要进行其他招聘考试，包括技能测试，以筛选申请人参加遴选面试，并在有需要时，自行决定考试时间和模式。根据现行政策，如所需的技能和才干未能以其他方法测试，例如公开考试未有测试所需技能，申请人的记录或面试表现未能展现他的工作能力和其他才干，则一般会举行招聘考试。这甄选方法相对只是根据申请人的资历或申报的经验作为筛选准则，较为可靠和客观。

3.22 年内，委员会留意到不同部门和职系在招聘过程中，对招聘考试有不同的定位。有些把笔试成绩视作筛选工具，有些作为职务要求。招聘考试定位不同，残疾人士在应徵时因而受到不同的待遇。有两宗个案是把招聘考试视作筛选工具，由于残疾人士不受筛选准则的限制，即使未有参加或未能通过招聘考试，也可参加面试。另一宗个案则把招聘考试视为职务要求，未有参加或未能通过笔试的残疾人士即被淘汰出局。



3.23 The Commission is of the view that in general, when the need to conduct recruitment examination is established, recruitment examinations should be part of the selection process to screen out candidates who do not meet the job requirements. Only those who meet the minimum standard required for the job should be further interviewed or tested to enable the offer of appointment to be made to the best candidates. The results of recruitment examination, apart from screening out the unqualified candidates, can also be used for shortlisting purpose in case of an overwhelming number of candidates who can meet the minimum standard. When a higher threshold is in place, PWDs who have attended and passed the recruitment examination can be directly invited to further tests or selection interviews without being subject to the shortlisting criteria.

3.24 In considering whether there is a need to conduct recruitment examination, the new recruits to be targeted is a relevant factor for consideration. In 2007, eight recruitment exercises for ranks with entry qualifications set at a general Hong Kong Bachelor's Degree (with no specified discipline of study) or equivalent, were conducted and attracted an overwhelming number of applications. In the four exercises where recruitment examinations were conducted, the HoDs/HoGs had made reference to the candidates' examination results for shortlisting suitable candidates for interviews. In the remaining four exercises where no recruitment examination had been conducted, the HoDs/HoGs had applied a minimum period of work experience as a shortlisting criterion to reduce to a manageable size the number of qualified candidates to be interviewed.

3.25 While supporting the recommended shortlisting criterion, the Commission has concerns whether the work experience, as required in those four recruitment exercises at degree entry rank level as quoted, may deprive good candidates, and in particular fresh graduates, of the chance of pursuing a civil service career in a relevant grade that may appeal to their interest. It is worthy to note in this context that in one of these four exercises, the Commission received a complaint from an applicant whose application was

3.23 委员会认为，一般来说，如有需要举行招聘考试，招聘考试应为甄选程序的一部分，以淘汰未达标的申请人。只有那些达到职务基本要求的申请人才可参加其后的面试或测试，以便招聘各局/部门能从中聘任最合适的人选。招聘考试的成绩，除可用来淘汰不合格的申请人外，也可用来作为筛选的根据，以应付有太多应徵者符合最起码标准的情况。当设有更高的入围门槛时，已经参加并通过招聘考试的残疾人士，可直接参加其后的测试或遴选面试，不受筛选准则限制。

3.24 在考虑是否需要举行招聘考试时，拟招聘的对象是相关的考虑因素。在二零零七年，有八个入职资格为一般香港学士学位(无指定学科)或同等学历的职级举行了招聘，并吸引了大批应徵者。其中四个职级在招聘程序中设有招聘考试，有关的部门/职系首长根据考试成绩筛选合适的申请人参加面试。另外四个职级则不举行招聘考试，有关的部门/职系首长以合资格申请人的工作经验为参考，筛选合适数目的人选参加面试。

3.25 委员会虽然支持这些个案中所建议的筛选准则，但关注到上述四个招聘职级的入职资格为学位程度，以工作经验作为筛选参考，可能令到部分优秀人才(特别是应届毕业生)没有机会投身他们有兴趣的职系工作。委员会并注意到在上述四次招聘中，有一个部门只邀请具备至少一年全职的有关工作经验的申请人参加面试，致使一名被拒绝的申请人向委员会提出投诉。



rejected right away by the department which shortlisted candidates for interviews only if they had a minimum one-year relevant full-time work experience. The candidate considered it unfair that in the absence of any written examination, he was screened out from the selection interview. Upon review of the case, the Commission did not find any irregularity on the part of the department in the recruitment exercise. Having said that, the Commission observed that the shortlisting tool adopted in a recruitment exercise could have significant impact on the mix of candidates selected for appointment.

3.26 In the recruitment exercise applying a minimum period of work experience as mentioned in the preceding paragraph, no fresh graduates were recruited in 2007 as they did not have the minimum one-year relevant work experience. Two-thirds of the candidates recommended or waitlisted for appointment were either serving civil servants or non-civil service contract (NCSC)<sup>19</sup> staff and the remaining one-third were outsiders. But in another recruitment exercise involving an overwhelming number of applications (over 18 000) with the conduct of a further written examination, the composition of candidates selected for appointment was much more balanced. Roughly 36% of them were fresh graduates or post graduates with a higher or second degree, 26% were serving civil servants or NCSC staff and the remaining 38% were outsiders.

3.27 The Commission considers it necessary to review the appropriateness of using a minimum period of work experience as a shortlisting criterion for recruitment at degree entry rank level. The outcome of the review is relevant to the deliberation on the status of recruitment examination. The Commission has also requested the Administration to draw up more specific guidelines to facilitate HoDs/HoGs in deciding when and how recruitment examination should be conducted, and its validity as a shortlisting tool. CSB has undertaken to review the matter.

该名申请人认为他未经笔试已被淘汰出局是不公平的做法。委员会检讨这宗个案，虽然发现部门的招聘程序没有不当之处，但关注到招聘时所采用的筛选工具，足以影响最后获聘用的人员的组合。

3.26 在上文所述以工作经验作为面试筛选参考的招聘职级，在二零零七年内并没有录用应届毕业生，因为他们没有所需的一年有关工作经验。这职级建议录用或候补录用的申请人中，三分之二是现职公务员或非公务员合约<sup>19</sup>雇员，只有三分之一是其他人士。相对而言，在另一个吸引了超过18 000名应徵者并设有笔试的招聘中，获录用的申请人组合较为平均：约有36%为应届毕业生或修毕硕士学位或第二个学位的人士，26%为在职公务员或非公务员合约雇员，其余的38%为其他人士。

3.27 委员会认为，有需要检讨入职条件为学位程度的职级在进行招聘时，是否适宜以工作经验作为筛选准则。检讨结果有助为招聘考试定位。委员会亦要求当局订定更具体的指引，以辅助部门/职系首长决定何时需要及如何举行招聘考试，以及应否以此作为筛选工具。公务员事务局已承诺检讨这些事项。

<sup>19</sup> The engagement of NCSC staff has been introduced for more than eight years since January 1999 to meet service needs which are short-term, part-time, or where the mode of service delivery is under review or likely to be changed. CSB Circular No. 2/2001 sets out the arrangements for HoDs/HoGs to employ NCSC staff.

雇用非公务员合约雇员的安排自一九九九年一月推出后已实施超过八年，目的是为应付短期或无须雇用全职人员的服务需求，或处理正在检讨或有可能改变的服务。公务员事务局通告第2/2001号载列部门首长/职系首长雇用非公务员合约雇员的安排。



## (d) Attractiveness of civil service jobs

3.28 With the resumption of recruitment across the civil service, the Commission considers it important for the Administration to review its position and ability to attract and retain staff in the face of competition from the private sector given the reviving economy and the fall in the unemployment rate in Hong Kong. Apart from the general labour market factors, the changes to the terms and conditions of civil service appointment over the past ten years may also have an impact on civil service recruitment. Such changes include the revision of starting salaries for most of the entry ranks<sup>20</sup> resulting in an increase from one pay point to at most five pay points, the revision of civil service salary in 2007<sup>21</sup>, the replacement of pensionable service by permanent service on provident fund basis, the long period of trial (3-year probation + 3-year agreement) required of new recruits before their confirmation to permanent terms<sup>22</sup>, and the development of the accountability system<sup>23</sup> which has significant impact on the role of civil servants.

## (d) 公务员职位的吸引力

3.28 委员会认为，随着当局恢复招聘公务员，以及香港经济复苏和失业率下降，有必要检讨政府在面对私营机构的竞争下，能否吸引和挽留员工。除了一般的劳工市场因素外，公务员的聘任条款和条件在过去十年的改变，对招聘公务员不无影响。这些改变包括：调整大部分入职职级<sup>20</sup>的起薪点，由增加一至五个薪点不等；二零零七年公务员薪酬调整<sup>21</sup>；新聘人员改以公积金为基础的长期聘用制<sup>22</sup>（取消退休金）聘用，并需要通过长时间的试任（三年试用加三年合约）才获实聘；以及发展对公务员的角色有重大影响的问责制<sup>23</sup>。

<sup>20</sup> Excluding only 44 ranks under the "Technician, Supervisory and Related Grades" (i.e., Qualification Groups 5 & 6) and the "Model Scale I Grades" (i.e., Qualification Group 10).

不包括“技术人员、督导及相连职系”下的44个职级（即资历组别5及6）和“第一标准薪级职系”（资历组别10）。

<sup>21</sup> Following the 2006 civil service pay trend review, the civil service salary has been increased by 4.63% to 4.96% with retrospective effect from 1 April 2007.

在二零零六年公务员薪酬趋势检讨后，公务员薪酬增加了4.63%至4.96%，追溯至二零零七年四月一日生效。

<sup>22</sup> For officers who join the service under the new entry system on or after 1 June 2000, they are only entitled for retirement benefits under the Civil Service Provident Fund Scheme. They are also subject to a longer trial of 3-year probation + 3-year agreement before confirmation on permanent terms versus a 2-year probation for those joining the service before 1 June 2000.

凡在二零零零年六月一日或以后根据新入职制度受聘的公务员，只能享有公务员公积金计划的退休福利。他们亦须经过较长时间的试任（三年试用加三年合约），才获实聘为长期聘用制人员；在二零零零年六月一日前入职的公务员的试用期只为两年。

<sup>23</sup> Introduced on 1 July 2002, the accountability system created a new system of government in Hong Kong comprising two tiers – a political tier at the top underpinned by the civil service as the backbone of the Government. The principal official positions at the political tier are filled by individuals nominated by the Chief Executive. The principal officials appointed under this system are not civil servants and their appointments also need not be referred to the Commission.

问责制在二零零二年七月一日推出，为香港开设了两个层级的政府制度。政府最高层为一个政治领导级，其下有公务员队伍作为政府的骨干，提供支援。政治层的主要官员由行政长官提名的人士出任，在这制度下聘任的主要官员并非公务员，其聘任事宜无须提交委员会审议。

3.29 In general, the recruitment exercises conducted in the year received very favourable responses. For instance, the Commission advised on seven recruitment exercises for ranks with appointment requirement set at a general Hong Kong Bachelor's Degree (with no specified discipline of study), or equivalent in the year. The number of applications received in these exercises ranged from 2 937 to 18 063. The ratio of the number of applications to vacancies ranged from 1: 62.7 to 1:337.3. The overwhelming number of applications received seems to suggest that a career in the civil service is still much sought after. Such a general impression however should be viewed against the fact that since the civil service recruitment freeze in April 2003<sup>24</sup>, most of the grades have not conducted open recruitment for several years.

3.30 To gauge if the Hong Kong Government is regarded as an attractive employer in employees' eyes, more facets would need to be evaluated including, amongst other things, the quality of the applicants, the offer-decline rate of candidates found suitable for appointment and the turnover rate of officers recruited. An increasing number of new recruits with higher qualifications is observed in recent recruitment exercises, but it is worth examining if the trend is related to the expansion of tertiary and post-graduate education during the last decade or the attractiveness of the civil service. The offer-decline rate and turnover rate would also provide clues to the general labour market situation and the competitiveness of the Hong Kong Government.

3.29 整体而言，年内进行的招聘反应非常良好。举例来说，委员会年内就入职条件为一般香港学士学位(无指定学科)或同程度的职级合共七次的招聘提供意见，这些招聘共收到 2 937 至 18 063 份申请，申请与空缺的比例为 1:62.7 至 1:337.3。申请人数众多，反映公务员似乎仍是很受欢迎的职业，但须注意的是自二零零三年四月暂停招聘公务员<sup>24</sup>以来，大部分职系在过去数年都没有招聘人手。

3.30 如要衡量香港政府在雇员眼中是否具有吸引力的雇主，则需要在更多方面评估，包括申请人的质素、获录取的应徵者拒绝受聘的比例、以及受聘人员的流失率。在近期新招聘的人员中，越来越多具备较高学历，这趋势究竟是受惠于过去十年高等教育的扩张，还是反映了公务员工作的吸引力，有待详加研究。拒绝受聘率和流失率亦可反映一般劳工市场情况和香港政府的竞争力。

<sup>24</sup> In view of the then impending wide-ranging reforms of the civil service, the Administration imposed the first general freeze on recruitment to civil service on 1 April 1999. For grades other than those included in the first Voluntary Retirement Scheme, open recruitment resumed on 1 April 2001 and lasted until the second civil service recruitment freeze which was imposed on 1 April 2003 with a view to achieving the government's aim to reduce civil service establishment to 160 000 by 2006-07.

鉴于当时将会进行范围广泛的公务员改革，当局在一九九九年四月一日第一次全面暂停招聘公务员。除了纳入首轮自愿退休计划的职系外，其他职系在二零零一年四月一日恢复公开招聘。直至二零零三年四月一日当局第二次暂停招聘公务员，以求达到在二零零六至零七年度或之前公务员编制减至16万个职位的目标。



3.31 The Commission has joined hands with CSB to pursue a study on the attractiveness of the civil service with a view to providing references for considering the way forward for civil service recruitments in the future. The study would focus on the recruitment outcome of the basic ranks of eight selected grades. A comparative study of the outcome of civil service recruitments in these eight grades in 2007 versus that in 1998 (i.e., before the introduction of recruitment freeze in 1999, the new entry system on 1 June 2000 and the accountability system in July 2002) would be conducted. In addition, a few selected grades will be invited to participate in a qualitative survey so as to sample the views of serving officers on whether the civil service employment satisfies their general aspiration and if the career prospects of their respective grades meet their specific expectation. The progress of the study will be reported in the Commission's 2008 Annual Report.

3.31 委员会与公务员事务局联手进行公务员工作吸引力研究，目的是为日后的公务员招聘工作路向提供参考资料。研究以八个选定职系的基本职级为对象，比较它们在二零零七年和一九九八年(即在一九九九年暂停招聘公务员、二零零零年六月一日实施新入职制度，以及二零零二年七月实施问责制之前)所进行的公务员招聘的结果。此外，另有几个职系将会应邀参与定性调查，以抽样方式向在职人员查询他们的看法，包括公务员工作能否满足他们的一般渴求，以及他们所属职系的职业前景是否符合他们的期望。委员会会于二零零八年年报汇报上述研究的进度。

## OTHER OBSERVATIONS OF THE COMMISSION

## 委员会的其他意见

### Common Recruitment Examination (CRE)

### 综合招聘考试

3.32 As mentioned in paragraph 3.21 above, the CRE pass is a pre-requisite for appointment to civil service posts at degree and professional level. The Commission considered it imperative for the Administration to perfect the system. As reported in the 2006 Annual Report, the Administration responded positively to the Commission's observations on the CRE and took a pragmatic approach to modify the CRE requirements. With effect from the CRE in December 2006, the results of the language papers have been classified into "Level 2", "Level 1" and "Fail", with "Level 2" being the higher level, and the HoDs/HoGs can determine the level of language proficiency required of the candidates having regard to the job requirements of the grades. In addition, results of the Hong Kong Advanced Level Examination (HKALE) have been accepted as equivalent to the CRE results and applicants with the requisite HKALE results are not required to sit for the respective language paper(s) of the CRE. The validity period of the CRE results has been made permanent.

3.32 正如上文第3.21段所述，在综合招聘考试考获合格成绩是担任学位及专业程度公务员职位的先决条件。委员会认为当局有必要完善有关制度。二零零六年年报已汇报，当局积极回应委员会就综合招聘考试提出的意见，并以实事求是的态度修订综合招聘考试的规定。由二零零六年十二月举行的综合招聘考试开始，语文试卷的成绩已分为“二级”、“一级”或“不合格”，并以“二级”为较佳成绩。部门/职系首长可根据有关职系的工作要求，决定申请人须达到的语文水平。此外，香港高级程度会考(高考)成绩已获接纳为等同综合招聘考试成绩。申请人如在高考取得所需的成绩，便无须报考综合招聘考试的相关语文试卷。在综合招聘考试考获的成绩永久有效。



3.33 Since the adoption of the revised CRE requirements, 47 ranks, mostly professional ranks that require candidates to have strong performance in professional attributes rather than language proficiency, have set the CRE requirements for both language papers at Level 1. Amongst them, one professional rank was able to trawl a total of 22 qualified applicants in the 2007 recruitment exercise, as opposed to four to six qualified applications received in the previous recruitment exercises conducted in 2005 and 2006. Of these 22 qualified candidates, 20 hold Level 1 results in CRE or equivalent. In two other basic rank recruitment exercises conducted in 2007, an analysis of the applicants' profiles indicates that a significant percentage of applicants who hold equivalent HKALE results in Chinese or English subjects were exempted from taking the relevant language papers in the CRE held in October 2007. The Commission is pleased to note from the first example that the revised CRE requirements have a positive effect in widening the net of suitable candidates for consideration of appointment to the civil service. The Commission is also pleased to note from the second example the significant reduction in the number of applicants required to sit for the two language papers of the CRE, thereby saving the time of these applicants and also the resources of the Administration in accommodating them for the related examinations.

### Comparability and acceptance of public examination results for civil service appointment purpose

3.34 The Commission is mindful of its role to ensure parity and equity in the appointment system. The application of recruitment standard is no exception. In the past, it was an established practice that the language proficiency requirement for appointment to most of the civil service posts in non-graduate grades was pitched at Grade E in English Language (Syllabus B) and Chinese Language in the Hong Kong Certificate of Education Examination (HKCEE). But starting from 2007, HKCEE has adopted a new standards-referenced reporting system for the Chinese Language

3.33 自从采用经修订的综合招聘考试规定后，47个职系(大部分为专业职级，要求申请人须有卓越的专业技能而非语文能力)把综合招聘考试两份语文试卷的成绩要求定为“一级”。其中一个专业职级，在二零零七年的招聘中招揽了共22名合资格申请人，但在二零零五年及二零零六年的招聘中，只有四至六名合资格人士提交申请。在这22名合资格申请人中，20人具备综合招聘考试一级成绩或同等成绩。另外有两个职级在二零零七年进行公开招聘时，亦发现有为数不少的申请人具备所需的高考中文或英文成绩，因而可豁免报考综合招聘考试的相关语文试卷。委员会欣悉在第一个例子中，经修订综合招聘考试的规定后，有更多合适的应徵者可供考虑聘任。第二个例子则显示，须应考综合招聘考试中语文试卷的申请人明显减少，这不但为申请人带来方便，亦可节省当局安排综合招聘考试的资源。

### 公开考试成绩的参照标准和接纳这些成绩为公务员的入职条件

3.34 委员会深明须确保聘任制度公平公正，招聘准则亦是一样。过往，大部分非学位程度职系的公务员职位一直以香港中学会考英国语文(课程乙)及中国语文达E级成绩作为入职的语文能力要求，但由二零零七年起，香港中学会考英国语文及中国语文考试实施新的水平参照成绩汇报机制。根据这个机制，考生的成绩会以5\*至1这五个表现等级标示，而非以往所采用的A至F等级。英国语文(课程甲)及(课程乙)的考试亦由新的单一英国语文科考试取代。鉴于香港中学会考



and English Language examinations. Under the standards-referenced reporting system, the results are reported in levels (Levels 5\* to 1), as opposed to grades (Grades A to F) in previous HKCEEs. The previous English Language (Syllabus A) and English Language (Syllabus B) examinations are replaced by a single English Language examination. In view of the changes in the reporting system of the HKCEE, CSB has accepted administratively the public examination results for civil service appointment purpose with effect from 8 August 2007 as follows :

采用新的成绩汇报机制，公务员事务局由二零零七年八月八日起，在聘用公务员时，接纳公开考试成绩的安排如下：

Public Examination 公开考试	Acceptance of Comparability of Results 接受成绩参照标准	
Previous HKCEE results in English Language (Syllabus B) and Chinese Language 过往香港中学会考英国语文(课程乙)及中国语文成绩	Grade C C級	Grade E E級
2007 HKCEE results in English and Chinese Languages 二零零七年香港中学会考英国语文及中国语文成绩	Level 3 第3級	Level 2 第2級
International General Certificate of Secondary Education (IGCSE)/UK General Certificate of Secondary (GCSE)/General Certificate of Education 'Ordinary' Level (GCE'O' Level) <sup>25</sup> 国际普通中学教育文凭考试 (IGCSE)/英国普通中学教育文凭考试 (GCSE)/普通教育文凭普通程度考试(GCE'O' Level) <sup>25</sup>	Grade C C級	Grade D <sup>26</sup> D級 <sup>26</sup>

<sup>25</sup> IGCSE, created as a GCSE examination for international use, was developed by the University of Cambridge International Examinations in 1998. GCSE has been introduced in the United Kingdom to replace GCE 'O' Level since 1988. GCE 'O' Level is however still in force in some commonwealth countries.

英国剑桥国际考试局在一九九八年制订国际普通中学教育文凭考试(IGCSE)，作为国际适用的普通中学教育文凭考试(GCSE)。英国自一九八八年起，以普通中学教育文凭考试(GCSE)取代普通教育文凭普通程度考试(GCE 'O' Level)，但有一部分英联邦国家仍然采用普通教育文凭普通程度考试。

<sup>26</sup> Before implementation of the new acceptance arrangements, Grade E in English Language in GCSE/GCE'O' Level was accepted as comparable to Grade E in English Language (Syllabus B) in HKCEE for civil service appointment purpose. In order to alleviate the adverse effect of the new arrangements to holders of a Grade E result in English Language in IGCSE/GCSE/GCE'O' Level, there is a two-year grace period during which a Grade E result in English Language in these non-local examinations will continue to be accepted as comparable to Level 2 in the 2007 HKCEE or Grade E in previous HKCEEs.

就聘任公务员而言，在采用新的成绩参照安排前，英国普通中学教育文凭考试(GCSE)/普通教育文凭普通程度考试(GCE 'O' Level)英文科E级成绩，获接纳为相等于香港中学会考英国语文(课程乙)E级成绩。为减少新安排对在国际普通中学教育文凭考试(IGCSE)/英国普通中学教育文凭考试(GCSE)/普通教育文凭普通程度考试(GCE 'O' Level)英文科考获E级成绩人士的影响，当局设有两年宽限期。在宽限期内，这些非本地考试的英文科E级成绩将会继续获接纳为相等于二零零七年香港中学会考第2级成绩或过往香港中学会考E级成绩。

3.35 Given that the comparability adopted is applicable to all applicants of civil service non-graduate grades, the Commission considered it in order from the equity perspective. However, to avoid the undesirable situation where different standards on IGCSE/GCSE/GCE'O' Level results would be applied in the same recruitment exercise before or after the effective date, the Commission suggested that the closing date for receipt of applications, as opposed to the date of receipt of application from a particular candidate, should be used to determine whether the concerned candidate should be subject to the new or previous standards. The suggestion was accepted by CSB.

