

# 2007



公務員敍用委員會

PUBLIC SERVICE COMMISSION

年報 ANNUAL REPORT

Foreword 前言		2
Chapter 1 第一章	The Public Service Commission's Role and Functions 委員會的角色和職能	4
Chapter 2 第二章	Membership and Secretariat of the Commission 委員會成員及秘書處	8
Chapter 3 第三章	Civil Service Recruitment: Reviews and Observations 公務員招聘: 檢討及意見	10
Chapter 4 第四章	Civil Service Promotion: Reviews and Observations 公務員晉升選拔: 檢討及意見	29
Chapter 5 第五章	Staff Performance Management System: Reviews and Further Improvements 員工表現管理制度: 檢討及進一步改善	50
Chapter 6 第六章	Directorate Succession Planning 首長級職位接班計劃	60
Chapter 7 第七章	Other Civil Service Appointment Matters 其他公務員聘任事宜	68
Chapter 8 第八章	Civil Service Discipline: Reviews and Observations 公務員紀律: 檢討及意見	72
Chapter 9 第九章	Visits 訪問	80
Chapter 10 第十章	Acknowledgements 鳴謝	82
Appendix I 附錄 I	Submissions with Revised Recommendations after the Commission Secretariat's Observations 委員會秘書處提供意見後曾作修訂的建議	83
Appendix II 附錄 II	Curricula Vitae of the Chairman and Members of the Public Service Commission 委員會主席及委員簡介	84
Appendix III 附錄 III	Organisation Chart of the Public Service Commission Secretariat 公務員敍用委員會秘書處組織架構圖	87
Appendix IV 附錄 IV	Flow Chart Illustrating the Vetting Process of Promotion Cases 晉升選拔個案審核程序流程圖	88
Appendix V 附錄 V	Number of Appointees (by Terms of Appointment) in the Open and In-service Recruitment Exercises in 2007 二零零七年公開和內部招聘人數 (按聘用條款列出)	89
Appendix VI 附錄 VI	Other Civil Service Appointment Matters Advised by the Commission in 2007 (Breakdown by Category) 二零零七年徵詢委員會意見的其他公務員聘任事宜 (按類別劃分)	90
Appendix VII 附錄 VII	Disciplinary Cases Advised by the Commission in 2007 Breakdown by Category of Misconduct/Offence and Punishment 二零零七年徵詢委員會意見的紀律個案 — 按不當行為/刑事罪行類別和懲罰方式劃分的數字	91
Appendix VIII 附錄 VIII	Disciplinary Cases Advised by the Commission in 2007 Breakdown by Salary Group and Punishment 二零零七年徵詢委員會意見的紀律個案 — 按薪金組別和懲罰方式劃分的數字	92



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

隨着香港經濟回復繁榮，暫停招聘公務員的措施正逐步撤銷。這締造了新的機遇，當局可趁此羅致優秀的人才加入公務員隊伍。在與私營機構競逐人才方面，政府能否佔有優勢，主要視乎政府職位本身是否吸引，其次是招聘程序是否有效率。對於這兩個問題，委員會已與當局進行檢討。首項有關招聘程序的檢討工作已經完成，並有令人滿意的成效。由於現行的公務員招聘程序過長，政府往往未能先拔頭籌，在求才若渴的招聘市場上率先聘任優秀人才。經過委員會與公務員事務局共同努力，當局已在二零零七年十二月精簡所有公務員職位的招聘程序，以便能較快發出聘書。第二項檢討是要評估公務員隊伍在面對私營機構的競爭時，是否仍能吸引和挽留員工。有關檢討工作尚在進行中。儘管去年招聘公務員的活動不多，但從申請書數目初步可見，公務員職位仍具吸引力。二零零八年當局全面恢復公開招聘公務員後，委員會便可就此課題作出更深入和實際的探討。本年報第三章載述更多有關該兩項檢討的詳情。

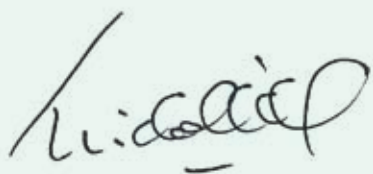
接班計劃和工作表現管理，是委員會在二零零七年的另外兩個重要工作範疇。委員會提出了多項改善措施，建議當局透過栽培和擢升最適合的人選，確保首長級人員的接班安排妥善，並同時採取有效的措施，對付表現欠佳的員工。第五章和第六章詳述委員會如何促使當局提高首長級人員接班機制的透明度，以及把接班計劃與完備的工作表現管理制度掛鉤。委員會認為，如高級管理階層全力支持，改善工作表現管理機制，應可令整個公務員隊伍的接班計劃更趨完善。

在紀律事宜方面，委員會繼續支持當局以果斷的態度處事，並一如既往，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

當局迅速採取紀律行動，以收懲前治後之效。委員會在這方面的工作載於第八章。

年內，委員會的工作如往年般繁忙。我衷心感謝各委員在年內提供不少精闢意見，貢獻良多。已擔任委員六年的陳清霞女士年內離任，她多年來竭誠服務，鼎力支持，提供了不少寶貴意見，我謹此衷心致謝。



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.