#### Preference given to candidates with relevant higher qualification in recruitment exercises

3.36 In a recruitment exercise where it was spelt out in the advertisement that preference would be given to candidates with relevant postgraduate and/or higher professional qualifications, the Commission observed that the appointment authority had, irrespective of the interview scores of the selected candidates, recommended offer of appointment to those who had attained a higher qualification. Candidates who met the basic entry requirement but had not yet attained a higher qualification were recommended to be put on a waiting list notwithstanding their more impressive performance at the interviews.

3.35 采用的参照标准适用于公务员非学位程度职系的所有申请人，委员会认为这安排符合公平原则。然而，在应用上述安排的生效日期，委员会建议应以截止申请日期(而非接获申请人递交申请的日期)来界定应采用新的或旧的标准来评定申请人的学历资格，以避免在同一次招聘中，对国际普通中学教育文凭考试(IGCSE)/英国普通中学教育文凭考试(GCSE)/普通教育文凭普通程度考试(GCE'O' Level)的成绩采用不同的标准。这项建议已获公务员事务局接纳。

#### 招聘时优先考虑具备较高相关资历的申请人

3.36 委员会留意到在一项招聘中，招聘广告注明具备相关深造及/或较高专业资历的申请人会获优先考虑。其后，聘任当局没有参照被甄选的申请人的面试成绩高下，建议优先聘用具备较高资历的申请人。至于那些符合基本入职条件但没有较高资历的申请人，即使在面试时表现更为出色，聘任当局只是建议把他们列入候补名单。

3.37 委员会不赞同这项建议，因为只



3.37 The Commission did not support this recommendation. Preference should be applicable only if the candidates are of equal merits. A candidate's edge in academic attainment should have been naturally reflected in his performance during the selection interview. If his overall performance is still found less meritorious than that of the other candidates, he should not be granted any preferential treatment on account of his academic qualification. It is unfair to deny the offer of appointment to the other successful candidates who have been duly selected on an equal footing with those with a higher qualification. In the light of the Commission's observation, the appointment authority has reviewed the vacancy position and subsequently offered appointment to all the selected candidates.

### Updating of G/As

3.38 Departments are required to prepare G/As as a reference document for individual ranks in each grade to specify, inter-alia, the qualifications, requirements and terms of appointment for recruitment/promotion to respective ranks, and to obtain endorsement from CSB when changes are introduced. In anticipation of an increase in G/A submissions after the lifting of the recruitment freeze as mentioned in paragraph 3.3 above which calls for more vigorous departmental action to complete the updating of G/As before the conduct of recruitment exercises, CSB undertakes to expedite the review of G/As with priority being given to those ranks for which open and/or in-service recruitment or promotion exercises will be conducted. In parallel, the Commission has also streamlined its internal arrangements for the processing of G/A submissions from CSB. This notwithstanding, the Commission will continue to advise or comment on matters relating to G/As during the course of its vetting of departmental submissions in recruitment or promotion exercises.

有当申请人旗鼓相当时，聘任当局才可优先考虑具备较高相关资历的应徵者。申请人在资历方面的优势理应在遴选面试时有所展现。如其整体表现仍较其他申请人逊色，便不应因学历较高而获得优待。这对于其他在公平竞争下获甄选，但却失去聘任机会的申请人有欠公允。鉴于委员会的意见，聘任当局检讨职位空缺情况后，最终向所有获甄选的申请人发出聘书。

### 更新《聘任指南》

3.38 各部门须拟定《聘任指南》，为每个职系的各个职级列明在招聘或晋升方面所需的资历、要求、聘用条款及其他资料，以供参考。部门如修改《聘任指南》，必须获公务员事务局批准。上文第3.3段已载述，预计当局撤销暂停招聘公务员的规定后，各部门在进行招聘前会积极更新《聘任指南》，预计提交的《聘任指南》修订建议将会增加。有见及此，公务员事务局承诺会加快覆核，以及优先处理那些即将进行公开及/或内部招聘或晋升选拔的职级的《聘任指南》。同时，委员会亦已精简其内部安排，以加快处理公务员事务局提交的《聘任指南》修订建议。尽管如此，委员会在审核部门提交有关招聘或晋升选拔的建议时，会继续就《聘任指南》的事宜提出建议或意见。



4.1 A key role of the Commission is to advise on promotions to the senior ranks<sup>27</sup> of the public service. The objective is to ensure the selection of the most suitable person to undertake the duties of a vacant post in a higher rank. The decision on promotion should be based on an officer's character, ability and potential in the context of the required standard of performance, qualifications and experience.

4.2 In 2007, the Commission advised on 526 submissions on promotion, compared with 448 in 2005 and 512 in 2006. They involved 3 527 officers, broken down as follows :

4.1 委员会的主要职责是就高级公务员职位<sup>27</sup>的晋升事宜提供意见，以确保能选拔出最合适的人员担当较高职级的职务。人员晋升与否，应视乎他们的品格、才干和潜质是否符合有关职位所要求的工作水准、资历和经验而定。

4.2 在二零零七年经委员会提供意见的晋升建议个案有526宗，较二零零五年的448宗和二零零六年的512宗为多。这些个案涉及3 527名人员，有关的分项数字载于下表：

Promotion-related appointment cases advised in 2007 二零零七年获委员会提供意见的晋升相关聘任个案	
(a)	1 393 promotees* 1 393 人获得晋升*
(b)	34 officers waitlisted for promotion 34 人列入晋升候补名单
(c)	228 officers appointed for acting with a view to substantive promotion (AWAV) <sup>28</sup> 228 人获委任署理职位以待实际升职 <sup>28</sup>
(d)	16 officers waitlisted for AWAV 16人列入署理职位以待实际升职候补名单
(e)	1 856 officers appointed for acting for administrative convenience (AFAC) <sup>29</sup> 1 856 人获委任署理职位以方便行政 <sup>29</sup>
<b>Total 3 527 officers</b> <b>总数 3 527人</b>	
* Promotees to fill vacancies in 494 ranks <sup>30</sup> , including 117 promotions to directorate positions. 获晋升人员填补的空缺分属494个职级 <sup>30</sup> ，其中117个是首长级职位。	

<sup>27</sup> They refer, for promotion purpose, to those senior ranks under the normal appointment purview of the Commission (i.e. those attracting maximum monthly pay at MPS Pt. 26 (currently \$33,330) and above or equivalent). They exclude the judicial service, the Independent Commission Against Corruption and the disciplined ranks of the Hong Kong Police Force which are specifically outside the purview of the Commission. 就晋升选拔而言，这是指属委员会正常职权范围内聘任的高职级人员（即月薪点达总薪级第26点（现为33,330元）或以上或同等薪点的人员），当中不包括订明不在委员会职权范围内的司法机构人员、廉政公署人员及香港警务处纪律体系人员。

<sup>28</sup> An officer is appointed to AWAV before substantive promotion if he is considered suitable in nearly all respects for undertaking the duties in the higher rank and he is ready to be further tested on the minor doubtful aspects in the higher rank. The norm for this type of acting appointment is six months but may vary.

人员如获当局认为大致在各方面均适合执行较高职级的职务，并已准备好接受进一步考验以证明能胜任较高职级，则会获安排署理较高职级以待实际升职。这类署理安排一般为期六个月，但亦可作改动。

<sup>29</sup> An officer is appointed to AFAC if he is not yet ready for immediate promotion, but is assessed as having better potential than other officers to undertake the duties of the higher rank; or he is considered more meritorious but could not be so promoted because of the lack of substantive and long-term vacancies.

人员如不宜即时晋升，但获评估为较其他人员更具执行较高职级职务的潜质，又或虽然被认为表现较优，但因无实质及长期空缺而未能获得晋升，则当局会作出署理职位以方便行政的安排。

<sup>30</sup> The number of eligible officers far exceeded the number of promotees. In a number of promotion exercises, over 300 candidates were shortlisted for detailed consideration by the board.

合资格人员的数目远超过晋升人员的数目。在一些晋升选拔中，经筛选后供晋升选拔委员会详加考虑的合资格人员超过300名。



## REVIEWS INITIATED BY THE COMMISSION

4.3 The Commission observes closely the effectiveness of the civil service promotion system and works in partnership with the Administration to enhance the system. During 2007, the Administration conducted a number of reviews in response to the Commission's observations. The ensuing paragraphs provide a summary of the observations made by the Commission, the conduct of the related reviews and the resultant formulation of new or revised guidelines for service-wide adoption.

(a) Arrangements for filling Head of Department (HoD) posts and One-rank HoD posts

4.4 During the past years, the Commission has noticed the absence of standard procedures for filling HoD posts which are designated as promotion ranks for departmental grade officers when no suitable eligible officers from within the department concerned could be identified. The same observation applied to the filling of one-rank HoD post. Often the Commission's advice was sought only when an open and/or in-service recruitment exercise was proposed to fill the anticipated HoD vacancy. When cross-grade posting arrangements were made to fill such posts, the Commission was only informed of the officers selected to fill the posts concerned by the Administration.

## 委员会促成的检讨工作

4.3 委员会密切留意公务员晋升制度的成效，并与当局携手合作，使制度更为完备。在二零零七年，当局因应委员会的意见作出多项检讨。下文概述委员会的各项意见、有关的检讨工作，以及因此而制订的各项适用于全体公务员的全新或修订指引。

(a) 填补部门首长职位及单一职级部门首长职位的安排

4.4 历年来，委员会留意到当局并没有一套标准的程序，订明属于部门职系人员晋升职级的部门首长职位悬空时，倘若在部门内物色不到合适的合资格人选，应怎样填补有关空缺。委员会并发现在单一职级的部门首长职位也有同样的问题。当局往往要到提议公开及/或从内部招聘人员填补将出现的部门首长职位空缺时，始徵询委员会的意见；而即使要从其他职系调派人员填补这些职位，当局也只会定出有关人选后，始知会委员会。

4.5 With a view to ensuring transparency in filling such important HoD posts and as part and parcel of directorate succession planning to the top echelon of the departmental structure, the Commission has requested the Administration to develop standard arrangements for filling such posts. Upon review, the Administration has since early 2007 adopted a formal selection mechanism in filling of departmental HoD posts. All eligible officers in the relevant grade are considered before arriving at the conclusive view that none of them is suitable to fill the vacant HoD post. If a suitable candidate cannot be found from within the departmental grade, a separate meeting is held among the relevant Permanent Secretary of the bureau concerned, the Permanent Secretary for the Civil Service and the incumbent HoD as appropriate to recommend an alternative arrangement<sup>31</sup> for filling the post in question and also the time frame for reviewing such an alternative arrangement. The seeking of the Commission's advice on the alternative arrangement to be adopted is also formalised. Similar arrangements are applicable to the filling of one-rank HoD posts save the holding of a formal selection mechanism as there are no related grades from which eligible candidates can be drawn for consideration.

4.6 The Commission welcomes the new mechanism which ensures a fair process with sufficient transparency. Since the introduction of the new mechanism in early 2007, the Commission has favourably advised on the filling of five departmental and two one-rank HoD posts. Where the arrangements involved cross-grade posting of Administrative Officers, the Commission has urged the Administration to treat future succession planning in the relevant departmental grade as a top priority.

4.5 为了确保填补这些重要的部门首长职位的安排具透明度，并考虑到有关安排是部门管治层的首长级职位接班计划中重要的一环，委员会要求当局就如何填补这些职位，制订一套标准程序。经检讨后，当局由二零零七年初开始，在填补由部门职系人员出任的部门首长职位时，采用了正规的遴选机制。在确定没有人适合填补该部门首长职位空缺之前，必须考虑有关职系内所有合格的人员。如果在部门职系内找不到合适人选，部门所属决策局的常任秘书长、公务员事务局常任秘书长和现任的部门首长(按情况而定)便须另外召开会议，提议另一项安排<sup>31</sup>，以填补有关职位，并须定下时间表，检讨这项安排。有关建议并须提交委员会考虑。同样的安排也适用于填补只有单一职级的部门首长职位；不过，由于这类职位没有相关的职系可让当局从中物色合格人选，填补这类职位时，不用首先举行晋选拔遴选机制。

4.6 委员会欢迎实施新的机制，认为有关机制能确保填补部门首长职位的程序公平，并有足够的透明度。自新机制在二零零七年初实施以来，委员会已先后就填补五个属于部门职系人员晋升职级的和两个属单一职级的部门首长职位的安排提供意见，并表示支持。当安排涉及跨职系调派政务主任的安排，委员会促请当局把有关部门职系的职位接班计划列为首要处理的工作。

<sup>31</sup> The alternative arrangement may include posting, in-service appointment or open recruitment cum in-service appointment depending on individual circumstances and operational requirements of the department at the time. The Commission's advice would be sought on the arrangement.

另一项安排可包括调任、内部聘任或同时进行公开招聘及内部聘任，视乎当时的个别情况和运作需要而定。当局会就此徵询委员会的意见。



## (b) Revised guide for promotion board

4.7 The Chairman of the Commission observed from his attendance at some promotion board meetings that board chairmen and/or secretaries were not always conversant with the procedures and essential elements of conducting a promotion or selection board. The advice given by him in various promotion exercises pointed to the need that an updated guide on the proper procedures and good practices in conducting promotion boards should be prepared for reference by board chairmen and members. To address such a need, CSB conducted in the year a comprehensive review of the old "Guide for Promotion Board" with substantial input from the Commission Secretariat. The revised guide, entitled "Guide for Officers Nominated to Serve as Chairman, Member, Secretary of a Promotion Board" and issued in June 2007, sets out all the basic requirements for the conduct of promotion boards (i.e. the board composition, roles of those who sit on the board, effective date of promotion, delineation of different forms of advancement, etc) and the considerations for promotion to HoD posts (i.e. the minimum six-month AWAV<sup>32</sup> and preferable three-years' active service requirements). It has also incorporated the advice and good practices advocated by the Commission in relation to the following promotion-related issues :

## (i) Designation of a promotion board

Unless the vacancies in question are temporary, time-limited or subject to review that can only be filled by AFAC appointments, a board should be designated as a "promotion board" instead of a "selection board" prior to its conduct in order not to give the impression of any attempt to pre-empt the outcome of the board's deliberations on the candidates' suitability for promotion or acting appointment.

## (b) 晋升选拔委员会修订指引

4.7 委员会主席出席部分晋升选拔委员会会议时发现，晋升选拔委员会主席及/或秘书不一定充分了解晋升选拔或遴选委员会的程序和基本事项。从委员会主席在多次不同的晋升选拔个案中所提供的意见可见，当局有需要拟备一份修订指引，载列举行晋升选拔委员会的适当程序和良好做法，供晋升选拔委员会主席及委员参考。有见及此，公务员事务局内在委员会秘书处大力协助下，全面检讨了旧有的《晋升选拔委员会指引》，并在二零零七年六月发出了新修订的《获提名为晋升选拔委员会主席、委员或秘书的人员指引》，载列召开晋升选拔委员会会议的各个基本事项(包括委员会的组成、出席委员会人员的角色、晋升的生效日期的厘定、不同晋升形式的分别等)，以及晋升为部门首长的考虑因素(即须署任最少六个月以待实际升职<sup>32</sup>，以及最好符合三年实际服务期的要求)。新指引并增收委员会就以下晋升事宜所提出的意见和良好做法：

## (i) 成立晋升选拔委员会

除非相关空缺属临时性质、有时限或有待检讨，以致只可安排人员为方便行政而署理职位，否则委员会应定名为“晋升选拔委员会”而非“遴选委员会”，以免让人认为当局在正式召开会议前已对合格人员是否适合晋升或署任的审议早有定论。

<sup>32</sup> Given the significant role played by HoDs in leading and managing their departments as well as to ensure sufficient time and opportunity for the appointment authority to ascertain the suitability of a candidate for promotion to a HoD post, departmental grade officers recommended for promotion to HoD posts have been required as a norm to go through the AWAV process for at least six months since October 2004. In effect, this means that for a minimum six-month AWAV appointment, a departmental grade officer recommended for promotion to HoD post must have at least 18 months' active service on commencement of his AWAV appointment.

鉴于部门首长肩负监督和管理部门的重任，为确保委任当局有足够时间和机会确定一名合格人员是否适合晋升为部门首长，由二零零四年十月起，获推荐晋升为部门首长的部门职系人员按规定一般须署任最少六个月以待实际升职。事实上，按此署任最少六个月以待实际升职的要求，获推荐晋升为部门首长的部门职系人员在开始署任以待实际升职时，必须最少有18个月实际服务期。



### (ii) Timing of promotion board vis-à-vis reporting cycle

As stated in the Commission's 2006 Annual Report, promotion boards should be held within a period of six months from the end date of the last reporting cycle, save in exceptional circumstances. If there are no overriding reasons for the late conduct of promotion boards, departments may have to skip one year and re-schedule the boards after the end date of the current appraisal cycle with the serious consequence of delays in effecting promotions or reviewing acting appointments.

### (iii) Duration of past performance appraisals under review

As advocated by the Commission in its 2006 Annual Report, a promotion board should primarily make reference to the candidates' performance appraisals over a period of time (normally the last three years). For close contenders with comparable performance track record under the three-year review period, the board may make reference to their earlier reports. The assessment on an officer's suitability for promotion should not be excessively influenced by slight variations in performance over a short period.

### (iv) Rotational acting appointment

Rotational acting appointments should be avoided unless there are overriding reasons for such an arrangement. The Commission's stance was clearly stated in its 2005 and 2006 Annual Reports. If there is a genuine need for rotational acting appointments, the board should justify the case with an assessment on how the scenario of a "reversed" supervisor-subordinate relationship can be mitigated. The performance of the officers selected for rotational acting appointments should also be reviewed vis-à-vis that of non-selected officers when a fresh round of appraisal reports is available.

### (ii) 召开晋升选拔委员会的时间与评核周期

一如委员会二零零六年年报所述，除非情况特殊，否则晋升选拔委员会会议须在上一个评核周期结束后六个月内召开。倘无充分理由证明有必要延迟召开晋升选拔委员会会议，部门或须押后一年，安排在目前的评核周期结束后才召开会议，但此举可导致押后晋升生效日期或押后覆检署任安排的严重后果。

### (iii) 晋升选拔委员会检讨的工作评核报告所涵盖的年期

正如委员会在二零零六年年报倡议，晋升选拔委员会应集中参考合资格人选过去一段时间(通常为过去三年)的工作评核报告。如合格人员在这三年检讨期内的往绩相若，不相伯仲，晋升选拔委员会可参考有关人员更早期的报告。员工的表现短时期内出现轻微波动，不应过度影响评核该员工是否适合晋升。

### (iv) 轮流署任职位

除非有充分理由，否则应避免作出轮流署任的安排。委员会的意见已在二零零五和二零零六年年报清楚说明。如有真正需要安排轮流署任，晋升选拔委员会应评估如何缓和上司与下属角色“倒转”的情况，以证明有关方案可行。晋升选拔委员会也应在收到最新一轮的评核报告后，重新覆检入选和不入选轮流署任名单人员的表现。



**(v) Exposure**

The Commission has raised its concern in its 2006 Annual Report that the lack of exposure should not be the sole reason for not recommending an officer for promotion/acting appointment, if the officer is found suitable in all other respects by the board. It is incumbent upon the management to ensure that the staff are given appropriate career development and exposure to equip them for their career advancement.

**(vi) Hearsay allegation deliberated by promotion boards**

While promotion board members may, on top of the performance records available to them, supplement their knowledge of an officer's performance at the board meetings, it is not appropriate for a promotion board to make reference to hearsay allegations and to draw its recommendations on this basis. Unless the allegation is substantiated with investigation by the departmental management, the board should neither discredit an officer's performance or integrity nor judge his claim on the basis of hearsay remarks.

**(vii) Promotion interview**

Where absolutely necessary, a promotion board may conduct promotion interviews with a view to supplementing the assessments based on performance appraisals due to the specific requirements of the higher rank. The promotion interview results however should not be given undue weight so much so that they would override the assessments based on an officer's sustained performance throughout the years.

**(v) 阅历**

委员会在二零零六年年报关注到，某员若阅历不足，却在所有其他方面均属合适人选，晋升选拔委员会便不应以此作为不推荐该员晋升/署任的唯一理由。管理层有责任确保员工获得适当的事业发展和工作经验，为晋升作好准备。

**(vi) 晋升选拔委员会考虑的传闻指称**

虽然晋升选拔委员会委员可在开会时透露他们对某名人员工作表现的所知所闻，以补足手头上的工作评核记录，但晋升选拔委员会不宜参考传闻指称，也不宜据此作出建议。除非有关指称经部门管理层调查后证明属实，否则晋升选拔委员会不应怀疑某名人员的表现或操守，也不应依据传闻内容来评定该名人员的晋升机会。

**(vii) 晋升面试**

当较高职级的特定要求，并不反映在工作表现的评核报告时，晋升选拔委员会可在无可避免的情况下，进行晋升面试以作补足。不过，晋升选拔委员会在评核员工时，不应太看重晋升面试结果，并以此凌驾该员工多年以来的工作表现。

**(viii) Marking scheme adopted by the board**

As the effectiveness of a marking scheme to calculate arithmetically eligible officers' suitability for promotion may be highly dependent on the design of the marking scheme itself, the use of such a tool should be avoided as far as practicable to prevent possible distortion in assessment.

**(ix) Validity of waiting list for promotion and AWAV versus AFAC**

A promotion board may recommend an officer for promotion, AWAV or AFAC depending on the officer's readiness to take up the duties and responsibilities of the promotion rank and the timing of the emergence of a vacancy in the promotion rank. For the first two forms of advancement, the recommended officer may be placed on a waiting list for promotion or AWAV, as appropriate, if the vacancy is expected to arise later within the current appraisal cycle. However, the waiting list will lapse on expiry of the current appraisal cycle. On the other hand, in case of AFAC appointment, a waiting list may be drawn up to cater for possible vacancies to arise. This waiting list will remain valid until the conduct of the next promotion board when the claims of all eligible officers are reviewed upon the availability of a fresh round of appraisal reports.

**(viii) 晋选拔委员会采用的评分制度**

以计分方式决定合格人选是否适合晋升这个评分制度的成效，很大程度上取决于评分制度本身的设计，为免评核可能被扭曲，应尽量避免采用这个方法。

**(ix) 晋升和署任以待实际升职与署任职位以方便行政的候补名单的有效期**

晋选拔委员会可视乎有关人员是否具备条件履行晋升职级的职责和晋升职级出现空缺的时间，推荐该名人员晋升、署任以待实际升职或署任职位以方便行政。就前两种晋升方式而言，倘若预计空缺会在现行评核周期内的稍后时间出现，获推荐人员可被列入晋升候补名单或署任以待实际升职候补名单(视何者适用而定)。不过，候补名单会在现行评核周期届满时失效。另一方面，亦可拟备署任职位以方便行政的候补名单，以便安排人员署任可能出现的空缺。这份候补名单会一直有效，直至召开下一次晋选拔委员会为止，届时，晋选拔委员会会根据最新的评核报告，覆检所有合格人选的晋升条件。



## (x) Information on performance management

As mentioned in the Commission's 2005 and 2006 Annual Reports, to enable the departmental management and the approving authority to monitor the performance management of the ranks concerned, the Commission has required departments to provide the following information on performance management when submitting promotion board reports for ranks under the Commission's purview:

- percentage distribution of grading of overall performance of eligible officers in the latest reporting period;
- respective number of cases involving late completion of staff reports; and
- respective number of cases involving non-compliance with Civil Service Regulations (CSRs) 231(1)<sup>33</sup> on ranking of appraising officers, and 232(2)<sup>34</sup> on conducting staff interviews.

Such requirements have been formally included in the guide.

## (x) 工作表现管理的资料

正如二零零五年和二零零六年的年报所述，为了让部门管方和批核当局监察有关职级的工作表现管理情况，委员会规定部门提交在委员会职权范围内的职级的晋升选拔委员会报告时，须提供下述有关工作表现管理的资料：

- 最近评核期内合资格人选整体表现评级的百分比分布；
- 逾期填写评核报告的个案数目；以及
- 没有遵守《公务员事务规例》第231(1)条<sup>33</sup>有关评核人员职级的规定的个案数目和没有遵守《公务员事务规例》第232(2)条<sup>34</sup>有关进行评核会见的规定的个案数目。

这些规定已正式列入《指引》内。

<sup>33</sup> CSR 231(1) stipulates that when the reporting officer is of the same substantive rank (although acting in a higher rank) as the officer to be reported upon, there are two alternatives. Either the next most senior officer should instead be the reporting officer, or the officer who is acting should discuss the report which he proposes to make with the next most senior officer and should submit the report in draft for approval before it is entered on the report form.

《公务员事务规例》第231(1)条订明，如果评核人员与接受评核人员的实任职级相同(尽管前者署理较高职级)，则有两个可行方法：另由再高一级的人员担任评核人员，或由该署任人员就拟议的报告内容，与再高一级的人员磋商，并在正式填写报告之前，先把报告拟稿提交该名人员批准。

<sup>34</sup> CSR 232(2) stipulates that no matter who (reporting officer or countersigning officer) conducts the staff appraisal interview, the countersigning officer is encouraged to complete his/her assessments before the interview.

《公务员事务规例》第232(2)条订明，不论由谁(评核人员或加签人员)主持评核会见，加签人员亦宜在进行会见前完成有关评核。

(xi) **Commission's emphasis on smooth succession planning**

The Commission advocated in its 2005 Annual Report that officers recommended for promotion to HoD posts should have preferably three years' active service on assumption of the HoD posts to allow sufficient time and continuity for the office holders to steer the departments. Also, to ensure that there are sufficient capable officers to lead the department in the years to come, the promotion board, in considering recommending an officer for promotion to a directorate rank, should take account of both the officer's capability to perform well at the promotion rank as well as his potential for further advancement. This general principle has been included in the guide. (See also Chapter 6 on Directorate Succession Planning where further thoughts on the subject have been developed by the Commission.)

- 4.8 In response to the Commission's suggestion to enhance the user-friendliness of the revised guide, CSB is exploring how the salient features of the revised Guide can be presented in a lively and animated format that can be uploaded to its website for easy reference by all promotion boards.

(xi) **委员会强调策划顺利接班的重要性**

委员会在二零零五年的年报中提出，获推荐升任部门首长职位的人员，由接任部门首长职位时起计，最好至少有三年实际服务期，让有关人员有充分时间持续带领部门。此外，为确保日后有足够能力超卓的人员带领部门，晋升选拔委员会在推荐人员升任首长级职位时，应同时考虑有关人员能否胜任晋升职级的职务和继续晋升的潜质。这项一般原则已列入《指引》内。(请同时参阅第六章——首长级职位接班计划，该章列出委员会对这个课题的详细建议。)

- 4.8 委员会建议，《指引》修订本应要方便使用者参考。公务员事务局已因应这项建议，研究如何用生动有趣的方式列出《指引》修订本的要点，以上载公务员事务局网页，方便所有晋升选拔委员会参考。



## (c) Handling of promotion cases involving disciplinary investigations or proceedings

4.9 As a general rule, promotion should not take effect any time earlier than the time a person is considered suitable for promotion in all respects, including integrity and conduct. For cases with special circumstances, each has to be considered on its own merits. In the year, the Commission observed that some departments had recommended officers who were subject to on-going disciplinary investigations for substantive promotion or long-term acting without giving justifications. While one may argue that an officer involved in on-going criminal or disciplinary investigations or proceedings should not be penalised in terms of promotion given the principle of innocence until proven guilty, there could be equally strong arguments on risk grounds against putting the officer to fill a vacancy (either on a substantive or acting basis), having regard to the possibility that the officer concerned might subsequently be found guilty.

4.10 The Commission considers that long drawn-out disciplinary cases should be escalated and pushed for a quick settlement where practicable in order to be fair to those officers involved. Cases involving a shorter time span should be looked upon by promotion boards with prudence to avoid selection of officers with integrity doubts for promotion or acting appointment. While the promotion board should scrutinise existing criminal or disciplinary records of the officers under consideration and consider whether any of them should be debarred from promotion or appointment owing to disciplinary punishment or doubts on their integrity, it is the appointment authority's role to carefully balance between fairness to an individual officer and the need to maintain the integrity of the civil service in the public interest. Should the appointment authority decide to recommend the selection of the officer despite such ongoing investigations or proceedings and adverse record, CSB's advice should be sought

## (c) 处理涉及纪律调查或纪律处分程序的晋升个案

4.9 一般的规则，是某员在操守和品行等各方面均获视为适合晋升之前，晋升不应生效。遇有特殊情况，则可酌情处理。年内委员会注意到，有些部门未有提出理据，便推荐正接受纪律调查的人员实际升职或长期署任职位。虽然，基于无罪推定的原则，涉及刑事调查、纪律调查或纪律处分程序的人员，不应在晋升选拔方面遭待薄，但不可忽视的是，安排有关人员以实任或署任方式填补空缺会有风险，因为该员其后可能被判罪名成立。

4.10 委员会认为，为对有关人员公平起见，如可能的话，旷日持久的纪律个案应加快处理，尽快审结。至于需时较短的个案，晋升选拔委员会则应审慎处理，以免选出操守成疑的人员晋升或署任。晋升选拔委员会的职责是审议所有获考虑晋升的人员的刑事或纪律处分记录，然后考虑当中是否有人因受纪律处分或操守成疑而不应晋升或聘任。聘任当局担当的角色，是在公平对待个别人员，与维持公务员队伍的诚信以保障公众利益之间，审慎求取平衡。假如聘任当局决定，虽然上述调查或纪律处分程序仍在进行，而且有关人员有不良记录，但仍推荐选拔该名人员，则应徵询公务员事务局的意见，并在提交委员会审阅的部门建议中，载述有关情况。公务员事务局已应委员会要求，把以上基本原则纳入《获提名为晋升选拔委员会主席、委员或秘书的人员指引》。

and the Commission be informed of the position in the departmental submissions. At the Commission's request, CSB has incorporated these basic principles in the revised "Guide for Officers Nominated to Serve as Chairman, Member, Secretary of a Promotion Board". The Administration will also promulgate separately detailed guidelines on the proper handling of promotion cases involving disciplinary investigations or proceedings.

#### (d) Inverted diamond grade structure

4.11 In vetting some promotion boards' recommendations, the Commission noticed that some of the grades were having an inverted diamond shape structure at the lowest two levels i.e. the number of available vacancies in the next higher rank outnumbers the existing pool of officers in the basic rank. The Commission is concerned that such a peculiar rank structure will pose problems in finding a sufficient number of officers to meet the succession need of the next higher rank. It also begs the question of the role of such a small number of posts at the basic rank. On the request of the Commission, the Administration has undertaken to conduct a review of those grades with an inverted diamond shape structure. No review will be undertaken for those grades that would soon become obsolete with the departure of all serving officers as well as others which are too small. The Commission will keep in view the findings of the review.

当局亦会另行公布详细指引，说明如何妥善处理涉及纪律调查或纪律处分程序的晋升个案。

#### (d) 倒置钻石形职系结构

4.11 在审核一些晋升选拔委员会的建议时，委员会发现有些职系的最低两个职级出现倒置钻石形的结构，即高一级职级的空缺数目，远超过基本职级的在职人员数目。委员会认为，这个不寻常的职级结构会使管方难以物色足够人选，配合高一级职级的接班需要。此外，基本职级的职位数目偏低，也使人对这些职位的作用产生疑问。当局应委员会的要求，承诺检讨出现倒置钻石形结构的职系，但是随着现职人员快将全部离任而取消的职系，以及规模过小的职系除外。委员会将监察当局的检讨结果。



## OTHER OBSERVATIONS OF THE COMMISSION

### Acting appointments not properly reviewed

4.12 As stipulated in CSR 160(1)(b)(ii)<sup>36</sup>, acting appointments lasting or expected to last for longer than six months should be reviewed on a regular basis in consultation with the Commission as appropriate. The approving authority should adopt the same procedures as for substantive appointment (i.e. by conducting promotion or selection boards) to select the most suitable officer to take up the acting appointments as required under CSR 166(6)<sup>36</sup>. For posts under the purview of the Commission, the management must also seek the advice of the Commission to ensure fairness and impartiality in the selection process.

4.13 Despite the Commission's caution in its previous Annual Reports, irregularities were still observed in 2007. For example, in advising on the recommendations of a promotion exercise, the Commission noted that no promotion or selection boards for a particular grade had been held since the last round of promotion exercises conducted in 2001 due to uncertainty in manpower requirement of the grade. As a result, the acting appointments at various ranks were not reviewed for an unduly long period of over five years. The Commission has advised the department concerned that notwithstanding the uncertainty in manpower position, the requirement for the proper conduct of a selection board under CSR 166(6) should be duly observed.

## 委员会的其他意见

### 没有适当检讨署任安排

4.12 《公务员事务规例》第160(1)(b)(ii)<sup>36</sup>条订明，已经或预期为期六个月以上的署任安排，须作定期检讨，并视乎情况徵询委员会的意见。《公务员事务规例》第166(6)条<sup>36</sup>则规定，批核当局应通过甄选人员实任职位的相同程序(召开晋升选拔或遴选委员会)，决定最合适的署任人选。对于在委员会职权范围内的职位，管方必须徵询委员会意见，以确保甄选程序公平公正。

4.13 虽然委员会在过往的年报已提出告诫，但二零零七年仍有不当的个案出现。举例来说，委员会就晋升选拔建议提出意见时，留意到某职系因为人手需求不明朗，自二零零一年最后一轮晋升选拔后，一直没有召开晋升选拔或遴选委员会，因而五年多以来都不曾检讨各职级的署任安排。委员会已向有关部门申明，即使人手需求不明朗，部门仍须严格按照《公务员事务规例》第166(6)条的规定，召开晋升遴选委员会。

<sup>36</sup> CSR 160(1)(b)(ii) stipulates that acting appointments for administrative convenience are subject to review at regular intervals if they are expected or likely to last or has lasted for longer than six months.

《公务员事务规例》第160(1)(b)(ii)条规定，为方便行政而作出的署任安排，如预期或很可能或已经为期六个月以上，须予定期检讨。

<sup>36</sup> CSR 166(6) stipulates that the approving authority should, as far as practicable having regard to management considerations and operational circumstances, appoint officers to act on a fair basis. For an acting appointment that is expected or likely to last or has lasted for more than six months, the approving authority should follow the normal procedures for selection for substantive appointment to select an officer to take up the acting appointment, subject to the advice of the Commission as appropriate.

《公务员事务规例》第166(6)条规定，批核当局应在顾及管理因素和运作情况下，尽量以公平原则委任人员署理职位。如果署任预期或可能或已经为期六个月以上，批核当局应通过甄选人员实任职位的一般程序决定署任人选。如有需要，批核当局应徵询公务员叙用委员会的意见。



4.14 Separately, as advocated in the Commission's 2006 Annual Report, HoDs/Heads of Grade (HoGs) should not arrange for officers to cease acting every six months or less to avoid the required procedures of conducting a promotion exercise and seeking the Commission's advice on the acting appointment. During 2007, the Commission noted another case involving officers who were appointed to act in the next higher rank on a rotational basis with each period not exceeding six months in the past three years. Let alone the disruption to the normal operation of the department, such acting arrangements were unfair as they were arranged without any proper review of all eligible officers' performance and relative merits by a promotion or selection board.

4.15 The Commission has taken a serious view on all procedural lapses in acting arrangements. Apart from reminding the departments and bureaux concerned to observe the requirements as stipulated in the CSRs when tendering the Commission's advice, the Chairman of the Commission also issued personal letters to HoDs/HoGs concerned, pointing out those acting arrangements which were considered unacceptable and requesting their prompt rectification of such unacceptable arrangements. In addition, to ensure general compliance with the rules and regulations governing acting appointments, the Commission also urged CSB to issue appropriate guidelines as a general reminder to all departments and bureaux. In response, CSB issued the "Guidelines on Acting Appointment" in August 2007, reminding HoDs/HoGs of the proper procedures to be followed in making acting appointments. The opportunity was also taken to remind them to be vigilant in reviewing the continued need for acting appointments and to seek to fill vacant posts substantively whenever practicable.

4.14 另外，一如委员会二零零六年年报所主张，部门/职系首长不应每六个月或少于六个月便安排人员停止署任，藉以规避进行晋升选拔工作，以及就署任安排徵询委员会的必要程序。二零零七年，委员会留意到在另一宗个案中，有人员于过去三年被安排轮流署任高一级的职位，但每段署任期均不多于六个月。这种署任安排不但影响部门日常运作，而且有欠公允，因为在安排人员署任前，所有合格人员的工作表现和相对优劣未有被适当检讨。

4.15 委员会严正关注所有署任程序上的缺失。除了在提出委员会建议时提醒有关的部门和局必须遵守《公务员事务规例》订明的规定外，委员会主席亦亲自致函有关的部门/职系首长，提出那些不当的署任安排，并要求从速予以纠正。此外，为使大家紧记遵守署任安排的规则和规例，委员会又促请公务员事务局向所有局和部门发出适当指引，加以提点。公务员事务局其后在二零零七年八月发出《署任安排指引》，提醒部门/职系首长安排署任时所须遵照的适当程序，亦同时提醒他们必须审慎检讨是否有需要继续作出署任安排，并在可行的情况下，让员工实任空缺。



### Prolonged acting appointments to be avoided

4.16 The Commission has taken note in one promotion exercise that an officer was recommended to step down after having acted in the next higher rank for seven years. Prolonged acting appointments not only raise false expectations for promotion of those officers who might not be able to make the rank, but also deprive other more meritorious officers of the chance of an earlier acting opportunity which would otherwise be available to them. When there are permanent vacancies which can be filled on a substantive basis, officers on prolonged acting appointment should be critically assessed at an early stage of their potential and suitability for promotion. The Commission considers that in general, an acting duration of three years should trigger the management's serious consideration of whether an officer should continue to act or be asked to step down to give way to more deserving officers. The Commission Secretariat has started to cascade this message to bureaux/departments.

### Other acting arrangements to be further rationalised

4.17 In some promotion exercises, the Commission has noted that the boards had recommended to cease the acting appointment of some officers, who were acting in the higher rank upon recommendation of previous boards, without good reasons. In one case, such a recommendation was made on account of slight variations in performance gradings assessed at the officer's substantive rank immediately before he took up the acting appointment. In another case, the cessation of some officers' acting appointment was recommended after comparing their acting performance with some other officers at the substantive rank who had scored more top ratings in their core competencies. There is also a case of an officer who was recommended to cease acting on the ground of less meritorious performance on the one hand but was placed on the waiting list for acting in the same exercise on the other hand.

### 避免作出过长时期的署任安排

4.16 在一項晉升選拔個案中，委員會留意到有一名人員在署理高一级職位七年後，遭建議終止署任。署任期如果太長，不但令可能無法勝任較高職級的人員誤以為有晉升機會，而且會剝奪其他更優秀人員本可早日署任的機會。在有常額職位空缺可供人員實任的情況下，如有人員已署任太長時間，管方便應及早審慎評估其潛能，以及是否適合晉升。委員會認為，人員一般署任滿三年後，管方便應認真考慮他是否適合繼續署任，還是須騰出署任職位予其他更實至名歸的人選。委員會秘書處已開始向各局/部門傳達這個訊息。

### 其他有待理順的署任安排

4.17 在一些晉升選拔個案中，委員會留意到晉升選拔委員會在沒有充分理由下，建議某些獲先前晉升選拔委員會推薦而署理較高職級的人員停止署任。其中一宗個案的建議原因，是有關人員在署任前所擔任實任職級的評核報告中，評分有輕微下調。在另一宗個案，晉升選拔委員會把某些人員署任期內的工作表現，與其他實任職級人員作出直接比較，但發現他們在一些關鍵才能項目的評級較后者稍遜，故此建議他們停止署任。此外，某宗個案的一名署任人員因工作表現稍遜而遭建議停止署任，卻又同時被推薦列入候補署任名單。



4.18 In other promotion exercises involving officers who were selected for acting by the last board but had not yet got the acting chance when the current Board met, the Commission has noted that although these officers had sustained an impressive performance at their substantive rank, their claims were assessed less favourably as compared to peers outperformed by them in the previous exercise without good justifications. In one particular exercise, such an officer was recommended to be put on the acting list again whereas another officer who was not selected by the last board but had doubled-up the duties of the higher rank solely to meet operational needs was recommended for promotion ahead of him.

4.19 The observations in paragraphs 4.17 and 4.18 above call for the need to provide a clearer steer to promotion boards to accord appropriate weighting to acting performance with a view to enhancing the equity of the civil service promotion system. With this in mind, the Commission has re-visited the relevant CSRs. It is re-affirmed that there is no rule barring promotion without an acting appointment. In other words, an acting appointment is not a pre-requisite for promotion. Also an acting appointment carries no implications for substantive appointment in accordance with CSR 171(a). Separately under CSR 166(2)(a), an officer may be tested in the higher rank for the purpose of assessing his suitability for substantive appointment and under CSR 166(2)(b), an officer may be appointed to act in the temporary absence of a substantive holder to meet management or operational needs.

4.18 在其他晋升选拔个案中，委员会留意到，一些获上次晋升选拔委员会推荐而在这次晋升选拔委员会召开时仍未有机会署任的人员，虽然在实任职级保持优秀表现，但其晋升机会却在没有充分理据的情况下，被评估为差于在上次晋升选拔工作中表现及不上他们的人员。在一宗个案中，当一名有相同遭遇的人员再次被建议列入署任名单时，有另一名未获上次晋升选拔委员会拣选的人员，却因曾为运作需要兼任较高职级职务而获建议擢升。

4.19 上文第4.17和4.18段载述的情况显示，当局有需要就如何适当考虑署任期内的工作表现，向晋升选拔委员会提供更清晰指引，务求公务员晋升选拔制度更加公平公正。为此，委员会再次审视相关的《公务员事务规例》。肯定的是，没有规例列明未经署任的人员不得晋升。换句话说，署理较高职级并非晋升的先决条件。此外，根据《公务员事务规例》第171(a)条，署理职位的安排并没有实任该职的含意。另外，根据《公务员事务规例》第166(2)(a)条，当局可藉署任安排考验某员是否胜任较高的职级，从中评估他是否适合实任该职；当局亦可根据《公务员事务规例》第166(2)(b)条，委任某员在实任人员暂时缺勤期间署理有关职位，以应付管理或工作需要。



4.20 In considering the relevant CSRs, the Commission seeks to develop some fundamental principles governing acting arrangements as along the following lines :

- (a) Although an acting appointment is not a pre-requisite for promotion as stated in paragraph 4.19 above, individual HoGs may demand an acting appointment to test an officer's suitability for the higher rank before confirming his substantive promotion.
- (b) When an officer has been selected for long term acting by a promotion board on the basis of his more meritorious performance record, he should be given every opportunity for testing in the higher rank in accordance with CSR 166(2) (a). Slight variations in his performance gradings (including his performance in his substantive rank immediately before he took up the acting appointment and his performance in the higher rank) over a short period of time should not be allowed to excessively influence the assessment of his performance covering a longer period of time. In particular it is not proper to cease his acting appointment by reference to such slight variations in performance gradings rather than any substantiated deficiency in his acting performance. Also it will be illogical to cease his acting appointment but to recommend him to be waitlisted for another long-term acting appointment in the same exercise.
- (c) When an officer has been appointed to act to meet management or operational needs, he should not be given any undue advantage when his claim is assessed by a promotion board against other close contenders. This is particularly so when an acting appointment is not a pre-requisite for promotion and that an acting appointment as mentioned in (a) above may not be demanded of a particular grade. Nevertheless, an officer appointed to act to meet management or operational needs or even

4.20 委员会经考虑有关的《公务员事务规例》后，尝试阐明一些规管署任安排的基本原则，大致如下：

- (a) 虽然署理较高职级并非晋升的先决条件(见上文第4.19段)，但个别职系首长可要求个别职级的员工，须先通过署理较高职级的工作的考验，才可被考虑推荐实际升职。
- (b) 对于因工作表现记录较优良而获晋升选拔委员会推荐长期署任的人员，当局应根据《公务员事务规例》第166(2)(a)条给予充分机会，以考验他是否胜任较高的职级，如有关人员在评核报告内的工作表现评级，在短时间内有轻微偏差的情况出现(包括署任前担任实任职级和担任较高职级的工作表现)，这并不足以过度影响该人员以往较长时间整体工作表现的评核。除非该员在署任期内的工作表现证实有不足之处，否则纯以这些出现轻微偏差的评级为理由终止该员署任安排，并不妥当。此外，在建议该员终止署任的同时，把该员列入长期署任候补名单的做法，也不合情理。
- (c) 对于因管理或工作需要而获安排署理较高职级的人员，晋升选拔委员会在评估其晋升机会时，以及在比较他们与其他实力相若的人员的优劣时，不应给予厚待。这一点尤见于当署理较高职级并非晋升的先决



an officer who has not been tested in the higher rank through a long-term acting appointment may be recommended for promotion in cases where there are sufficient promotable vacancies. But in making such a recommendation, the promotion board concerned must be satisfied beyond doubt that the officer has well demonstrated his capability and competence of performing the full duties of the higher rank.

4.21 The Commission will further develop those fundamental principles governing acting appointments as mentioned in paragraph 4.20 above in consultation with the Administration and the details will be reported in the 2008 Annual Report.

### Personal knowledge of board members to be weighted proportionately

4.22 CSB's issue of the "Guide for Officers Nominated to Serve as Chairman, Member, Secretary of a Promotion Board" in June 2007 is mentioned in paragraph 4.7 above. Other than those guidelines elaborated in that paragraph, it is spelt out that promotion board members may, on top of the performance records available to them, supplement their knowledge of an officer's performance at the board meetings. However, rather than as a supplement, the Commission has observed that in a number of promotion exercises an officer's claim for promotion or acting appointment was assessed on the sole basis of board members' personal knowledge of his performance. In such cases, the board's observations were often not borne out in the appraisal reports. The Commission is concerned that notwithstanding how well they know the officer, board members' personal knowledge is to supplement as advised by CSB in the guide, and not to replace or override the record of performance appraisals. Also where there is discrepancy between the board's observations on an officer's performance and those made in the appraisal reports, the board should elaborate in the board report such discrepancies and the justifications for accepting them. In tendering its

条件，而个别职系亦并无硬性采纳上文(a)项所述的署任安排时。尽管如此，如果有足够的可供晋升空缺，则纯因管理或工作需要而获安排署任的人员，甚至未经长期署任以考验其执行较高职级职务能力的人员，也可获建议擢升，但晋升选拔委员会必须完全确信有关人员已充分证明其能力，可胜任较高职级的一切职务。

4.21 委员会会与当局磋商，并进一步修订这些规管署任安排的基本原则（见上文第4.20段），详情会在二零零八年年报内汇报。

### 个人认识应占的比重

4.22 如上文第4.7段所述，当局于二零零七年六月发出了新修订的“获提名为晋升选拔委员会主席、委员或秘书的人员指引”，除了该段提及的各项参考指引外，该文件亦有订明晋升选拔委员会可以透露他们对个别人员的工作表现的所知所闻，以补充评核报告内所载述的资料。然而委员会留意到某些晋升选拔中，晋升选拔委员会完全以他们的个人认识，去衡量个别人员是否适合晋升，而非仅以这些个人意见作为参考资料。很多时候，这些个人意见又从没有载述在该人员的评核报告内。委员会认为不管晋升选拔委员会对该人员的工作表现有多少认识，晋升选拔委员会内个别委员的意见，正如当局所指，只可补足而非凌驾或取代评核报告内的评核。如果晋升选拔委员会对于人员工作表现的



advice on these cases, the Commission has reiterated such concerns. Where shortcomings of particular officers as identified by the board were not borne out in the appraisal reports, the Commission has also requested individual departments to inform the officers concerned of their shortcomings so that they can strive to improve to enhance their competitive edge for advancement in future exercises.

### Filling of consequential vacancy

4.23 The Commission has observed in a number of promotion exercises that some departments are still not clear when consequential vacancies<sup>37</sup> can be substantively filled. They have mistaken that consequential vacancies at the lower rank can only be filled by substantive promotion after the corresponding vacancies in the next higher rank have been substantively filled in order to avoid over-establishment. As a result, some recommended promotees who had commenced acting in the higher rank before the Board met and could have been recommended for promotion with effect from the Board date<sup>38</sup> were instead recommended to be promoted with effect from a later date on which the vacancies in the higher rank were substantively filled. The net effect of such recommendations, if implemented, would unnecessarily defer the promotion of some deserving officers.

4.24 As already stated in its 2005 Annual Report, the Commission holds the view that vacancies at D2 level and below should be calculated realistically on a grade rather than a rank specific basis. As long as there is a vacancy in the next higher rank, the

意见与评核报告所载有差异，晋升选拔委员会应在晋升选拔报告中详加说明，并提出接纳差异的理据。委员会在向部门提出意见时，已多次重申这观点。就个别人员而言，当晋升选拔委员会所指称的不足之处并非载述在其评核报告中，委员会会要求部门安排知会有关人员，以便他们能作出改善，并准备应付将来的晋升选拔。

### 填补间接空缺

4.23 委员会在多次晋升选拔个案中发现，有些部门仍不清楚在哪些情况下可安排人员实任间接空缺<sup>37</sup>。这些部门误以为，为免员额超出编制，必须待高一级的空缺由实任人员填补后，才可擢升人员出任低一级的相应空缺。因此，这些部门在提出擢升建议时把一些获推荐晋升人员的升职生效日期，拟订为高一级空缺由实任人员填补后的日期，尽管有关人员在晋升选拔委员会会议召开前已开始署任较高职级，本可获荐由晋升选拔委员会会议日期<sup>38</sup>起实际升职。这类建议如果落实，可令这些人员的擢升被不必要地延迟。

4.24 正如二零零五年年报所述，委员会认为首长级薪级第2点及以下级别的职位空缺数目，应实际按职系而非职级计算。只要高一级有职位空缺，

<sup>37</sup> Consequential vacancies denote vacancies which have arisen as a result of the filling of vacancies at the higher rank, as opposed to substantive vacancies which have arisen due to wastage upon the retirement/resignation of incumbents of the substantive rank.

间接空缺是因填补高一职位空缺而产生的空缺，不同于实职空缺。实职空缺是因员工流失(例如有关职级的实任人员退休/离职等)而出现的空缺。

<sup>38</sup> The criteria for determining the effective date of substantive promotion are set out in CSR 126. Normally, it should be the date on which a vacancy in the upper rank becomes available, or the officer takes up the duties of the higher office, or the officer is considered capable of performing the full duties of the higher office (i.e., usually the board date), whichever is the latest.

决定实际升职日期的准则详载于《公务员事务规例》第126条。一般而言，升职的生效日期应为：较高职级中出現空缺的日期；或有关人员开始执行较高职位职务的日期；或有关人员获评定有能力履行较高职位全部职务的日期(通常为晋升选拔委员会会议日期)。各日期之中，以最后的日期为准。



consequential vacancy at the lower rank can be filled by substantive promotion unless there is a genuine risk of over-establishment as assessed and confirmed by the appointment authority. As regards the filling of HoD posts, all departmental grade officers recommended for promotion to HoD ranks are normally required as a norm to go through the AWAV<sup>39</sup> process for at least six months before substantive promotion. Consequential vacancy at the deputy HoD level should likewise be filled on an AWAV basis or by an AFAC appointment.

4.25 In those exercises as mentioned in paragraph 4.23 above, the departments concerned accepted the Commission's observation that the officers concerned should be substantively promoted with effect from the board date. In response to the Commission's request to rectify the misunderstanding at departmental level, CSB issued a memo to HoDs/HoGs in September 2007, clarifying the arrangements of filling consequential vacancies.

### Use of "Promotability" or "Potential" or performance grading as a shortlisting criterion

4.26 Where the pool of eligible candidates of a promotion exercise is large, the board may devise shortlisting criteria which are relevant to the performance of duties in the promotion rank (e.g. years of service in their current rank). It is the responsibility of the promotion board to decide on the shortlisting details having regard to the number of vacancies available vis-à-vis the number of officers under consideration.

4.27 In examining the recommendations of some promotion exercises, the Commission has noted that the assessment on an officer's "promotability" or "potential" in appraisal reports was used as a criterion for shortlisting of candidates. The Commission is of the view that such an assessment, which must be adduced from the officer's performance record and based on an equitable performance appraisal system,

则低一级的间接空缺便可以实际晋升的形式填补，除非聘任当局经评估后确认员额有可能超出编制。在填补部门首长职位方面，当局规定，所有获推荐晋升部门首长职级的部门职系人员，一般必须在实际升职前，先署任最少六个月以待实际升职<sup>39</sup>。至于副部门首长级别的间接空缺，当局应同样地安排人员署任以待实际升职或安排人员署任以方便行政。

4.25 在上文第4.23段所述的晋升选拔个案中，部门接纳了委员会的意见，同意有关人员应由晋升选拔委员会会议日期起实际升职。为消除部门的误解，公务员事务局在二零零七年九月应委员会要求，向部门/职系首长发出便笺，澄清填补间接空缺的安排。

### 以“晋升能力”或“潜能”或工作表现评级作为筛选准则

4.26 在晋升选拔工作中，如合资格人众多，晋升选拔委员会可按晋升职级的职务需要，制订筛选准则（例如现任职级的服务年资）。晋升选拔委员会有责任根据空缺数目和获考虑人员的数目，决定筛选细则。

4.27 委员会在审核建议时注意到，有部分晋升选拔委员会是以人员在评核报告内的“晋升能力”或“潜能”评级作为筛选晋升人选的准则。委员会认为，这类评级必须建基于一套公平的工作表现评核制度，并以有关人员的工作表现记录为依据，才可用作比

<sup>39</sup> See Note 32 on page 32.  
请参阅第32页注32。



is only relevant as one of the factors for comparing the competing officers' merits for advancement. Its indiscriminate use as a shortlisting criterion rather than as a relevant factor by a promotion board in deliberating the competitive claims of eligible officers needs caution as it could usurp the functions of a promotion board and could well lead to abuses, particularly where the assessment is made by a single officer.

- 4.28 Departments are advised to avoid using the assessment in appraisal reports on an officer's "promotability" or "potential" as a criterion for shortlisting candidates for consideration of promotion. When there is a promotion exercise involving a large number of officers, there is always the option of using suitable criteria such as "in-rank experience", which is more objective, to shortlist candidates for consideration by the promotion board. In circumstances where it is considered necessary to impose, in addition to "in-rank experience", a shortlisting criterion with reference to the ratings on the eligible officers' performance during the period under review, the Commission holds the view that such a criterion is acceptable on the condition that the reporting standard has been properly reviewed and that the threshold is set at a reasonable level.

### Misinformation to the Commission

- 4.29 It is the responsibility of the department to ensure that all submissions to the Commission for advice should contain accurate and up-to-date information. In a 2006 promotion exercise submitted to the Commission for advice in 2007, the Commission has found that a department had, in the last promotion exercise conducted in 2004, omitted to provide the most up-to-date information to the Commission when seeking advice on the board's recommendations. A non-selected officer was arranged to take up a long-term acting appointment soon after the promotion board met. The arrangement was neither made known to the Commission when the 2004 board

较各竞争晋升人员优劣的其中一项因素。晋升选拔委员会在考虑各合格人员的竞争机会时，可参考这类评级，但不应不加思索地采纳它们作为唯一的筛选准则，因为这种做法有损晋升选拔委员会独立运作的职能，而当评级仅由一名人员负责决定时，更容易被人操控。

- 4.28 委员会建议部门在筛选获考虑晋升的人选时，应避免以人员在评核报告内的“晋升能力”或“潜能”评级作为准则。如果被考虑选拔的人员数目众多，部门通常可采用“有关职级的服务年资”等较为客观的合适准则来筛选人员，以供晋升选拔委员会考虑。如部门认为除“有关职级的服务年资”外，还须参考合格人员在检讨期内的工作表现评级来制订筛选准则，则委员会认为，这类筛选准则在符合以下条件后方可接受：表现评核准则已妥为覆检，以及入选门槛定在合理水平。

### 向委员会提交错误资料

- 4.29 部门有责任确保提交委员会审阅的所有资料，都是准确和最新的。有一个于二零零六年举行的晋升选拔委员会，在二零零七年向委员会提交选拔建议。委员会从建议中发现该部门在上次二零零四年晋升选拔工作中，就晋升选拔委员会的建议向委员会徵询意见时，并没有向委员会提供最新的资料。该部门在上次晋升选拔委员会会议召开后不久，安排一名没有被晋升选拔委员会推荐的人员长期署任一个职位，却不在提交给委员会的晋升选拔报告中提及，也没有按照《公务



report was subsequently submitted nor reviewed in accordance with CSR 166(6)<sup>40</sup> until the conduct of the 2006 promotion exercise.

4.30 Moreover, due to unexpected shrinkage of vacancies, the department had arranged for three officers who had acted for more than 12 months to cease acting in the few months subsequent to the 2004 promotion board meeting notwithstanding that they were recommended for long-term acting appointments. On the other hand, the department allowed other officers, including the non-selected officer as referred to in the previous paragraph, who had acted for less than 12 months to continue acting for further observation of their acting performance. Such developments took place while the Commission Secretariat was in the course of exchanging views with the department on the 2004 board's recommendations. The department, however, did not inform the Commission of the changes when providing supplementary information to the Commission. Without realising the changes in the interim, the Commission tendered its advice on those recommendations that had already become obsolete. It was not until the Commission Secretariat vetted the recommendations of the 2006 promotion board held two years later that such irregularities were unearthed.

4.31 The omissions were unacceptable. The arrangement for a non-selected officer to take up a long-term acting appointment, thereby raising the competitive claim unjustifiably in future promotion exercises is vulnerable. The department's rationale in arranging for three recommended officers to step down from acting, not because of their less meritorious performance, but rather to make way for a more thorough assessment of the performance of the other officers who had shorter acting experience is questionable. Such arrangements would seriously undermine the integrity of the promotion system. The Commission has drawn the irregularities to the personal attention of the HoD.

员事务规例》第166(6)条<sup>40</sup>的规定检讨这项安排，直至在二零零六年举行新一轮晋升选拔为止。

4.30 此外，由于职位空缺较预期的减少，该部门在二零零四年晋升选拔委员会会议召开后数月内，先后安排三名署任时间超过12个月的人员停止署任，没有理会他们当时是被晋升选拔委员会推荐继续署任的。另一方面，该部门却又容许其他署任少于12个月的人员，包括前段所述那位没有被晋升选拔委员会推荐的人员继续署任，以便进一步观察他们在署任期间的工作表现。部门作出上述安排时，正与委员会秘书处就二零零四年晋升选拔委员会的建议交换意见，但是却没有在提交补充资料予委员会时，把有关调动通报委员会。委员会于是在不知情下，就已不合时宜的晋升建议提出意见。这些不当做法延至两年后，即委员会秘书处审阅该部门二零零六年晋升选拔委员会所提交的建议时，才被揭露。

4.31 上述不当情况是不能接受的。安排一名原先不被晋升选拔委员会推荐的人员长期署任职位，容易引人非议，因为这可能会使该人员在其后的晋升选拔中获得无形优势，以致对其他人员不公平。该部门在考虑安排人员停止署任时，并非衡量有关人员的署任表现是否欠佳，而是请署任经验较长的人员让位于经验较浅的人员，以方便充分评核后者的署任表现，这安排有待商榷。由于上述种种安排会严重损害晋升制度的公平公正，委员会已促请该部门的首长亲自关注相关的失误。

<sup>40</sup> See Note 36 on page 40.  
请参阅第40页注36。



5.1 As mentioned in its 2006 Report, the Commission has requested the Civil Service Bureau (CSB) to review the effectiveness of those performance management tools as promulgated in CSB Circular No. 10/2000 dated 7 June 2000<sup>41</sup> in the light of the experience gained over the years. The Commission is pleased to note progress made on this front, as detailed in the ensuing paragraphs.

### PROGRESS MADE BY CSB

#### (a) Adoption of “effective” grading as the norm for overall performance

5.2 The Commission has observed over the past years that in some departments, there had been many arguments arising from downward adjustments of the gradings in the performance appraisal reports to follow the norm of “effective” grading as promulgated in the circular. The Commission considers that while only a very small number of top performers should be assessed as having “outstanding” performance, it would be acceptable for the majority of officers to be in the “very effective” and “effective” categories. CSB was requested in 2006 to review the adoption of “effective” grading as the norm for overall performance. Upon review, CSB supports the Commission’s views and will discourage the rigid application of forced distribution of ratings. CSB will remind departments and bureaux that Assessment Panels (APs)<sup>42</sup> should avoid rigidly adhering to quota systems which entail re-evaluating and downgrading “very effective” ratings to “effective” ratings and which unnecessarily create a lot of grievances and complaints from staff.

5.1 如二零零六年年报中所述，委员会已要求公务员事务局根据多年来汲取的经验，检讨二零零零年六月七日发出的公务员事务局通告第10/2000号<sup>41</sup>所公布的表现管理工具的成效。委员会乐见这方面有所进展，详情见下文各段。

### 公务员事务局取得的进展

#### (a) 采用“常”的评级作为整体工作表现的常规

5.2 委员会观察到过去多年来，一些部门在遵从上述通告所公布以“常”为常规评级而把评核报告内的评级向下调整时，遇到很多争议。委员会认为，当只有极少数表现优异的人员可获评级为“优”，而大部分人员评级为“良”和“常”，是可予接受的。委员会曾于二零零六年要求公务员事务局就采用“常”的评级作为整体工作表现的常规进行检讨。公务员事务局在完成检讨后赞成委员会的意见，并会促请部门不要僵化采用硬性订定的评级分布。公务员事务局将提醒各决策局和部门，评核委员会<sup>42</sup>应避免为了硬性遵从配额制度，而重新评估并把评级由“良”降至“常”，以致引起不必要的员工申诉和投诉。评核委员会应更主力审核被评为“优”和表现欠佳的

<sup>41</sup> The performance management tools promulgated vide CSB Circular No.10/2000 include the adoption of “effective” grading as the norm for overall performance, the operation of assessment panels to ensure consistency in assessment standards, the setting of performance targets at the beginning of the performance management cycle, the adoption of competency-based approach in performance appraisals and the proper conduct of appraisal interviews.

公务员事务局通告第10/2000号所公布的表现管理工具包括：采用“常”的评级作为整体表现的常规；通过评核委员会的运作，确保评核准则一致；在表现管理周期开始时订立表现指标；采用以才能为本的评核模式来评核工作表现；以及恰当地进行评核面谈。

<sup>42</sup> Under CSB Circular No. 10/2000, Heads of Department/Heads of Grade are encouraged to promote a wider use of APs among grades under their purview to undertake levelling and moderating work among appraisal reports, monitor performance and identify under-performers/outstanding performers for appropriate action.

根据公务员事务局通告第10/2000号，当局鼓励部门/职系首长推广措施，尽量为辖下职系设立评核委员会，担任平衡及协调评核报告的评级，监察员工表现，以及识别那些表现差劣/优秀人员，以便作出适当处理等工作。



Instead, the APs should focus more on the outstanding and substandard cases to ensure that only the right talents are selected for grooming and underperformers are identified for necessary follow-up action. The Commission also considers that the general definitions for different performance ratings in appraisal forms can be improved with clearer benchmarks to ensure consistency in interpreting these definitions. CSB has been requested to develop broad guidelines to assist departments in setting such benchmarks.

## (b) Operation of APs

5.3 Feedback and staff complaints received by the Commission in the past have revealed some problems or mistrust in the operation of AP in some departments. The departments concerned have spent much time and efforts not only on the levelling and moderating of the performance appraisals but also in managing the arguments that had arisen in the process. To improve the operation of the system, the Commission requested CSB in 2006 to review the overall effectiveness of AP as a management tool to ensure consistency in assessment standards. In response, CSB conducted two separate surveys on AP operation and its effectiveness, followed by a series of focus group meetings. The findings reveal that the AP operation is generally effective and accepted as a useful tool to moderate staff performance. CSB will continue to offer advisory support to departments to enhance the functioning of their APs and to organise experience-sharing seminars. In addition, it will review the existing guidelines on AP operation and incorporate the best AP practices in the revised "Guide on Performance Management".

个案，确保有真才实干的人员可获挑选和接受栽培，以及识别表现差劣人员予以必需的跟进。委员会又认为可订立更清晰的基准，以改善评核报告表格上不同工作表现评级的一般定义，确保对这些定义有一致的诠释。委员会已要求公务员事务局制订整体指引，协助各部门订立上述基准。

## (b) 评核委员会的运作

5.3 委员会过去收到的意见和员工投诉显示，有些部门的评核委员会的运作出现问题或不受员工信任。有关部门花了不少时间和精力，在平衡和协调评核报告的评级之余，还要处理过程中出现的争议。为改善制度的运作，委员会在二零零六年曾要求公务员事务局检讨评核委员会作为确保评核标准一致的表现管理工具的整体成效。为此，公务员事务局就评核委员会的运作和成效进行两项独立调查，并在随后举办一连串的关注小组讨论会。调查结果显示受访者普遍认为评核委员会的运作有效，有助协调员工表现。公务员事务局会继续为部门提供意见，以提升其评核委员会的运作成效，并会举办经验交流研讨会。此外，公务员事务局亦会检讨现时评核委员会的运作指引，并会在修订的“工作表现管理指引”中加入良好的评核委员会管理措施。



(c) Adoption of a competency-based approach in performance appraisals

5.4 The Commission supports the Administration's continuous efforts to promote the adoption of a competency-based approach in performance appraisals with a view to facilitating a more accurate assessment of an appraisee's potential and promotability to the next higher rank. Noting that about 80% of the suitable grades/ranks (about 170 grades or 500 ranks) are using such an approach, the Commission has advised CSB to strive for its implementation in the remaining grades/ranks. In response, CSB has undertaken to continue to provide those grades with the necessary assistance in adopting the system.

(d) Disclosing remarks of Heads of Grade (HoGs) to appraisees

5.5 In keeping with the spirit of enhancing the transparency of the performance appraisal process and to allow for improvements to be made by the appraisee concerned, the Commission has maintained its view that the appraisee should be advised of the HoG's comments if they are different from those made by the appraising and countersigning officers. CSB has agreed to incorporate this best practice in the revised "Guide on Performance Management".

(e) Career interview

5.6 The Commission always advocates that officers who are passed over or not recommended in a promotion exercise should be career interviewed. CSB was requested to develop guidelines in 2006 on how to conduct such interviews systematically for departments' reference. In response, CSB has undertaken to include related guidelines in the revised "Guide on Performance Management", advising Heads of Department/HoGs that they should arrange career development sessions with their staff from time to time and especially for those staff who have been passed over in a promotion exercise.

(c) 采用以才能为本的工作表现评核模式

5.4 当局继续致力推广以才能为本的评核模式来评核员工的工作表现，以便更准确评核受评人的潜能和晋升能力。委员会对此表示支持。委员会注意到约八成合适的职系/职级(约170个职系或500个职级)正使用这个评核模式，并建议公务员事务局继续努力，推动余下的职系/职级效法。为此，公务员事务局承诺会继续向这些职系提供所需支援，以推行这个制度。

(d) 向受评人披露职系首长的评语

5.5 为贯彻提高表现评核过程的透明度的精神，以及让有关受评人可作出改善，委员会坚持认为，如职系首长的意见与评核人员和加签人员不同，便应向受评人披露职系首长的评语。公务员事务局同意在修订的《工作表现管理指引》中加入这项理想的做法。

(e) 事业前途发展面谈

5.6 委员会一直主张应在晋升选拔中被人超越或不获推荐的人员安排事业前途发展面谈。委员会于二零零六年曾要求公务员事务局就如何有系统地进行这类面谈编制指引，供部门参考。为此，公务员事务局承诺会在修订的《工作表现管理指引》中加入有关指引，让部门首长/职系首长知道应不时为其员工(特别是那些在晋升选拔中被人超越的员工)安排事业前途发展面谈。



#### (f) Timely completion of performance appraisal reports by supervisors

5.7 Despite gradual improvements made by a large number of departments, late completion of performance appraisal reports remains a common and persistent problem in some departments. To address the issue, CSB would highlight in the revised "Guide on Performance Management" the point made by the Commission that in assessing a supervising officer's competence for further promotion, all aspects of staff management competency including timeliness in giving feedback and completing performance appraisals should be taken into account. As a pilot, CSB has also revised the appraisal form of a selected grade to incorporate such an assessment.

#### (g) Non-completion of performance appraisal reports

5.8 As mentioned in the Commission's 2006 Report, an officer's failure to submit the appraisal form to his supervisor could result in the non-completion of his annual performance appraisal. To avert this problem, the Administration has responded positively to the Commission's suggestion to develop an enhanced reminder and tracking system that would ensure prompt preparation and return of the appraisees' job descriptions for performance reporting purpose. CSB would use a selected grade as a pilot, and if proves to be successful, extend the system to other grades.

#### (h) Training in Human Resource Management (HRM)

5.9 CSB shares the Commission's view that it is important to raise HRM awareness amongst supervisory staff of all levels and to equip them with the relevant HRM knowledge and skills. It has accordingly increased and enhanced its central courses on HRM for supervisory staff including junior directorate staff.

#### (f) 主管人员须依时填写评核报告

5.7 虽然很多部门在这方面渐见改善，但逾期填写评核报告仍然是一些部门常见和一直存在的问题。为解决这个问题，公务员事务局会在修订的《工作表现管理指引》中提述委员会的观点，即在评估督导人员的晋升潜能时，应考虑有关人员在管理员工的各方面能力，包括该员能否依时就下属表现给予意见和填写下属的工作表现评核报告。此外，公务员事务局已修改一个选定职系的评核报告表格，把员工在上述两方面的表现纳入评核项目之中，以作试验。

#### (g) 没有填写评核报告

5.8 如委员会在二零零六年年报中所述，受评人没有向上级呈交其评核报告表格，可能导致上级没有填写其周年工作表现评核报告。为防止出现这种问题，当局积极回应了委员会的建议，制订更严格的催办跟进机制，确保受评人尽快填妥评核报告表格中的职责部分，并交回上级以便填写工作表现报告。公务员事务局会对一个选定职系试行这项建议机制，若证实成功，将推广至其他职系。

#### (h) 人力资源管理培训

5.9 公务员事务局与委员会看法相同，认为提高各级督导人员对人力资源管理的认识，使他们具备相关的人力资源管理知识和技巧，十分重要。因此，公务员事务局已相应增加并加强为督导人员(包括首长级初级人员)提供的人力资源管理中央课程。



5.10 As revealed, CSB has actively pursued those good performance management practices advocated by the Commission over the years. The efforts are commendable and will culminate in its issue of the revised "Guide on Performance Management" and, where appropriate, the revised forms for performance appraisal incorporating the relevant improvement pointers for service wide reference.

5.11 The Commission will continue to monitor closely the effectiveness of the various improvement measures as elaborated in the preceding paragraphs for further strengthening of the performance management system in the civil service.

5.10 公务员事务局多年来一直积极推行委员会所提倡的良好工作表现管理措施，成绩可观。接下来，该局会汇整各项措施，重新修订《工作表现管理指引》，并推出加入了相关改善指标的修订评核报告表格，供各部门参考。

5.11 委员会将继续密切监察上文各段所述各项改善措施的成效，以进一步强化公务员的工作表现管理制度。

## IMPROVEMENT EFFORTS MADE BY DEPARTMENTS

5.12 While gradual improvements are observed in a large number of departments on the timely completion of performance appraisal reports, the Commission is also pleased to observe across the service the marked improvement on the timeliness in conducting promotion boards. Such improvements, coupled with the significant drop in the number of cases of non-compliance with Civil Service Regulations 231(1)<sup>43</sup> and 232(2)<sup>44</sup>, as reported in the 2006 Report, are encouraging signs of the heightened awareness of the departments/grades of the need to enhance their respective staff performance management systems as advocated by the Commission. Some departments were observed to have taken further steps to strengthen their performance management systems. For instance, a department had organised tailor-made workshops for supervisors to enhance their competence in appraisal writing. It also followed up promptly on the recommendations of the last

## 各部门所作的改善

5.12 委员会除观察到很多部门在依时填写评核报告方面渐见改善外，亦欣悉政府各部门在适时召开晋选拔委员会方面也有所进步。上述改善，加上违反《公务员事务规例》第231(1)<sup>43</sup>及232(2)<sup>44</sup>条的个案数目大幅减少(二零零六年年报所述)，显示各部门/职系更加了解到有需要如委员会倡议般，加强各自的员工表现管理制度，情况令人鼓舞。据委员会观察所得，有些部门已采取进一步措施，加强他们的表现管理制度，例如有一个部门曾举办专为主管人员而设的工作坊，以提升他们在撰写评核报告方面的能力。此外，该部门亦迅速跟进上次晋选拔委员会的建议，为被识别为有需要扩阔阅历的人员安排职位调派。另一部门的晋选拔委员会参照了委员会在上次晋选拔时提出的意见，主动把在评核报告中发现的

<sup>43</sup> See Note 33 on page 36.  
请参阅第36页注33。

<sup>44</sup> See Note 34 on page 36.  
请参阅第36页注34。



promotion board by arranging career postings for officers who were identified as in need of exposure. A promotion board of another department had, in the light of the observations tendered by the Commission in the last exercise, taken an initiative to identify irregularities such as inconsistencies of assessments in appraisal reports and referred them to the departmental management for follow-up. In one grade, the grade management had shown its determination to arrange career postings for individual officers through the HoG's personal appeal to all grade members informing them that the grade management would take resolute actions in arranging career postings and reminding them to complete performance appraisal reports within one month after expiry of the reporting period. Separately, the grade management had also revised the appraisal forms of its grade members in the way that the description on "Staff Management" appearing on the forms was suitably expanded to better reflect the prevailing requirements and expectation. The efforts are commendable.

## FURTHER IMPROVEMENTS ON THE PERFORMANCE MANAGEMENT SYSTEM

5.13 In the course of vetting submissions from departments, the Commission has made various suggestions to address some common performance management problems. A few examples are highlighted in the succeeding paragraphs for reference by the departmental management in perfecting their performance management and appraisal systems.

### Performance appraisal of substandard performers

5.14 In examining the recommendations of a promotion board, the Commission has noted with concern that there was inordinate delay in the completion of performance appraisal reports on two substandard performers whose performance failed to meet the standard required of their rank. The reports in question

不当情况，例如评核不一致等，转介部门管理层跟进。有职系首长亲自向全体职系人员宣告，职系管理当局会果断安排职位调派，并呼吁他们在评核期届满后一个月内填写表现评核报告，藉此表明当局在这方面的决心。另一方面，职系管理当局亦已修订辖下职系人员的评核报告表格，对评核报告表格上“员工管理”一项作出适当的阐释，以便更清楚反映现行的要求和期望。这些部门/职系积极改善员工表现管理制度，诚意可嘉。

## 进一步改善表现管理制度

5.13 委员会在审核部门提交的建议时，就一些常见的表现管理问题提出多项改善意见。下文列举的几个例子可供部门管理层参考，以完善其表现管理和评核制度。

### 为表现欠佳的人员评核工作表现

5.14 委员会在审核一个晋升选拔委员会的建议时，关注到有关主管在填写两名表现未达其职级要求标准的人员的评核报告时出现严重延误。有关评核报告是于上一个评核周期完结日的五个月后才填写。此外，报告内的概括评语亦较简短，也没有清楚交代受访人在评核期内曾否接受适当辅导和指导，以协助他们改善工作表现。



were completed more than five months after the end date of the last reporting cycle. Besides, the pen-picture given in the reports was brief. It was also not clear whether appropriate counselling and guidance had been given to the appraisees during the reporting period in question to help them improve their performance.

5.15 Fundamentally, the preparation of performance appraisals is not solely for promotion purpose, but also to serve the objective of monitoring the staff's performance for timely assessment and feedback to the appraisees. This message has been clearly stated in the Commission's 2005 Annual Report. This is particularly important when an appraisee's performance is observed to have dropped as timely and specific feedback would help the appraisee to rectify his weaknesses and make improvements at an early stage before his performance further deteriorates to a sub-standard level. Hence, supervisors should be required to continue to review, reinforce and monitor their staff's performance as well as to record promptly in the performance appraisal reports the progress for the attention of the grade management. Without such appraisal records, the training and development needs of an officer may be left unattended. Worst still, the hands of the grade management will be tied when an officer's performance deteriorates to a sub-standard level warranting the consideration of administrative action under section 12 of the Public Service (Administration) Order as detailed in Chapter 7. The Commission has specifically asked the department to clearly advise the supervisors concerned of this principle of good performance management.

5.15 基本上，拟备评核报告不只是提供参考作晋升用途，同时亦用以监察员工的工作表现，以适时评核受评人和向其提出意见。委员会在二零零五年年报中已清楚说明这点。当受评人表现欠佳时，这点尤其重要，因为及时给予明确的意见有助受评人及早纠正缺点并作出改善，以免其表现下滑至差劣。因此，主管人员须持续覆检、加强援助和监察员工的工作表现，并从速把员工进度记录于评核报告内，供职系管理当局参考。如欠缺工作评核报告，员工的培训发展需要便可能被忽视。尤有甚者，当有关人员表现持续欠佳，职系管理当局须考虑根据《公务人员(管理)命令》第12条采取行政措施(详情载于第七章)时，却因欠缺工作评核报告而无从入手。委员会明确要求部门清楚指示有关主管人员恪守这项良好工作表现管理的原则。

## Performance management during AWAV period

5.16 In examining a department's proposal to extend the acting-with-a-view (AWAV)<sup>45</sup> appointment of an officer identified by the previous promotion board in order to further assess his suitability for substantive promotion, the Commission has noted that the two quarterly performance appraisal reports covering the officer's performance during the AWAV period were completed in one go. The Commission considers this most undesirable. It is also not clear from the reports whether the officer concerned has been made aware of his inadequacies at any time during the six-month acting period. The Commission has reminded the department that in all fairness to an AWAV appointee and in the interest of the department as well, the AWAV appointee should be given timely feedback on his performance especially when inadequacies are observed so that he can make improvement at an early stage without having to wait until the end of the AWAV period. This is most important given the short AWAV period. Any guidance or advice given by the supervisors should also be properly documented and recorded in the appraisal reports in a timely manner so as to facilitate the grade management to monitor the AWAV appointee's performance and take appropriate action where necessary.

## 管理员工于署理以待实际升职期间的表现

5.16 某部门曾建议把一名经先前晋升选拔委员会推荐署任以待实际升职<sup>45</sup>的人员的署任期延长，以进一步评核该人员是否适合实际升职。委员会在研究有关建议时留意到，该人员于署任期的表现虽由两个季度评核报告涵盖，却是于同一时间填写的。委员会认为此举极不理想。此外，两个评核报告亦没有清楚说明有关人员于六个月署任期内曾否获告知其表现不足的地方。委员会已提醒该部门为公平对待署任以待实际升职的人员及部门的利益起见，应适时向这些署任人员给予有关其工作表现的意见，尤其是当观察到有不足之处时，让该人员可在署任期完结之前及早作出改善。鉴于署任以待实际升职期甚短，这点至为重要。主管人员给予的任何指引或意见均应妥为记录在评核报告内，以便职系管理当局监察署任以待实际升职人员的工作表现，并在有需要时采取适当行动。

<sup>45</sup> See Note 28 on page 29.  
请参阅第29页注28。



### Assessment on staff's readiness to perform duties at the next higher rank

5.17 It is common in the appraisal forms that there is a section on the assessment of staff's readiness to perform duties at the next higher rank. In a promotion exercise, the Commission has observed that some appraisees were assessed as "possibly yes" on their readiness to perform duties at the next higher rank. The Commission holds the view that if an appraisee who performs well in his current rank has not yet displayed readiness to perform duties at the next higher rank at the point when the appraisal report is written, he should be assessed as "not yet" ready instead of "possibly yes". The Commission has requested CSB and departmental management to remind appraising and countersigning officers of the need to properly assess an officer's readiness to perform duties at the next higher rank and to review if the "possibly yes" rating, which is rather noncommittal, should be crossed out altogether from the appraisal form.

### 评估员工是否已准备好执行高一职级的职责

5.17 工作表现评核报告表格通常有评估员工是否已准备好执行高一职级的职责一栏。在一次晋升选拔中，委员会发现一些受评人在是否已准备好执行高一职级的职责方面获评为“可能已准备好”。委员会认为，在现时职级表现良好的受评人若在上司填写其评核报告时尚未展现已具备执行高一职级的职责的能力，便应获评为“尚未准备好”，而非“可能已准备好”。委员会已要求公务员事务局和部门管理层提醒评核人员和加签人员应恰当地评估员工是否已准备好执行高一职级的职责；并促请他们检讨应否把“可能已准备好”这个模棱两可的评级，从评核报告表格中全部删除。

### Identical assessment

5.18 In scrutinising the performance appraisal reports of the candidates in a promotion exercise, the Commission has noticed that the Appraising Officer (AO) of a candidate had provided an identical word-for-word assessment on him in two consecutive appraisal years. This defeats the purpose of the staff appraisal system. As performance appraisals form the basis of career advancement and development, there should be a distinctive account of an appraisee's overall performance, strengths and weaknesses in the relevant appraisal period. The Commission has reminded the department to advise the AO concerned to improve the quality of his staff report writing.

### In-between ratings

5.19 The Commission has observed in a promotion exercise that there has been a tendency for AOs to give in-between ratings in performance appraisal reports when assessing the performance of their subordinates despite that there is already a set of pre-determined scale provided in the appraisal form. Such a practice will undermine the aim of the pre-determined scale to achieve better objectivity, consistency and comparability in performance management. In response to the Commission's observation, the grade management has reminded its grade members to guard against the use of in-between or split ratings.

### 相同的评核

5.18 委员会在审议晋升选拔建议时，发现其中一名人选于连续两个评核年度的评核报告中均被评核人员写上完全相同的评核字句，有违员工评核制度的原意。员工评核制度是员工晋升及事业发展的基础，评核人员要因应受评人在不同的评核期内的整体表现、长处及弱点作出独立评核。委员会已提醒有关部门指示相关的评核人员改善其撰写员工评核报告的质素。

### 介乎两个级别的评级

5.19 委员会在一次晋升选拔中观察到，尽管评核报告表格已设有一套预定的评级，但评核人员在评核下属的工作表现时往往会在其评核报告中给予介乎两个级别的评级。预设评级是要为工作表现管理提供客观、统一的基准和方便作出比较，但上述做法却有违此原意。因应委员会的意见，职系管理层已提醒职系人员避免使用介乎两个级别的评级或把原有评级分割。



6.1 The Commission has observed from time to time through vetting of recommendations of some promotion exercises that there are bunched retirement of senior officers in particular years and yet succession has not been planned adequately, thus hampering the selection of suitable officers to fill senior positions in these departments. The Commission considers that the Secretary for the Civil Service (SCS), Heads of Department (HoDs) and Heads of Grade (HoGs) should take ownership of a good succession plan to help departments to identify staff with good potential for advancement and to groom them for assuming senior management positions. The Commission also holds the view that succession planning should be linked to an effective talent development system, which in turn should be tied to a robust performance management system covering honest reporting, merit-based selection of officers for further career advancement and regular career postings to broaden their job knowledge and exposure as well as to further develop their leadership talent. In taking forward this "linked and tied" approach, the Commission has proposed some improvement measures, as elaborated in the ensuing paragraphs, to achieve better results in succession planning in the civil service.

6.1 委员会审核一些晋选拔委员会的建议时，不时察悉在某些年份有多位高级人员相继退休，但由于没有妥善计划接班的人选，以致在选拔合适的人员填补这些部门的高级职位时出现阻滞。委员会认为，公务员事务局局长、部门首长和职系首长应以制订良好的接班计划为己任，协助部门物色具备良好晋升潜质的人员，并栽培他们接班高层管理职位。委员会又认为，接班计划应与有效的才能发展机制环扣起来，后者又挂钩于健全的工作表现管理制度，当中包括如实评核人员的工作表现，按用人唯才的原则选拔人员晋升，定期安排职位调派以扩阔他们的工作知识与见识，以及进一步发展其领导才能。委员会在推广这项“环钩相扣”做法的同时，还建议了多项改善措施(详载下文各段)，务求令公务员队伍的接班计划达致更佳成效。

## BASIC PRINCIPLES AND BEST PRACTICES FOR SUCCESSION PLANNING

## 接班计划的基本原则和最佳做法

6.2 The Commission considers that a good succession planning mechanism should be made more transparent so that staff at large will appreciate that there is a fair process in considering advancement to the directorate level. In this connection, the Commission has requested the Administration to advocate under the system the following principles :

- (a) In trawling younger officers for fast-track career advancement, the claims of the more senior officers, particularly those who are assessed as equally if not more meritorious as well as having potential of the next higher rank, should not be neglected.
- (b) For promotion to the junior directorate level of D1 and D2 in departments with a reasonable pool of directorate posts, an officer's longer term potential, as restricted by his age, should not normally be a factor to deter promotion when the 12 months' active service rule under Civil Service Regulation (CSR) 109(1)(a)(i)<sup>46</sup> is satisfied.
- (c) In mapping out a healthy succession at the senior directorate level of D3 and above, the consideration of an officer's competence and potential for the HoD post, on which his age would have a bearing, would inevitably come into play. As for promotion to a HoD post, the selected officer should have preferably three years' active service on assumption of the post as advised earlier by the Commission<sup>47</sup> in order to allow sufficient time and continuity for the incumbent to steer the department and motivate staff in delivering better services.

6.2 委员会认为，良好的接班计划机制应更具透明度，使整体员工知悉有公平的程序来考虑晋升人员至首长级职位。因此，委员会要求当局在这机制下倡行以下原则：

- (a) 在选拔较年青人员快速晋升时，也不应忽略年资较深的人员，特别是那些获评为同样优秀(即使不是更优秀)而且具备晋升潜质的人员。
- (b) 对于设有相当数量首长级职位的部门，在擢升人员至首长级薪级第1点和第2点的首长级初级职位时，如果有关人员已符合《公务员事务规例》第109(1)(a)(i)条<sup>46</sup>中有关12个月实际服务期的规定，则他的年龄会否局限其长远晋升潜质，通常不应作为考虑因素，窒碍该员的晋升机会。
- (c) 为首长级薪级第3点及以上的首长级高级职位制订稳健的接班安排时，须考虑有关人员担任部门首长职位的能力和潜质，而该员的年龄无可避免会成为影响因素。至于晋升至部门首长职位的安排，按照委员会较早前建议<sup>47</sup>，入选人员在履任后最好有三年实际服务期，以便有足够的时间和持续性，让在任者带领部门和激励员工以提供更佳服务。

<sup>46</sup> In accordance with CSR 109(1)(a)(i), officers who have less than 12 months active service to serve after the effective date of promotion are normally not considered for promotion.

根据《公务员事务规例》第109(1)(a)(i)条，由晋生效日期起计，实际服务期不足12个月的人员，通常不获考虑晋升。

<sup>47</sup> The Commission considers it desirable for officers to have preferably at least three years of active service on assumption of HoD posts on the basis of considerations that – (a) the change of HoD every couple of years is not in the interest of the department concerned and its staff at large; and (b) the role of HoD is important and incumbents should have sufficient time to steer and move forward the departments under them, guide and motivate their staff, manage and bring about change while at the same time provide continuity and lead their departments to deliver even better and more cost-effective services.

委员会认为，有关人员由接任部门首长起计，最好至少有三年实际服务期，理由是：(a)每隔数年便更换部门首长，并不符合有关部门及整体员工的利益；以及(b)部门首长的角色十分重要，在任的部门首长应有足够时间带领部门向前迈进，领导和激励员工，管理和带来革新，同时维持部门的持续性，并领导部门提供更佳和更具成本效益的服务。



- 6.3 In relation to paragraph 6.2(a) above, it is worthy to note that both the SCS and the Permanent Secretary for the Civil Service have taken a very robust approach to succession planning. They have been urging in the past year those departments with succession problems to earnestly reach down further through the ranks to fast track younger and more promising colleagues for earlier succession to more senior positions without losing sight of the need to maintain the stability of the civil service. It would be necessary to strike a fine balance between the grooming of high-flyers for fast-track promotion and the provision of adequate promotion opportunity to dedicated and solid performers. In this particular regard, the Commission's earlier advice for a HoD to have preferably three years' active service on assumption of that position is a clear steer to impress upon departments of the need to reach down, if required, to even one rank below the eligible level for suitable officers to be groomed for earlier succession to the HoD level.
- 6.3 有关上文第6.2段(a)项，值得注意的是公务员事务局局长和该局的常任秘书长都积极跟进接任计划的问题。过去一年，他们促请面对接班问题的部门，在维持公务员队伍稳定性的同时，要认真地从较低级的人员当中，物色较年青和具潜质的人员，加以栽培，让他们能够及早接任较高级的职位。政府在栽培和加快擢升潜质优厚人员的同时，亦要为尽忠职守和工作表现可靠的人员提供足够的晋升机会，并在两者之间取得适当的平衡。有关这方面，委员会较早前曾经建议，获推荐升任部门首长的人选，由接任部门首长职位当日起计，最好至少有三年实际服务期。这项建议已为部门提供了明确的指引，如有需要，部门可从合资格职级以下一级的人员中物色合适人选，加以栽培，使他们可及早成为部门首长职位的接班人选。
- 6.4 In relation to paragraph 6.2 (b) above, the Commission considers that for promotion to the junior directorate levels of D1 and D2 in departments with a reasonable number of such posts, a mix of long-serving, dedicated and solid officers with high-flyers could be worked out.
- 6.4 有关上文第6.2段(b)项，委员会认为，对于设有相当数量的首长级薪级第1点和第2点职位的部门来说，在挑选合适人员晋升这些职位时，可以考虑以年资较长、尽忠职守和工作表现可靠的人员搭配潜质优厚和年资较短的人员。

6.5 In relation to paragraph 6.2(c) above, of the eight HoD promotion exercises conducted in 2007, three had not been able to identify suitable officers to fill the HoD posts. Two of the posts will be filled through the open-cum-in-service recruitment channel and one has been filled through cross-grade posting arrangement. As regards the other five HoD posts filled by internal promotion, four officers selected would have had three years or more to serve as preferred by the Commission for officers occupying HoD positions<sup>48</sup>. Separately, as for those departments which have only one Deputy Director (DD) post, CSB has been advising incumbent HoDs of the guiding principle as stated in paragraph 6.2(c) above relating to the inevitable age bearing for succession to senior directorate level. As informed by CSB, such a principle has been reiterated in considering promotions throughout the ranks in those departments with a single DD post to ensure that those who are identified for HoD succession would not be impeded by their age in the course of their progression.

6.5 有关上文第6.2段(c)项，在二零零七年内举行了八次首长职位的晋升选拔，其中三次未能挑选到合适人选填补部门首长职位。当中两个职位会透过公开和内部招聘来填补，另一个职位则已透过跨职系职位调派安排填补。至于其余五个由内部晋升填补的部门首长职位，其中四名入选的人员会如委员会建议般有三年或更长的服务期可担任部门首长职位<sup>48</sup>。此外，对于只设有一个副处长职位的部门，公务员事务局一向都有提醒其在任首长留意上文第6.2段(c)项的原则，即年龄这个考虑因素，难免影响接任高层首长级人员职位的安排。据公务员事务局告知，对于只设有一个副处长职位的部门，该局在审议该等部门各有关职级的晋升事宜时，都会重申这个原则，确保被挑选为有潜质接任部门首长的人员不会因年龄而影响其晋升前途。

<sup>48</sup> See Note 47 on page 61.  
请参阅第61页注47。



## PERFORMANCE MANAGEMENT SYSTEM

- 6.6 The ability of the management to trawl exceptionally meritorious officers for fast-track career development is dependent on the effectiveness of the civil service performance appraisal system, i.e. whether it encourages a culture of honest reporting. The over-assessment of less meritorious officers may blur the judgment of a promotion board and deter its timely identification of those exceptionally meritorious officers who could otherwise be groomed under the fast-track career development system much earlier. As part and parcel of a robust performance management system to support succession planning, HoDs and their supervisory staff should be reminded of the importance of honest reporting and its impact on succession planning. The Commission will continue to observe the effectiveness of the various improvement initiatives introduced to further strengthen the staff performance management system in the civil service as detailed in Chapter 5.

## CAREER DEVELOPMENT AND POSTING PLANS

- 6.7 The Commission believes that it is equally important to devise clear career development and posting plans under a robust performance management system in support of succession planning. In the course of tendering advice on individual promotion exercises, the Commission has been reminding HoDs of their responsibility to arrange career postings for their staff to broaden their job knowledge and exposure as well as to further develop their leadership talent. HoDs are encouraged to adopt a more vigorous career posting plan and to make their posting policy more transparent to their staff. In those more extreme cases where career postings have not been arranged despite recommendations of the previous boards, the Commission has started a “bring up” system requiring the departments concerned to report progress in a specified period of say three to six months.

## 表现管理制度

- 6.6 管理层是否有能力网罗出类拔萃的人员以待加快栽培，关键在于公务员工作表现评核制度的成效，即该制度是否鼓励如实填写评核报告的文化。给予表现不够优秀的人员过高的评级，可能会妨碍晋升选拔委员会的判断，使真正表现卓越的人员未能先拔头筹，获得及时的栽培。健全的表现管理制度是接班计划中不能或缺的，部门首长及其督导人员必须紧记如实填写评核报告的重要性及其对接班计划的影响。委员会会继续留意详载于第五章为进一步加强公务员表现管理制度而推行的各项改善措施的成效。

## 事业发展及职位调派计划

- 6.7 委员会相信，为支持接班计划，根据健全的表现管理制度订定清晰的事业发展及职位调派计划同样重要。委员会就个别晋升选拔建议给予意见的过程中，一直提醒部门首长他们有责任为员工安排调职，以扩阔他们的工作知识和阅历，并进一步发展他们的领导才能。委员会鼓励部门首长采用更积极的职位调派计划，并加强其职位调派政策的透明度。在少数个案中，虽然先前的晋升选拔委员会曾建议安排某些人员调职，但部门至今未作安排。对于这些个案，委员会已推行“按时呈阅”制度，要求有关部门在指定期间(如三至六个月)内汇报进度。
- 6.8 在另一宗晋升选拔个案中，委员会留意到，两名长期在其现有职位担任一些非主流职务的人员，获七年前举行



6.8 In another promotion case, the Commission has noted that two officers, who had worked in their present posts responsible for some non-mainstream duties for a prolonged period, were recommended to be career posted for job enrichment purpose by the previous board held seven years ago. However, corresponding arrangement could not be made as the department was unable to identify suitable replacements to swap with the two officers. The Commission considers that the management's failure in arranging timely career posting for the two officers over the past few years was highly undesirable. As stated in its 2006 Annual Report, the management should always have the career interest of their staff in mind and strive to maintain a good balance between the career development needs of individual officers and the operational expediency of the department. An officer's claim for promotion or acting appointment should not be unduly affected by insufficient exposure through no fault of his own. The department was urged to arrange career posting for the two officers as soon as possible and to report progress in three months' time. Responding positively to the Commission's advice, the department subsequently arranged career posting for the two officers concerned to take up mainstream duties. The department also drew up some measures to facilitate more timely and regular career postings for its officers in the rank. For instance, the adoption of a more proactive posting policy by fixing three years as a normal tour of posting, early identification of replacements to ensure sufficient time for matching and provision of suitable training courses to replacements to equip them with the required knowledge and skills. Besides, the transparency of the career posting mechanism will be enhanced through different channels such as career interviews, etc.

6.9 As a general reminder, HoDs/HoGs should draw up career development and posting plans to groom officers identified for directorate succession at an early stage. The senior directorate should be reminded of their collective role as talent breeders and their responsibility to remind supervisors at all levels of the obligation to release staff for career posting,

的晋升选拔委员会推荐调职，以期扩大他们的工作领域。不过，有关部门由于未能找到合适的替任人员与该两名人员调职，故未能作出相应安排。委员会认为管理层数年来均未能为该两名人员及时安排调职极不可取。一如委员会的二零零六年年报所述，管理层应顾及职员的事业前途，力求在个别员工的事业发展需要及部门有效运作之间取得平衡。资历不足的问题，与人员本身无尤，其晋升或署任的机会不应因而受到影响。委员会敦促该部门尽快为该两名人员安排调职，并在三个月后汇报有关的进展。该部门积极回应委员会的意见，其后为该两名有关人员调职，安排他们担当主流职务。为了更及时和定期为该职级的人员安排调职，该部门亦制定了一些措施，例如采用更积极的职位调派政策，以三年为一般调职任期；及早物色替任人员以确保有足够时间为替任人员提供合适的培训课程，使他们具备所需的知识和技能。此外，该部门亦会循不同途径(如事业前途发展面谈)提高该职位调派机制的透明度。

6.9 一般来说，部门首长/职系首长应制订事业发展及职位调派计划，及早栽培有潜质接任首长级职位的人员。高层首长级人员须留意其培育人才的共同职责，亦有责任提醒各阶层的主管人员须顺应员工的职位调派安排，作出配合。未能遵办的主管人员，反映其员工管理和表现管理能力欠佳，这一点将会在评核有关主管人员是否适合晋升时，成为考虑因素。



falling which an adverse reflection of their staff and performance management competence would be taken into consideration when assessing their promotability.

### EXTENSION OF SERVICE OR RE-EMPLOYMENT AFTER RETIREMENT

6.10 To complement the efforts made on succession planning as reported above, the Commission has also adopted a stringent standard in considering applications for extension of service or re-employment after retirement. In the past two years, the Commission has raised concerns with the Administration that as a rule, officers should leave the service on retirement and applications for extension of service or re-employment after retirement should only be considered in exceptional circumstances to meet strong operational needs, subject to the officer's physical fitness, good conduct and performance as well as the consideration that his retention would not cause any promotion blockage in the lower ranks. Also, the extension or re-employment period, if approved, should be for a limited duration. Such qualifying considerations are conducive to the pursuit of vigorous succession plans by the Administration. In response to the Commission's concerns, CSB has completed a review and proposed some measures for better management of the further employment of officers beyond their retirement age in the civil service. The revised arrangements will be promulgated by CSB for service-wide adoption.

### IMPLEMENTING SUCCESSION PLANNING

6.11 It is encouraging to note that the Administration has taken positive steps to implement the strategy on succession planning. The Administration has stepped up Government Secretariat attachments for departmental grade officers to expose them to Bureau and Legislative Council businesses during the year. The Civil Service Training and Development

### 在退休后延任或重行受雇

6.10 为配合上文所述的接班策划工作，委员会已采用严格准则审议在退休后延任或重行受雇的申请。过去两年，委员会曾向当局提出，根据惯例，公务员一旦退休便应离职，只有在运作上有必要的例外情况下，才应考虑在退休后延任或重行受雇的申请，惟有关人员须健康和品行良好，工作表现令人满意，而且该员留任也不会阻碍较低职级人员晋升。此外，如延任或重行受雇的申请获批，任期也应设有时限。这些决定因素有助当局执行积极的接班计划。公务员事务局已就委员的关注事项作出检讨，并建议多项措施，以便更妥善管理公务员退休后的续聘事宜。公务员事务局会公布修订安排，供全体公务员采用。

### 推展接班计划

6.11 值得鼓舞的是当局积极为接班计划进行步署。委员会注意到，年内，当局为配合首长级职位的接班，已安排更多部门联系人员借调政府总部，让他们有机会接触决策局和立法会事务。公务员培训处会于二零零八年推行一项接任管理计划，以协助部门更有针对性地推展接班策划工作。该项接班管理计划分为两部分，第一部分的工作坊暨研讨会，会邀请采用良好接班策划措施的部门，分享他们的经验、栽培领袖的策略和模式、个中挑战和所知所识等。第二部分则是编制有关接班管理和人才培育的资料套。该资料套提供详尽指引，协助部门了解有

Institute (CSTDI) will launch in 2008 a Succession Management Project to assist departments to take forward succession planning in a more focused manner. The project comprises two parts i.e. the first part including workshop forums where departments with good record of succession planning initiatives will be invited to share their experience, their strategies and models on growing leaders, challenges and lessons learnt, etc. The second part includes developing an information pack on succession management and talent development. It is a comprehensive guide to advance departments' understanding of the essence of effective succession planning and management, and how departments can work towards this in the existing directorate succession planning system. Key issues of succession management and framework or model for talent development together with best practices and pitfalls to avoid will also be highlighted in the pack. Separately the CSTDI will proactively visit departments advising the senior management of any training and development needs of individual officers as identified in the succession planning context.

- 6.12 The Commission considers that through concerted efforts of all parties, including the Commission, CSB, policy bureaux and the departmental management, the message of the importance of good succession management would be rooted to yield positive results.

效策划和管理接班工作的要素，也让部门了解如何在现行首长级职位接班策划制度中，达致有关目标。资料套亦会介绍接班管理的重点事项、培育人才的架构或模式、最佳做法和应避免的错误。另外，公务员培训处会积极访问各部门，就有潜质接任首长级职位的个别人员的培训和发展需要，向高级管理阶层提供意见。

- 6.12 委员会认为只要委员会、公务员事务局、决策局和部门管理阶层各方齐心协力，定能令必须建立良好接班管理的重要讯息得以扎根，并产生积极成效。



7.1 Apart from advising on the filling of vacancies of the senior ranks of the service by recruitment and promotion, the Commission also advises on appointment matters relating to an officer's continuous employment or termination of his service. They cover cases of non-renewal or termination of agreements, offer of shorter-than-normal agreements, refusal or deferment of passage of probation or trial bar on conduct or performance grounds, early retirement of directorate officers under the Management Initiated Retirement (MIR)<sup>49</sup> Scheme and retirement in the public interest under section (s.) 12 of the Public Service (Administration) Order [PS(AO)]. In addition, the Commission advises on other appointment-related cases including those of extension of service or re-employment after retirement, secondment<sup>50</sup>, opening-up arrangement<sup>51</sup> and revision of terms of employment<sup>52</sup> of serving officers in the senior ranks<sup>53</sup> of the civil service. A statistical breakdown of cases advised by the Commission by category of these appointment matters is provided at *Appendix VI*.

7.1 除了就高级公务员职位空缺的招聘和晋选拔提供意见外，委员会亦就继续聘用或终止聘用公务员的聘任事宜提供意见。有关个案涵盖不获续约或终止合约、提供任期较正常为短的合约、因品行或表现问题而拒予或延长通过试用或试任关限、首长级人员根据补偿退休计划<sup>49</sup>提早退休，以及根据《公务人员(管理)命令》第12条为公众利益着想而退休等情况。此外，委员会亦就退休后延任或重行受雇、借调<sup>50</sup>、开放职位安排<sup>51</sup>，以及提供改订的聘用条款<sup>52</sup>予高级职的在职公务员<sup>53</sup>等其他与聘任有关的个案提供意见。委员会曾提供意见的个案按上述聘任事宜的类别划分的数字，载于附录VI。

<sup>49</sup> The MIR Scheme, first introduced in 2000, provides for the retirement of directorate officers on the permanent establishment to facilitate organisational improvement and to maintain the high standards expected of the directorate. It can be invoked on management grounds if the approving authority has been fully satisfied that:

(a) the retirement of an officer from his present office is in the interest of the organisational improvement of a department or grade; or  
(b) there would be severe management difficulties in accommodating the officer elsewhere in the service.

The officer concerned will be notified in advance and given the opportunity to make representations. A panel chaired by the Secretary for the Civil Service will consider each case following which the Commission's advice will be sought on the recommendation to retire these officers.

补偿退休计划在二零零零年首次推出。假如批准当局确信：

(a) 有关人员从现任职位退休，有助所属部门或职系在组织上作出改善；或  
(b) 管理上难以把有关人员安置在其他政府工作岗位；

便可根据管理理由，让首长级常额编制人员退休，以便在组织上作出改善和维持首长级人员应有的高水平。

有关人员会事先获得通知和给予机会作出申述。由公务员事务局局长主持的小组委员会会考虑每个个案，并会就建议这些人员退休一事徵询委员会的意见。

<sup>50</sup> Secondment is an arrangement to temporarily relieve an officer from the duties of his substantive appointment and appoint him to fill another office not in his grade on a time-limited and non-substantive basis. Normally, a department will consider a secondment to fill an office under its charge if it needs skills or expertise for a short period of time and such skills or expertise are only available from another civil service grade.

借调是暂时免除有关人员的实任职务，以有时限和非实任的方式，安排该员填补另一个不属于其本身职系的职位。一般而言，假如某部门在一段短时间内需要某些技能或专长来配合运作，而具备这些技能或专长的人员只能在另一个公务员职系中找到，该部门便会考虑借调有关人员填补辖下的职位。

<sup>51</sup> Under the opening-up arrangement, positions in promotion ranks occupied by agreement officers are opened up for competition between the incumbent officer and eligible officers one rank below. This arrangement applies to both overseas agreement officers who are permanent residents and are seeking a further agreement on locally modelled conditions, or other agreement officers applying for a further agreement on existing terms.

开放职位安排是指把合约人员所担任属于晋升级别的职位，开放给目前出任该职的人员及其他低一级的合资格人员竞逐。这项安排适用于本身是永久居民而又希望按本地模式条款续约的海外合约人员，以及申请按现行条款续约的其他合约人员。

<sup>52</sup> Officers serving on Local Agreement Terms or Locally Modelled Agreement Terms or Common Agreement Terms are eligible to apply for transfer to Local or Common Permanent and Pensionable Terms subject to (a) service need; (b) a Chinese language proficiency requirement if that is required for the efficient discharge of duties; (c) performance and conduct; and (d) physical fitness.

按本地合约条款或本地模式合约条款或划一合约条款受聘的人员，均有资格申请转为按本地或划一常额及可享退休金条款受聘，但须视乎下列各点而定：(a)服务需要；(b)申请人是否符合有关具有有效履行职务所需中文程度的规定；(c)申请人的表现及品行；以及(d)申请人的健康情况。

<sup>53</sup> They refer to those senior ranks under the normal appointment purview of the Commission (i.e. those attracting maximum monthly pay at MPS Pt. 26 (currently \$83,330) and above or equivalent). They exclude (i) the basic ranks of non-degree entry and non-professional grades with a maximum monthly salary at MPS Pt. 26 or above, and (ii) the judicial service, the Independent Commission Against Corruption and the disciplined ranks of the Hong Kong Police Force which are specifically outside the purview of the Commission.

这是指属委员会正常职权范围内聘任的高级人员(即月薪点达总薪级第26点(现为\$83,330元)或以上或同等薪点的人员)，当中不包括：(i)月薪点达总薪级第26点或以上属于非学位及非专业职系的基本职级人员；以及(ii)订明不在委员会职权范围内的司法机构人员、廉政公署人员及香港警务处纪律联系人员。



## RETIREMENT IN THE PUBLIC INTEREST UNDER SECTION (S.)12 OF THE PS(A)O

7.2 Retirement under s.12 of the PS(A)O is not a form of disciplinary action or punishment but pursued as an administrative measure in the public interest on the grounds of :

- (a) "persistent sub-standard performance" – when an officer falls to reach the requisite level of performance despite having been given an opportunity to demonstrate his worth; or
- (b) "loss of confidence" – when the management has lost confidence in the officer and cannot entrust him with public duties.

An officer who is to retire in the public interest will have his pension benefits deferred until the date he reaches his statutory retirement age.

7.3 As reported in the 2005 and 2006 Annual Reports, the Administration, in consultation with the Commission, implemented the new streamlined procedures for handling sub-standard performers under s.12 of the PS(A)O in October 2005. Under the new arrangement, the threshold for invoking s.12 action has been reduced from 12 to six months of unsatisfactory performance, improving further the timeliness in taking appropriate management action.

## 根据《公务人员(管理)命令》第12条为公众利益着想而退休

7.2 根据《公务人员(管理)命令》第12条退休，并非纪律行动，也不是惩罚，而是为公众利益着想，基于下列原因而采取的行政措施：

- (a) “工作表现持续欠佳” — 尽管已给予有关人员证明工作能力的机会，但他的表现仍未能达到要求；或
- (b) “失去信心” — 管方已对有关人员失去信心，不能再委派他执行公职。

为公众利益着想而退休的人员，其退休福利会延至他达到法定退休年龄当日才可享受。

7.3 一如二零零五年及二零零六年年报作出的汇报，公务员事务局在谘询过委员会后，在二零零五年十月实施新的简化程序，以便根据《公务人员(管理)命令》第12条处理工作表现欠佳人员。根据新安排，采取第12条的行动的工作表现欠佳时期下限，已由12个月缩短至六个月，使当局可及时采取适当的管理行动。



7.4 During the year, a total of 57 officers from 27 bureaux/ departments were put under close observation in the context of the s.12 procedures. Upon the Commission's advice, the Administration retired seven officers under s.12 including six on grounds of persistent sub-standard performance and one on loss of confidence. While 37 officers remained under close observation as at the end of the year, five officers were, on the other hand, taken off the watch-list after their performance had improved to the required standard. The other eight officers left the service for reasons including retirement and invaliding. With the concerted efforts of the Administration and the departmental management in striving for a better performance management with a view to putting the sub-standard performers on the right track, the Commission is pleased to note that there is a decrease in s.12 cases in 2007.

7.5 This notwithstanding, the Commission observed that in two s.12 cases, the officers' performance during the probationary period had not been very satisfactory but were allowed to pass the probationary bar and confirmed to permanent establishment. One of them was even allowed to pass the efficiency bar despite adverse comments on his performance. The Commission considers that in both cases, doubts on these two officers' suitability of passing the probation and efficiency bars should have been raised at the material time. Given their less than satisfactory probationary service, the departmental management should have at least extended their probationary period and deferred the passage of efficiency bar for a further observation of their performance. The Head of Grade's tolerance and confirmation to permanent establishment of someone who had difficulty in making the grade whilst on probationary service were highly undesirable. The Commission made

7.4 年内，27个局/部门辖下共57名人员根据第12条所订程序受到密切观察。当局在徵询委员会的意见后，根据第12条着令其中七名人员退休(六人因为工作表现持续欠佳，一人则因为当局对其失去信心)。不过，截至年底为止，仍有37名人员受到密切观察；另有五名人员因表现有所改善，达到应有水平，已从观察名单中除名；其余八名人员离职，原因包括退休，以及因丧失工作能力而遭着令退休。委员会欣悉，为使表现欠佳的人员重拾正轨，当局和部门管方致力提升工作表现管理，令二零零七年内须根据第12条采取行动的个案有所减少。

7.5 尽管如此，委员会注意到，在两宗须根据第12条采取行动的个案中，有关人员在试用期间的表现未如理想，但仍通过试用关限，并获确实聘任为常额编制人员。更甚者，其中一人即使工作表现备受劣评，仍通过了考绩关限。委员会认为，在两宗个案中，部门管方都应该在关键时间就有关人员是否适宜通过试用和考绩关限提出质疑。基于两人在试用期间表现不如理想，管方至少应延长他们的试用期，以及延迟通过考绩关限，以便进一步观察他们的工作表现。职系首长对试用期间表现未能达标的人员加以姑息，并确实聘任他们为常额编制人员是极之不当的做法。委员会已在二零零二年年报中，就一宗须根据第12条采取行动的个案，以及在二零零四年至二零零六年的三份年报中，就适当管理试用人员，提出类似的意见。委员会

similar observations on a s.12 case in its 2002 Annual Report and on the proper handling of probationers in its three previous Annual Reports from 2004 to 2006. The departments concerned have been reminded to take early action to terminate the service of those probationers who cannot survive the demands of the grade in accordance with Civil Service Regulation (CSR) 186(2)<sup>64</sup>.

- 7.6 The Commission will continue to draw attention to potential s.12 cases for departmental action in the course of vetting performance appraisal reports in connection with promotion exercises. It will also monitor closely departmental management's readiness in pursuing such an administrative action. Separately, while noting the significant reduction in the lead time required to complete a s.12 case as mentioned in paragraph 7.3 above, the Commission has suggested to the Administration that a review be conducted to assess the effectiveness of the streamlined s.12 procedures in the second half of 2008 after their implementation for three years. The Administration has responded positively to the suggestion.

已提醒有关部门及早采取行动，根据《公务员事务规例》第186(2)条<sup>64</sup>终止聘用未能符合职系要求的试用人员。

- 7.6 委员会在审核与晋升选拔有关的评核报告时，会继续留意或须根据第12条采取行动的个案，提醒部门采取适当跟进行动。委员会亦会密切监察部门管方是否果断地采取这项行政措施。另外，尽管上文第7.3段提到，根据第12条的程序处理一宗个案的所需时间已大幅减少，委员会已向当局建议，在二零零八年下半年对实施了三年的第12条精简程序的成效进行检讨。当局同意跟进建议。

<sup>64</sup>Under CSR 186(2), the appointment authority may, subject to the advice of the Commission, terminate the service of an officer on probationary terms or refuse the officer's passage of probation bar if he considers that, for reasons of general unsuitability of temperament, personal characteristics, misconduct, or inefficient performance of duties or for other reasons, the officer should not continue to hold office.

根据《公务员事务规例》第186(2)条，聘任当局如认为按试用条款聘用的人员因性情、品格欠佳，或行为不当，或办事效率欠佳，或其他原因而不应继续留任，可徵询公务员叙用委员会的意见，终止他的聘用，或拒绝批准他通过试用关。



8.1 The Commission plays a key role in providing independent and impartial advice to the Chief Executive (CE) on civil service discipline cases of all Category A officers under its purview<sup>55</sup>. Except those cases involving minor acts of misconduct where Heads of Department may initiate summary disciplinary action and issue warnings<sup>56</sup> to the officers concerned without recourse to formal disciplinary proceedings, formal disciplinary action under section (s.) 9 or 10 of the Public Service (Administration) Order [PS(A)O]<sup>57</sup> would be taken against the defaulting officer in the event of repeated minor misconduct or an act of serious misconduct. In the case of a criminal conviction, action under s.11 of PS(A)O<sup>58</sup> would be considered. With the exception of exclusions specified in the Public Service Commission Ordinance<sup>59</sup> and save in cases of summary disciplinary action involving the issue of warnings, the Administration is required under s.18 of PS(A)O to consult the Commission before inflicting any punishment<sup>60</sup> under s.9 to s.11 of PS(A)O<sup>61</sup> upon a Category A officer.

8.1 委员会的一项主要职责，是就所有在其职权范围内的甲类公务员<sup>55</sup>的纪律个案，向行政长官提供独立公正的意见。如果纪律个案涉及的不当行为性质轻微，部门首长无须诉诸正式纪律研讯，即可采取简易纪律处分行动和向涉案人员发出警告<sup>56</sup>。但是，如涉案人员屡犯轻微过失或作出严重不当行为，当局便会根据《公务人员(管理)命令》第9或第10条<sup>57</sup>采取正式纪律行动。至于刑事定罪的个案，当局会考虑根据《公务人员(管理)命令》第11条<sup>58</sup>采取行动。《公务人员(管理)命令》第18条规定，除《公务员叙用委员会条例》<sup>59</sup>订明不适用的人员的个案，以及发出警告的简易纪律处分行动个案外，当局在惩罚<sup>60</sup>受《公务人员(管理)命令》<sup>61</sup>第9至第11条制裁的甲类人员前，必须先徵询委员会的意见。

<sup>55</sup> According to the Public Service (Administration) Order [PS(A)O], officers appointed to and confirmed in established offices are classified as Category A officers. This covers virtually all officers except those on probation, agreement and those remunerated on the Model Scale I Pay Scale. At the end of 2007, the total number of Category A officers in the civil service was about 134 200, of whom 109 900 were under the Commission's purview insofar as disciplinary cases are concerned.

根据《公务人员(管理)命令》，获委任并已获确实受聘担任设定职位的人员，即属甲类人员。除了试用人员、合约人员和按第一标准薪级表支薪的人员外，甲类人员实际上包括了所有公务员。截至二零零七年年底，公务员内的甲类人员总数约为134 200人，当中109 900人归属委员会的职权范围(以纪律事宜计)。

<sup>56</sup> Verbal and written warnings are classified as summary disciplinary action which will normally debar an officer from promotion and appointment for one year. The Commission's advice is not required in summary disciplinary cases.

口头和书面警告均列作简易纪律处分行动，被警告的人员通常在一年内不会获得晋升或委任。采取简易纪律处分行动的个案，无须徵询委员会的意见。

<sup>57</sup> See Notes 4 and 5 on page 5.

请参阅第5页注4及5。

<sup>58</sup> See Note 6 on page 5.

请参阅第5页注6。

<sup>59</sup> See Note 8 on page 5.

请参阅第5页注3。

<sup>60</sup> Such punishments include reprimand, severe reprimand, reduction in rank, compulsory retirement and dismissal. Currently, a fine may also be imposed concurrently with these punishments (except reduction in rank and dismissal). See also Note 64 on fine.

这些惩罚包括谴责、严厉谴责、降级、迫令退休和革职。目前，当局处以这些惩罚(降级和革职除外)时可另加罚款。请同时参阅有关罚款事宜的注64。

<sup>61</sup> With the exception of certain members of disciplined services departments who are subject to the respective disciplined services legislation (i.e., Prisons Ordinance, Fire Services Ordinance, etc.), all civil servants are governed by disciplinary provisions in the PS(A)O.

除某些纪律部队人员受有关纪律部队法例(即《监狱条例》、《消防条例》等)约束外，所有公务员一律受《公务人员(管理)命令》的纪律条文规管。

8.2 To uphold a standard of conduct commensurate with the rising public expectations about the conduct and probity of civil servants, the Commission supports the Administration's resolute stance on the discipline front and the taking of expeditious action against any civil servant alleged of misconduct in order to achieve the desired punitive and deterrent effect. The resolute stance and expeditious action notwithstanding, the Commission is mindful that its advice on disciplinary cases must be based on the principles of equity, fairness and maintenance of broad consistency in punishment throughout the service. The relevant considerations include due reference to the nature and gravity of the misconduct or offence involved in each case, the officer's service record, any mitigating factors, whether there have been court proceedings and the level of punishment in precedent cases. Within the limits of broad consistency in punishment, the Commission is prepared to support a tougher stance on particular acts of misconduct, if considered necessary by some departments. For example, departments with a large number of frontline staff engaging in outdoor duties may need to adopt a higher standard of punishment for misconduct cases of unauthorised absence so as to achieve the necessary punitive effect on the defaulting officers and deterrent effect on their staff at large.

8.3 Before tendering its advice, the Commission will seriously consider the views and arguments put forth by both the Secretariat on Civil Service Discipline (SCSD) and the department. In case there is a difference in opinion on the level of punishment between the department and SCSD, the views of both parties would be submitted to the Commission for consideration.

8.2 为确保公务员的品格操守符合市民日益提高的期望，委员会支持当局以果断态度对待纪律事宜，迅速处理任何公务员被指称涉及不当行为的个案，以收惩前治后之效。虽然如此，委员会就纪律个案提供意见时，不忘坚守公平、公正和公务员处分总体一致的原则。其他考虑因素包括每宗个案所涉不当行为或罪行的性质和严重程度、涉案人员的服务记录、从宽处理的理由、是否涉及法律诉讼，以及以往案例惩罚的轻重。如有部门认为须以更严厉的态度对待某些不当行为，委员会乐于在不违背处分总体一致的原则下，予以支持。举例来说，有大量前线人员执行外勤职务的部门，可能须对擅离职守的不当行为实施较重惩罚，以给予涉案人员必要的惩治，并对其他人员起阻吓作用。

8.3 委员会在提供意见前，会认真考虑公务员纪律秘书处与有关部门所提交的观点和论据。秘书处与部门如对惩罚的轻重有异议，双方的观点均须提交委员会考虑。



## AN OVERVIEW OF DISCIPLINARY CASES ADVISED IN 2007

## 二零零七年委员会提供意见的纪律个案概况

8.4 The Commission advised on the punishment of 91 disciplinary cases in 2007 which, when read together with the 104 and 103 cases in 2005 and 2006 respectively, suggests a steady overall trend. It is also an extremely small number representing less than 0.1% of the 109 900 Category A officers under the Commission's purview.

8.4 二零零七年，委员会就91宗纪律个案提供意见，与二零零五年的104宗和二零零六年的103宗相比，整体情况变化不大；以委员会职权范围内的109 900名甲类人员计算，所占比例也极小，不足0.1%。

8.5 A breakdown of these 91 cases by misconduct or offence and the form of punishment is at *Appendix VII*. An analysis by salary group and penalty is at *Appendix VIII*. Of these 91 cases, 20 (22.0%) had resulted in the removal of the officers concerned from the service<sup>62</sup>. There were 44 (48.3%) cases resulting in "severe reprimand<sup>63</sup> plus fine<sup>64</sup>" which is the heaviest punishment next to removal from the service and reduction in rank. These figures bear testimony to the resolute stance that the Administration has taken against civil servants committing acts of misconduct. The chart below gives a breakdown of the 91 cases advised in 2007 by the punishment awarded.

8.5 这91宗个案按不当行为或罪行和惩罚方式划分的数字，载于附录VII。按薪金组别和惩罚方式作出的分析，载于附录VIII。在这91宗个案中，有20宗(占22.0%)所涉人员最终遭免职<sup>62</sup>；而处以“严厉谴责<sup>63</sup>另加罚款<sup>64</sup>”的个案则有44宗(占48.3%)。严厉谴责另加罚款，是免职与降级之下的最重惩罚。从这些数字可见，当局对行为不当的公务员绝不姑息。下表显示委员会在二零零七年提供意见的91宗个案按惩罚方式划分的数字。

<sup>62</sup> The punishment of removal from the service can take the form of compulsory retirement, compulsory retirement plus fine, or dismissal, depending on the gravity of the case. An officer who is compulsorily retired may be granted a pension, but payment of the pension will be deferred until he reaches his normal retirement age, i.e., 55 or 60 under the relevant pensions legislation. Dismissal is the most severe form of punishment as the officer forfeits his claims to all pension, gratuity and benefits.

免職懲罰有多種形式，包括迫令退休、迫令退休另加罰款，以及革職，視乎違紀嚴重程度而定。遭迫令退休的人員，仍可獲發退休金，但須延至正常退休年齡(即55歲或60歲，視乎有關退休金法例而定)才會獲發退休金。革職是最嚴重的懲罰形式，因為有關人員會喪失所有退休金、酬金及福利。

<sup>63</sup> A severe reprimand will normally debar an officer from promotion or appointment for three to five years. This punishment is normally recommended for more serious misconduct or for repeated minor misconduct/offences.

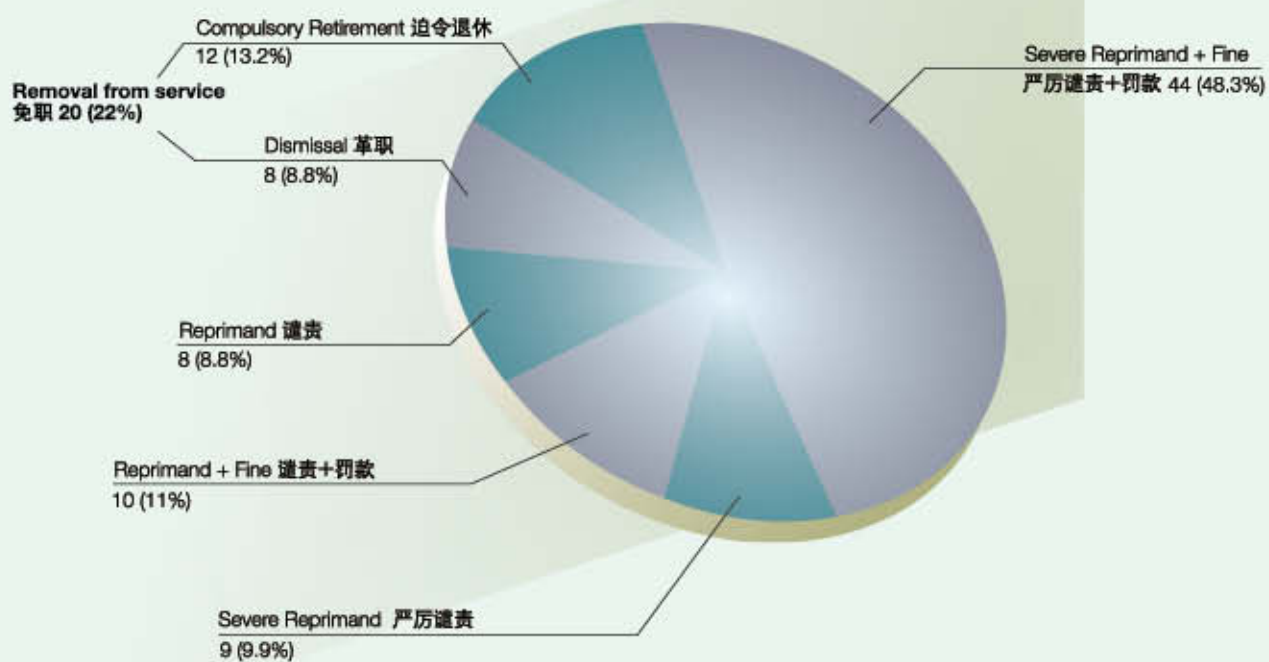
嚴厲譴責通常會令有關人員受到晉升和聘任方面的限制，為期三至五年。一般會建議向干犯較嚴重不當行為或屢犯輕微不當行為/罪行的人員施加這種懲罰。

<sup>64</sup> A fine may be imposed concurrently with other punishments when the punishment alone is inadequate but a higher level of punishment is not applicable or justified. Presently, a fine does not normally exceed two incremental points for 12 months, or its equivalent amount.

假如單單某種懲罰並不足夠，但較重懲罰並不適用或不合理，則會同時另加罰款。目前，罰款通常不超過每月扣減兩個增薪點(為期12個月)或相等的數額。

## DISCIPLINARY CASES ADVISED IN 2007 二零零七年委員會提供意見的紀律個案

### Breakdown by the Form of Punishment 按懲罰方式劃分的數字





## REVIEWS AND OBSERVATIONS OF MAJOR DISCIPLINARY ISSUES

8.6 Apart from providing independent and impartial advice on disciplinary cases, the Commission also oversees the operation of the disciplinary mechanism. In vetting departmental submissions, the Commission will identify issues of concern and initiate reviews and discussions with the Administration with a view to rationalising existing disciplinary policies or procedures and formulating new policies or procedures and benchmarks of punishment. The punishment benchmark and major issues reviewed in 2007, together with the observations and recommendations made by the Commission, are set out in the ensuing paragraphs.

### Criminal conviction cases involving a long custodial sentence

8.7 In a disciplinary case, a department recommended to retain an officer in the service by punishing him with a severe reprimand plus a fine after he had served, after conviction, an imprisonment sentence of a prolonged period of nine months. The case raises the following concerns:

- (a) the fundamental concern of whether, from an employer's angle, an officer sentenced to imprisonment for a considerable period should be tolerated; and
- (b) the practical concerns which include the appropriateness of allowing the long absence of an officer to serve an imprisonment sentence, the inconvenience and disruption which his absence could cause to the operation of the department concerned and the negative perception which a lenient punishment could give rise to.

## 对主要纪律事宜的检讨和相关的意见

8.6 委员会除了就纪律个案提供独立公正的意见外，还会监督纪律处分机制的运作。在审核部门建议时，委员会会留意值得关注的事宜，然后建议当局为此进行检讨和讨论，以期理顺现行的纪律处分政策或程序，并制订新政策或程序和惩罚尺度。下文各段载述在二零零七年检讨的惩罚尺度和主要事项，以及委员会的意见和建议。

### 涉及长期监禁刑罚的刑事判罪个案

8.7 在一宗纪律个案中，某名人员经定罪后被判处长达九个月的监禁刑罚。有关部门建议让该员在服刑后留任，但须对他处以严厉谴责和罚款的惩罚。这宗个案带出以下问题：

- (a) 基本的问题是，从雇主角度看，应否包容被判处长期监禁刑罚的人员；以及
- (b) 实际的问题是，容许有关人员因服刑而长期缺勤的做法是否恰当；该员缺勤可能对有关部门的运作造成不便和干扰；以及从宽处理可能令人产生负面的看法。

8.8 After review, the department concerned agreed to compulsorily retire the officer concerned. While there is no need to set a benchmark on the length of an imprisonment sentence that should warrant the consideration of a convicted officer's removal from the service, the Commission considers that a long imprisonment sentence of three months or more should trigger the Administration's serious consideration of the worthiness of retaining the officer in the service.

### Application of caution statement

8.9 To enhance the deterrent effect, the Administration may add a caution statement of removal from the service in the event of further misconduct when awarding a non-removal disciplinary punishment. In 2005 the Commission noticed with concern that the caution statement was added on top of the punishment as a matter of course. The Commission considered that the caution statement should be taken seriously rather than used indiscriminately. This matter was taken forward to the Administration for a review on the need for a stringent application of the caution statement. Upon review, the Administration announced in June 2005 that the caution statement would only be applied in cases of a serious nature that rendered the officers concerned liable to being removed from the service should further misconduct be committed. The Commission notes that the Administration has now rationalised the imposition of caution statement and it is used selectively for warranted cases only. Specifically, cases warranting a caution statement would be those attracting the severest punishment short of removal and the caution is meant to seriously remind the officer concerned that it is the last chance for him to prove his worthiness of remaining in the service.

8.8 经检讨后，有关部门同意迫令有关人员退休。尽管委员会认为无须厘订尺度，订明刑期要多久当局才须考虑把被定罪的人员免职，但如有关人员被判处长达三个月或以上的监禁刑罚，当局便须慎重考虑是否值得让该员留任。

### 告诫字句的应用范围

8.9 为加强阻吓作用，当局对被裁定干犯不当行为或刑事罪行的人员作出纪律惩处时，或会在有关信件内加入告诫字句，申明如该员再度行为失当，即行免职。在二零零五年，委员会关注到，当局作出惩处时，例必加入告诫字句。委员会认为应慎重使用而非滥用告诫字句，并请当局检讨是否须收紧这些字句的应用范围。经检讨后，当局在二零零五年六月公布，只有在严重的个案中，当有关人员再度干犯不当行为，便有可能被免职的情况下，才使用告诫字句。委员会注意到，当局现已理顺使用告诫字句的情况，只限在有必要时才使用。具体来说，有必要使用告诫字句的情况，是那些受到免职以外最严厉惩处的个案。提出告诫旨在向有关人员严正申明，这是最后的一次机会，让他留任证明自己仍是可用之材。



## Reporting of non-duty-related offence of "careless driving"

## 上报与公务无关的“不小心驾驶”罪行

8.10 As mentioned in the Commission's 2006 Annual Report, under existing practice, so long as the non-duty-related offence committed by an officer relates to "careless driving" alone with no casualty involved, the officer would not be punished under s.11 of PS(A)O. However, the officer is still required under s.13(1) of the Public Service (Disciplinary) Regulation (PS(D)R)<sup>65</sup> to report the relevant criminal proceedings to his Head of Department (HoD) for consideration of disciplinary punishment under s.11 of PS(A)O. As such offences are not duty, conduct or integrity related and the image of government should not be adversely affected, the Commission is of the view that so long as no other offences are involved and the officers concerned are not driving government vehicles when committing the offence, they should be relieved of the psychological burden of having to report the related proceedings and to await the Administration's decision as to whether they should be punished.

8.11 The Commission has asked the Administration to consider blanket exemption of such cases from the application of s.13(1) of PS(D)R and s.11 of PS(A)O. In other words, an officer against whom criminal proceedings for non-duty-related "careless driving" have been instituted should be exempted from the filing of a report to his HoD, neither would conviction on such "careless driving" require any follow-up action by departments.

8.12 After review, the Administration has come up with a proposal to exempt from the reporting requirement all types of traffic offences, careless driving included, subject to certain conditions to be finalised after staff consultation. The Administration is firming up the policy change and will amend the PS(D)R before implementing the new arrangement.

8.10 一如委员会二零零六年年报所述，按照现行做法，公务员如果只触犯与公务无关的“不小心驾驶”罪行，而事件中无人伤亡，当局便不会根据《公务人员(管理)命令》第11条对该员施加惩罚。不过，根据《公务人员(纪律)规例》第13(1)条<sup>65</sup>，该员仍须向所属部门首长上报有关的刑事法律程序，以供考虑是否根据《公务人员(管理)命令》第11条作出纪律处分。由于这类罪行与公务、操守或诚信无关，应不会损害政府形象，委员会认为，只要没有其他罪行牵涉在内，而有关人员在事发时又并非驾驶政府车辆，他们应可免除精神负担，无须上报有关程序和等候当局决定是否作出惩罚。

8.11 委员会已要求当局考虑就这类个案给予划一豁免，无须根据《公务人员(纪律)规例》第13(1)条和《公务人员(管理)命令》第11条处理。换言之，有关人员如因触犯与公务无关的“不小心驾驶”罪行而被提起刑事法律程序，应获豁免向所属部门首长呈报；如该员被裁定上述“不小心驾驶”罪名成立，所属部门也无须采取任何跟进行动。

8.12 经检讨后，当局建议各类交通违例事项(包括不小心驾驶)可获豁免，无须上报，惟须符合若干条件，而这些条件将在谘询员工后敲定。当局于落实政策改变后，随即会修订《公务人员(纪律)规例》，然后才实施新的安排。

<sup>65</sup> Under s.13(1) of PS(D)R, an officer against whom criminal proceedings are being instituted is required to report the fact to his HoD.  
根据《公务人员(纪律)规例》第13(1)条，如有刑事法律程序针对任何人员提起，该人员须将该事实向其部门的首长报告。



## Proposed imposition of an intermediate tier of punishment between dismissal and compulsory retirement

8.13 As mentioned in previous annual reports of the Commission, the suggestion of an additional tier of punishment between dismissal and compulsory retirement has been under review by the Administration<sup>66</sup>. After careful deliberation, the Administration maintains that such an intermediate tier would not be necessary. It proposes instead that the greater use of reduction in rank or reduction in salary may achieve a more substantive and sustained punitive effect. The Commission accepts such conclusions.

## Punishment framework for officers under the Civil Service Provident Fund Scheme

8.14 The Administration is making good progress in developing a framework for determining different tiers of disciplinary punishment applicable to officers under the Civil Service Provident Fund Scheme<sup>67</sup>. The Administration has sought the preliminary views of the Commission on the proposed framework on the premise that it should be broadly comparable to that currently applied to pensionable staff. The Commission supports generally the proposed framework and has asked the Administration to present to it the finalised framework after consulting the departmental management and the staff sides.

## 在革职与迫令退休之间增加惩罚级别的建议

8.13 正如委员会过往年报所述，当局一直就有关在革职和迫令退休之间增设惩罚级别的建议，进行检讨<sup>66</sup>。经详细审议后，当局认为无必要加设惩罚级别，但提议较多以降级或减薪作为惩罚，这样所起的惩戒作用可能更大和更持久。委员会接纳当局的结论。

## 按公务员公积金计划条款受聘的人员的纪律处分制度

8.14 当局正为按公务员公积金计划<sup>67</sup>条款受聘的人员，拟定一套厘定不同级别纪律处分的制度，这项工作进展良好。在拟议制度须与适用于可享退休金人员的现行纪律处分制度大致相若的前提下，当局初步微询了委员会对拟议制度的意见。委员会大致支持拟议制度，并要求当局在谘询部门管理层和员方后，向委员会提交敲定的制度方案。

<sup>66</sup> The Commission had raised before the suggestion of an additional tier of punishment between compulsory retirement and dismissal to provide for the imposition of a reduced pension in cases bordering on dismissal. There was then the concern that in certain misconduct cases it could either be too harsh to dismiss an officer, because he would lose all pension benefits, or too lenient to compulsorily retire an officer who would be entitled to retain his pension benefits on reaching normal retirement age.

委员会曾建议在迫令退休和革职之间增设惩罚级别，以便对或可判处革职的个案实施扣减退休金惩罚。委员会当时的关注是就某些不当行为个案而言，把涉案人员革职可能过于严厉，因为他会丧失所有退休金利益；而迫令涉案人员退休则可能过于宽松，因为他在达至正常退休年龄时仍可享有退休金利益。

<sup>67</sup> Civil Service Provident Fund Scheme is applicable to officers who joined the service under the new entry system on or after 1 June 2000 and have been confirmed to the permanent establishment.

公务员公积金计划适用于二零零零年六月一日或之后按新入职制度受聘并已获实聘为常额编制人员者。



9.1 In 2007, the Chairman and Members of the Commission visited the Government Laboratory, the Post Office and the Hong Kong Observatory to exchange views with the top management of these departments on issues of mutual interest as well as to promote good Human Resource Management practices. During the visits, the Chairman and Members also toured the Biochemical Science Sections of the Government Laboratory, the Inward Sorting Office of the Post Office and the Central Forecasting Office of the Hong Kong Observatory to observe the daily operation of these departments and the services provided by them.

9.2 The Commission continued to maintain close ties with relevant organisations in the Mainland in 2007. Three delegations of civil servants, including one from the Wuhan city and two from the Shenzhen city, visited the Commission Secretariat. They were briefed on the role, functions and work of the Commission. A wide range of topics on civil service appointment and discipline were discussed and views exchanged.

9.1 年内，委员会主席联同委员访问了政府化验所、邮政署和香港天文台，与这些部门的高层管理人员就共同关注的课题交换意见，并藉此机会推广良好的人力资源管理方法。在访问期间，主席与各委员参观了政府化验所生化组、邮政署入口信件分拣组和香港天文台天气预测总部，得以亲睹这些部门的日常运作和提供服务情况。

9.2 年内，委员会继续与内地的有关机构保持紧密联系。委员会秘书处接待了三个公务员代表团（一个来自武汉市，两个来自深圳市），除简介委员会的角色、职能和工作外，也就各项关于公务员聘任和纪律的议题，与代表团成员进行讨论，交流意见。



Mr Nicholas Ng (second left), Chairman of the Public Service Commission, accompanied by Dr. TING Tai Lun (first right), Government Chemist visited the Government Laboratory.

公务员叙用委员会主席吴荣奎先生(左二)，在丁大伦博士(右一)，政府化验师陪同下参观政府化验所。

Mr Nicholas NG (first right), Chairman of the Public Service Commission, Miss Eliza CHAN (second left) and Ms WONG Mee-chun (first left), Members of the Commission, accompanied by Mr LAM Chiu Ying (second right), Director of the Hong Kong Observatory visited the Hong Kong Observatory.

公务员叙用委员会主席吴荣奎先生(右一)与委员陈清霞女士(左二)和黄美春女士(左一)在林超英先生(右二)香港天文台台长陪同下参观香港天文台。



Mr Nicholas Ng (second right), Chairman of the Public Service Commission, and Mr Brian Stevenson (first left), Member of the Commission, accompanied by TAM Wing Pong (third left), Postmaster General visited the Hong Kong Post Office.

公务员叙用委员会主席吴荣奎先生(右二)与委员施文信先生(左一)在谭荣邦先生(左三)香港邮政署长陪同下参观香港邮政。



10.1 The Commission would like to express its sincere gratitude to the Secretary for the Civil Service and her staff for their continued support and assistance in all areas of its work. The Commission also warmly acknowledges the ready co-operation and understanding shown by Permanent Secretaries, Heads of Department and their senior staff in responding to the Commission's enquiries and suggestions during 2007.

10.2 As always, the staff of the Commission Secretariat have continued to provide unfailing support to the Commission by working most efficiently and maintaining a very high standard in vetting departmental submissions. The Chairman and Members of the Commission wish to place on record their appreciation to the Secretary of the Commission and her team for their steadfast work and contribution.

10.1 公务员事务局局长及属下人员不断鼎力支持，并协助委员会各方面的工作，委员会谨此衷心致谢。年内，各常任秘书长、部门首长及高层人员对委员会的提问和建议给予衷诚合作，理解有加，委员会在这里也一并致谢。

10.2 一如以往，委员会秘书处职员继续向委员会提供全力支援，在审核部门建议方面，克尽厥职，表现卓越，主席与各委员谨此表扬他们的贡献。

### Submissions with Revised Recommendations after the Commission Secretariat's Observations 委员会秘书处提供意见后曾作修订的建议

Category 类别	Open/ In-service Recruitment 公开 / 内部招聘	Promotions/ Acting Appointments 晉升 / 署任职位	Continuous Employment/ Termination of Service 延任 / 不予续聘 <sup>68</sup>	Other Appointment- related Submissions 其他聘任 相关个案 <sup>69</sup>	Discipline 紀律	Total 總數
Number of submissions advised on 曾提供意见的建议	155	526	25	98	91	895
(a) Number of submissions queried 曾提出质疑的建议	15	275	1	17	13	321
(b) Number of submissions with revised recommendations following queries 在提出质疑后作出修订 的建议	4	105	1	3	8	121
(b) / (a)	27%	38%	100%	18%	62%	38%
Comparison with Previous Years 與過去數年的比較						
Year 年份		2005	2006	2007		
Total No. of submissions advised on 曾提供意见的建议		765	892	895		
(a) Submissions queried 曾提出质疑的建议		245	278	321		
(b) Submissions with revised recommendations following query 在提出质疑后作出修订的建议		117	115	121		
(b) / (a)		48%	41%	38%		

<sup>68</sup> Continuous employment/termination of service cases cover non-renewal, offer of shorter-than-normal agreements, deferment/refusal of passage of probation/trial bar on conduct/performance grounds, early retirement of directorate officers under the Management Initiated Retirement Scheme and compulsory retirement under s.12 of the Public Service (Administration) Order.

延任/不予续聘的个案包括不获续约、提供任期较正常为短的合约、新聘人员因品行/表现问题而遭延长/拒予通过试用/试任关限、首长级人员根据补位退休计划提早退休，以及根据《公务人员(管理)命令》第12条为公众利益着想而迫令退休。

<sup>69</sup> Other appointment-related submissions cover renewal/extension of agreements under the old/new entry system, extension of service/re-employment after retirement, review of acting appointments made to meet operational needs, opening-up, secondment, revision of terms of employment and updating of Guides to Appointment.

其他聘任相关个案包括在新/旧入职制度下续约/延长合约期、退休后延任/重行受雇、覆检署任安排以符合运作需要、开放职位安排、借调、修订聘用条款和更新《聘任指南》。



CURRICULA VITAE OF THE CHAIRMAN  
AND MEMBERS OF THE PUBLIC SERVICE COMMISSION  
委员会主席及委员简介



**Mr Nicholas NG Wing-fui, GBS, JP**

*Chairman, Public Service Commission  
(appointed on 1 May 2005)*

*Occupation: Chairman, Public Service Commission*

*Qualification: B.Soc.Sc. (Hons) (HKU), F.C.I.S.,  
F.C.S.*

Mr Ng was a veteran civil servant. He joined the Administrative Service in 1971. Senior positions he held prior to his retirement include Deputy Secretary for the Civil Service (Staff Management) (1985 - 1987), Secretary-General of the Standing Commission on Civil Service Salaries and Conditions of Service (1989 - 1991), Director of Administration of the Chief Secretary's Office (1991 - 1994), Secretary for Constitutional Affairs (1994 - 1997) and Secretary for Transport (1997 - 2002).

**吴荣奎先生·GBS·JP**

*委员会主席*

*(二零零五年五月一日获委任)*

*职业：公务员叙用委员会主席*

*学历：香港大学荣誉社会科学学士，  
英国特许秘书及行政人员公会  
资深会员、香港特许秘书公会  
资深会士*

吴荣奎先生是资深公务员。他在一九七一年加入政务联系，退休前担任的高级职位计有副铨叙司(人事管理)(一九八五至八七年)、公务员薪俸及服务条件常务委员会秘书长(一九八九至九一年)、布政司办公室辖下行政署长(一九九一至九四年)、宪制事务司(一九九四至九七年)及运输局局长(一九九七至二零零二年)。



**Miss Eliza CHAN Ching-har, GBS, JP**

*Member, Public Service Commission  
(appointed from 1 December 2001 to  
30 November 2007)*

*Occupation: Senior Partner of Jewkes Chan &  
Partners, solicitors and directorships  
in several companies*

*Qualification: LL.B., B.Sc., Diploma in PRC Law*

Miss Chan is the Chairman of the Kowloon Hospital and the Hong Kong Eye Hospital. She is a Council Member of the Hong Kong University of Science and Technology, a Standing Committee Member of the Tianjin Committee of the Chinese People's Political Consultative Conference, a China-Appointed Attesting Officer appointed by the Ministry of Justice of the People's Republic of China, an arbitrator of the China International Economic and Trade Commission, the Foreign Economic Affairs Legal Counsel for the Tianjin Municipal Government and the legal adviser to the Hong Kong Chinese Enterprises Association. She serves as a Member of the Administrative Appeals Board and a Disciplinary Panel Member of the Hong Kong Institute of Certified Public Accountants. She is also the Chairman of the University of Victoria (HK) Foundation Ltd. and the Governor of the Canadian Chamber of Commerce in Hong Kong.

**陈清霞女士·GBS·JP**

*委员会委员*

*(任期由二零零一年十二月一日至  
二零零七年十一月三十日)*

*职业：祖伟仕律师行的高级合伙人，  
多家公司的董事*

*学历：法学士、理学士，  
中国法律文凭*

陈女士是九龙医院和香港眼科医院的主席。她是香港科技大学校董会成员、中国人民政治协商会议天津市委员会常务委员、中国司法部委托公证人、中国国际经济贸易仲裁委员会的仲裁员、天津市人民政府对外经济法律顾问，以及香港中国企业协会的法律顾问。此外，她也是行政上诉委员会委员、香港会计师公会纪律小组成员、维多利亚大学基金会主席和香港加拿大商会董事。





### Mr Simon IP Sik-on, JP

*Member, Public Service Commission  
(appointed on 23 May 2003)*

*Occupation: Businessman*

*Qualification: Solicitor of Supreme Court  
of Hong Kong*

Mr Ip is a Member of the Board of Stewards of the Hong Kong Jockey Club and an Independent Non-Executive Director of Hang Lung Group Limited. Mr Ip is also a Member of the Advisory Committee on Post-retirement Employment, the Exchange Fund Advisory Committee, the Hang Seng Index Advisory Committee and the AIDS Foundation Advisory Board. He also serves as an Honorary Court Member of the Hong Kong University of Science and Technology, an Honorary Lecturer in the Department of Professional Legal Education of the University of Hong Kong, an Honorary Research Fellow of the Faculty of Law of Tsinghua University, Beijing and an Honorary Fellow of the Management Society for Healthcare Professionals.

### 叶锡安先生·JP

*委员会委员*

*(二零零三年五月二十三日获委任)*

*职业：商人*

*学历：香港最高法院律师*

叶先生是香港赛马会董事，以及恒隆集团有限公司的独立非执行董事。他同时是退休公务员就业申请咨询委员会委员、外汇基金咨询委员会委员、恒生指数咨询委员会成员，以及香港爱滋病基金会顾问委员会的成员。此外，他也是香港科技大学顾问委员会荣誉委员、香港大学法律专业学系荣誉讲师、北京清华大学法学院研究顾问，以及医疗管理学会荣誉院士。



### Mr Michael SZE Cho-cheung, GBS, JP

*Member, Public Service Commission  
(appointed on 1 February 2004)*

*Occupation: Independent Non-Executive Director  
of Swire Pacific Ltd. and  
Non-Executive Director of  
Lee Kum Kee Co. Ltd.*

*Qualification: B.A.(Hons) (HKU)*

Mr Sze is a Member of the Operations Review Committee of the Independent Commission Against Corruption (ICAC). He was a career civil servant and joined the Administrative Service in 1969. In a career of some 26 years, he headed a number of Departments and Policy Branches. He retired from the post of Secretary for the Civil Service in 1996 to be Executive Director of Hong Kong Trade Development Council. He retired from this position in May 2004.

### 施祖祥先生·GBS·JP

*委员会委员*

*(二零零四年二月一日获委任)*

*职业：太古股份有限公司独立非执行  
董事、李锦记有限公司非执行  
董事*

*学历：香港大学荣誉文学士*

施先生是廉政公署审查贪污举报咨询委员会的成员。他终生为香港政府服务，一九六九年加入政务职系，在约26年的公务员生涯中，曾任多个部门和决策科首长。他退休前担任公务员事务司，一九九六年退休后转任香港贸易发展局总裁，二零零四年五月离任。



### Mr Thomas Brian STEVENSON, SBS, JP

*Member, Public Service Commission  
(appointed on 1 February 2004)*

*Occupation: Businessman*

*Qualification: CA (Scotland), LL.B (Glasgow),  
LL.M (HKU)*

Mr Stevenson is a Non-Executive Director of the Hong Kong and Shanghai Banking Corporation Limited and the MTR Corporation Limited and a Member of the Asia Pacific Advisory Board of BT. He is also a Member of the Board of Stewards of the Hong Kong Jockey Club.

### 施文信先生·SBS·JP

*委员会委员*

*(二零零四年二月一日获委任)*

*职业：商人*

*学历：特许会计师(苏格兰)、  
格拉斯哥大学和香港大学法学  
学位*

施文信先生是香港上海汇丰银行有限公司和香港铁路有限公司的非执行董事，也是英国电讯亚太咨询委员会委员和香港赛马会董事。





**Mr Nicky LO Kar-chun, JP**

*Member, Public Service Commission  
(appointed on 1 February 2006)*

*Occupation: Businessman*

*Qualification: B.Sc.(Hons) (HKU)*

Mr Lo is the President and Chief Executive Officer of Synnex Technology International (HK) Limited. He is also the Chairman of the Standing Commission on Civil Service Salaries and Conditions of Service, and a Member of the Standing Committee on Directorate Salaries and Conditions of Service.

**罗家骏先生, JP**

*委员会委员*

*(二零零六年二月一日获委任)*

*职业: 商人*

*学历: 香港大学荣誉理学士*

罗先生是联强国际(香港)有限公司总裁兼执行长。他也是公务员薪俸及服务条件常务委员会主席,以及首长级薪俸及服务条件常务委员会委员。



**Mrs Mimi CUNNINGHAM KING Kong-sang**

*Member, Public Service Commission  
(appointed on 1 February 2006)*

*Occupation: Director-Human Resource,  
Kowloon Canton Railway  
Corporation/Director-Special Duties,  
MTR Corporation Limited.*

*Qualification: B.A. (Hons) (HKU), MBA (CUHK),  
MA (University of London)*

**简金港生女士**

*委员会委员*

*(二零零六年二月一日获委任)*

*职业: 九广铁路公司人力资源总监/  
香港铁路有限公司总监(特别  
职务)*

*学历: 香港大学荣誉文学士、香港  
中文大学工商管理硕士、  
伦敦大学文学硕士*



**Ms WONG Mee-chun, JP**

*Member, Public Service Commission  
(appointed on 1 July 2006)*

*Occupation: Consultant*

*Qualification: B.Sc.(Econ)(LSE, London),  
ACA (England and Wales)*

Ms Wong is a Member of the ICAC Complaints Committee, Solicitors' Disciplinary Tribunal Panel, Administration Appeal Tribunal Panel and Standing Committee on Disciplined Services Salaries and Conditions of Service. She is also an Independent Non-Executive Director of Excoel Technology International Holdings Limited.

**黄美春女士, JP**

*委员会委员*

*(二零零六年七月一日获委任)*

*职业: 顾问*

*学历: 伦敦大学伦敦政治经济学院理  
学士(经济学)、英格兰及威尔士  
特许会计师公会会员*

黄女士是廉政公署事宜投诉委员会、律师纪律审裁团、行政上诉委员会和纪律人员薪俸及服务条件常务委员会成员,也是志鸿科技国际控股有限公司的独立非执行董事。



**Prof CHAN Yuk-shee, BBS, JP**

*Member, Public Service Commission  
(appointed on 1 December 2007)*

*Occupation: President of the Lingnan University  
Qualification: BBA (CUHK), MBA (UC at Berkeley),  
MA (Econ) (UC at Berkeley),  
PhD (Business Administration –  
Finance) (UC at Berkeley)*

Prof Chan is the Chairman of the Advisory Committee on Social Work Training and Manpower Planning and a Member of the Process Review Panel for the Securities and Futures Commission. He is also an Independent Non-Executive Director of Sa Sa International Holdings Limited.

**陈玉树教授, BBS, JP**

*委员会委员*

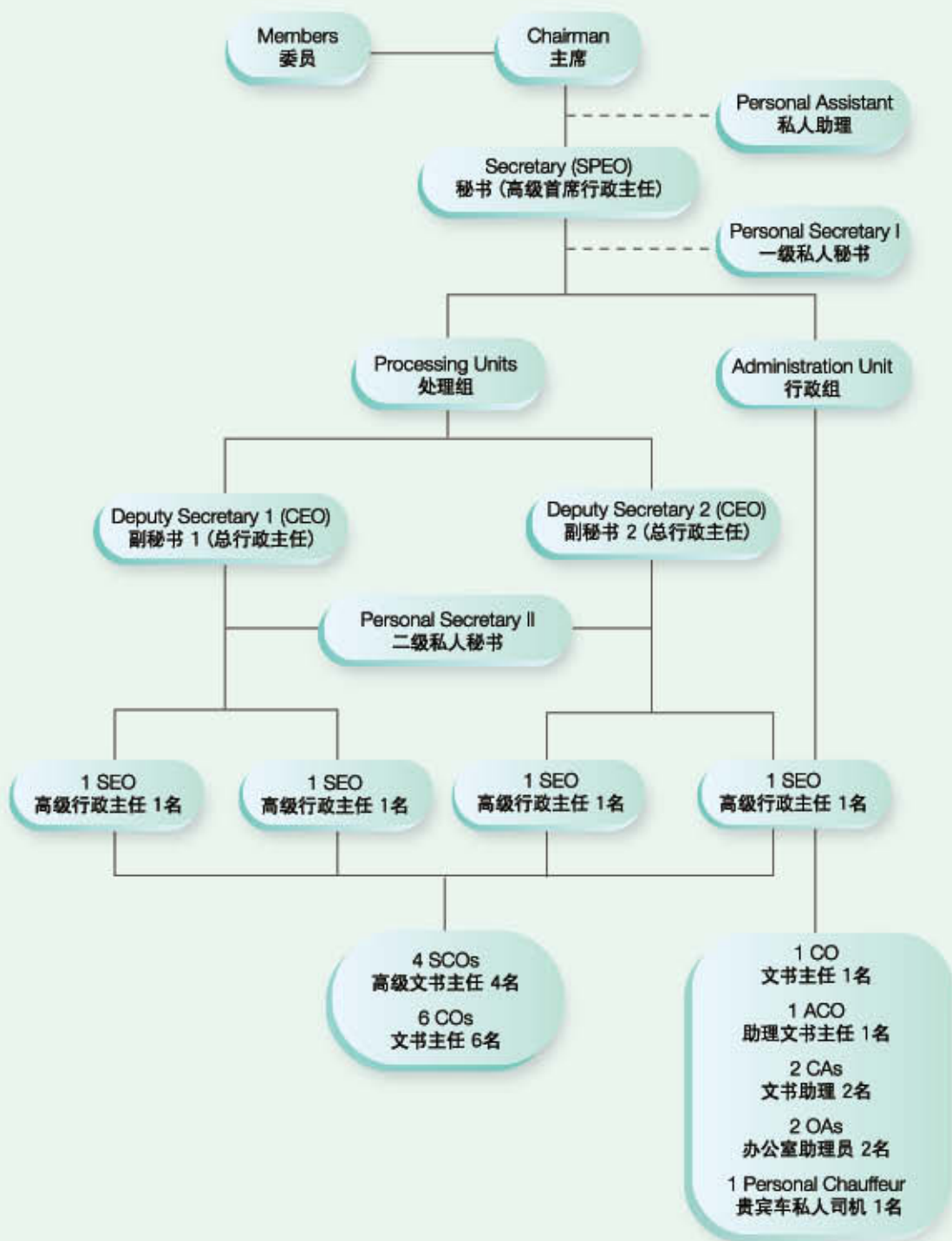
*(二零零七年十二月一日获委任)*

*职业: 岭南大学校长*

*学历: 香港中文大学工商管理学士、  
柏克莱加州大学工商管理  
硕士、柏克莱加州大学经济学  
文学硕士、柏克莱加州大学  
财务学哲学博士*

陈教授是社会工作训练及人力策划咨询委员会主席、证券及期货事务监察委员会程序覆检委员会成员,同时也是莎莎国际控股有限公司的独立非执行董事。

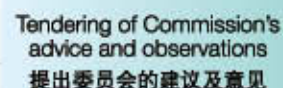
Organisation Chart of the Public Service Commission Secretariat  
公务员敍用委员会秘书处组织架构图



編制		Legend	
Directorate Executive Officer 首长级行政主任	1	SPEO - Senior Principal Executive Officer	
Executive Officer Grade 行政主任职系	6	CEO - Chief Executive Officer	
Clerical Grade 文书人员职系	16	SEO - Senior Executive Officer	
Secretarial Grade 秘书职系	3	SCO - Senior Clerical Officer	
Chauffeur Grade 贵宾车司机职系	1	CO - Clerical Officer	
	<u>27</u>	ACO - Assistant Clerical Officer	
		CA - Clerical Assistant	
		OA - Office Assistant	



### 晋升选拔个案审核程序流程图



<b>Number of Appointees (by Terms of Appointment) in the Open and In-service Recruitment Exercises in 2007 二零零七年公开和内部招聘人数 (按聘用条款列出)</b>	
Open Recruitment 公开招聘	Number of appointees 受聘人数
• on probationary terms 按试用条款受聘	534
• on agreement terms 按合约条款受聘	9
• on transfer (between departments or grades) 转职 (部门或职系之间)	39
Sub-total 小计	582
In-service appointment 内部招聘	
• on trial terms 按试任条款受聘	92
• on probationary terms 按试用条款受聘	1
• on local agreement terms 按本地合约条款受聘	1
Sub-total 小计	94
Total 合计	676

<b>Comparison with figures in previous years 与过去数年的数字比较</b>			
Year 年份	No. of Local Candidates Appointed 聘用的本地应征者人数	No. of Non-permanent Residents Appointed 聘用的非永久性居民人数	Total 合计
2007	674	2	676
2006	396	-	396
2005	223	-	223
2004	90	2	92



<b>Other Civil Service Appointment Matters Advised by the Commission in 2007</b> <b>(Breakdown by Category)</b> <b>二零零七年征询委员会意见的其他公务员聘任事宜 (按类别划分)</b>	
Other Civil Service Appointment Matters 其他公务员聘任事宜	Number of submissions 个案数目
Non-renewal of agreement 不获续约	3
Offer of shorter-than-normal agreements 提供任期较正常为短的合约 <ul style="list-style-type: none"> <li>• on performance/conduct ground (4) 因工作表现/品行操守问题 (4)</li> <li>• to tie in with the 60th birthday of the officers concerned<sup>70</sup> (2) 以配合有关人员的60岁生日<sup>70</sup> (2)</li> </ul>	6
Renewal or extension of agreement 续约或延长合约期	10
Refusal of passage of probation bar 拒予通过试用关限	4
Deferment of passage of trial bar 延长试任关限	4
Deferment of passage of probation bar 延长试用关限	5
Early retirement of directorate officers under the Management Initiated Retirement Scheme 首长级人员根据补偿退休计划提早退休	2
Retirement under Section 12 of Public Service (Administration) Order on persistent substandard performance ground 因工作表现持续欠佳而根据《公务人员 (管理)命令》第12条退休	7
Extension of service or re-employment after retirement 退休後延任或重行受僱 <ul style="list-style-type: none"> <li>• Directorate officers (1) 首长级人员 (1)</li> <li>• Non-directorate officers (6) 非首长级人员 (6)</li> </ul>	7
Secondment 借调	7
Opening-up Arrangement 开放职位安排	9
Revision of terms of employment 修订聘用条款	4

<sup>70</sup> Under Civil Service Regulations 280 and 281, the further employment of an agreement officer beyond the age of 60 will not be considered other than in very exceptional circumstances.

根据《公务员事务规例》第280及281条，除非在非常例外的情况下，合约公务员在年满60岁后，不会获考虑继续聘用。

**Disciplinary Cases Advised by the Commission in 2007**  
**Breakdown by Category of Misconduct/Offence and Punishment**

二零零七年征询委员会意见的纪律个案  
按不当行为/刑事罪行类别和惩罚方式划分的数字

Punishment 懲罰方式	Category of Misconduct/Offence 不當行為/刑事罪行類別						Total 合計
	Traffic related offences 違反交通規則的個案	Theft 盜竊罪行	Crimes conviction not under columns 1 and 2* 第一及第二欄以外的刑事定罪個案*	Negligence, failure to perform duties or follow instruction, supervisory accountability and insubordination 疏忽職責、不履行職責或不遵照指示、監督不力及不服從上級	Unpunctuality, unauthorised absence, abscondment 不守時擅離職守棄職潛逃	Other Misconducts** 其他不當行為**	
Dismissal 革職	-	0	3	-	5	0	8
Compulsory Retirement 迫令退休	-	1	3	1	4	3	12
Lesser Penalty 較輕微的懲罰	4	2	6	9	20	30	71
<b>Total 合計</b>	<b>4</b>	<b>3</b>	<b>12</b>	<b>10</b>	<b>29</b>	<b>33</b>	<b>91</b>

Note 註: (a) The Commission advised on 91 disciplinary cases in 2007.

委員會在二零零七年就91宗紀律個案提供意見。

(b) 19 of the 91 disciplinary cases followed upon conviction.

在91宗紀律個案之中，有19宗是當事人被法庭裁定罪名成立後予以懲罰。

(c) In 5 of the remaining 72 disciplinary cases, the officers concerned have absconded.

至於其餘72宗紀律個案，有5宗所涉及的人員棄職潛逃。

\* Including common assault, conspiracy for public servants to accept advantage and gambling, etc.  
包括普通毆打、串謀使公職人員接受利益、賭博和其他。

\*\* Including unauthorised outside work, being rude to supervisor, accepting an advantage/excessive entertainment, fighting in a workplace, misuse of government vehicles and abuse of official position.  
包括未經批准而從事外間工作、粗暴對待上司、接受利益/款待、在工作地方打架、濫用政府車輛和濫用職權。



Disciplinary Cases Advised by the Commission in 2007 Breakdown by Salary Group and Punishment 二零零七年征询委员会意见的纪律个案 按薪金组别和惩罚方式划分的数字				
Punishment 惩罚方式	Salary Group 薪金组别			Total 合計
	At or Below Master Pay Scale Pt.13 or equivalent 总薪级第13点或以下或 同等薪点	Master Pay Scale Pt.14 to 33 or equivalent 总薪级第14 - 33点或 同等薪点	Master Pay Scale Pt.34 and above or equivalent 总薪级第34点或以上或 同等薪点	
Dismissal 革职	5	3	0	8
Compulsory Retirement 迫令退休	6	6	0	12
Severe Reprimand + Fine 严厉谴责 + 罚款	22	19	3	44
Severe Reprimand 严厉谴责	3	2	4	9
Reprimand + Fine 谴责 + 罚款	8	2	0	10
Reprimand 谴责	6	2	0	8
Total 合計	50	34	7	91