1.1 委員會是在一九五零年成立的獨立法定機構，其職權範圍在《公務員敘用委員會條例》及其附屬規例(香港法例第93章)已有訂明。委員會的主要職責，是就公務員的聘任、晉升及紀律事宜，向行政長官提供意見。委員會的使命，是要維護公務員聘任和晉升制度公平公正，以及確保公務員紀律處分機制公允持正，懲罰原則總體一致。

## 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.

## 職能

1.2 除少數個別情況<sup>1</sup>外，委員會就聘任及晉升事宜提供的意見，其範圍僅限於高職級公務員，包括頂薪點達每月薪金33,330元(總薪級第26點)或以上的職位，至常任秘書長、部門首長和職位相若的人員。截至二零零七年底，在委員會職權範圍內的設定公務員職位約有33 200個。

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.

1.3 政務司司長、財政司司長、律政司司長、審計署署長，以及司法機構人員、廉政公署人員和香港警務處紀律人員等職位，均不在委員會的職權範圍內。此外，自二零零二年七月一日推行問責制，繼而進一步發展政治委任制度之後，各局長、副局長和局長政治助理均非公務員，其聘任事宜也無須交由委員會處理。

<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)].

以下各類個案，不論所涉職級高低，必須徵詢委員會的意見：

- 不獲續約/提供任期較正常為短的合約；
- 延長/拒予通過試用/試任關限；以及
- 根據《公務人員(管理)命令》第12條為公眾利益着想而退休。

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 至於紀律事宜，所有甲類人員<sup>2</sup>的紀律個案(《公務員敘用委員會條例》訂明不適用的人員的個案除外<sup>3</sup>)均由委員會處理。甲類人員實際上包括試用人員、合約人員和按第一標準薪級表支薪的人員以外的所有公務員。截至二零零七年年底，在委員會有關紀律事宜的職權範圍內的甲類人員約有109 900人。委員會提供意見予就根據《公務人員(管理)命令》第9<sup>4</sup>、10<sup>5</sup>和11<sup>6</sup>條對人員採取正式紀律程序的個案；至於採取簡易紀律行動而以口頭或書面警告作懲處的輕微行為不當個案，則無須徵詢委員會的意見。

<sup>2</sup> According to the PS(A)O, officers appointed to and confirmed in established offices are classified as Category A officers.  
根據《公務人員(管理)命令》，獲委任並已獲確實受聘擔任設定職位的人員，即屬甲類人員。

<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.  
根據《公務員敘用委員會條例》(香港法例第93章)第6(2)條，政務司司長、財政司司長、律政司司長、審計署署長，以及司法機構人員、廉政公署人員和香港警務處紀律人員等職位，均不在委員會的職權範圍內。

<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.  
如指稱的不當行為經查證後並非嚴重至足以令有關人員被免職，當局便會根據《公務人員(管理)命令》第9條採取正式紀律行動。

<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.  
如指稱的不當行為經查證後可令有關人員被革職或迫令退休，當局便會根據《公務人員(管理)命令》第10條採取行動。

<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.  
根據《公務人員(管理)命令》第11條，如任何人員被裁定犯了刑事罪行，紀律處分當局在考慮法院就有關控罪進行的法律程序後，即可對該員處以當局認為公正的懲罰，而無須進行任何其他程序。

- 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 委員會在審閱當局所提交的建議時，如有需要會提出問題，以確保建議合理和處理程序公平周密。當局須就委員會的意見和疑問，澄清或解釋所提建議。當局曾在不少個案中因應委員會的意見修改建議；但也有部分個案經當局澄清或詳加解釋後，委員會認為建議恰當。委員會審閱建議時，如果發現有偏離既定程序或做法的情況，又或發現有人事管理的問題，便會促請當局注意，並按情況建議改善方法。
- 1.6 委員會也處理在委員會的法定權限內公務員就本身有直接和實際利益關係的事宜提出的申述。年內，委員會處理了20宗與聘任事宜有關的申述個案。經詳細審查後，委員會認為所有個案的理據均不成立。委員會另外收到十宗投訴，所涉事宜不屬於委員會的職權範圍，已全部轉交有關部門跟進。
- 1.7 此外，委員會須就任何由行政長官轉介而與公務員有關的事宜，提供意見。委員會也充當公務員事務局局長的“智囊團”，就聘任、晉升和紀律方面的政策和程序，以及各式各樣與人力資源管理相關的檢討和發展事宜，提供意見。

## 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.

## 工作目標

- 1.8 年內，委員會就895項建議提供意見，涵蓋招聘和晉升工作、紀律個案和其他與聘任有關的事宜。委員會對其中321項建議提出疑問；公務員事務局和有關部門考慮委員會的意見後，修訂其中121項(佔38%)，並向委員會重新提交建議。有關個案的分項數字載於附錄I。
- 1.9 在處理招聘、晉升及紀律個案方面，委員會的目標是在接獲部門的建議後六個星期內，提供意見或作出正式回應。年內，所收到的建議全部在目標時間內獲得處理。



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 根據《公務員絀用委員會條例》，委員會有一名主席和不少於兩名或多於八名委員。成員全部由行政長官委任，並有擔任公職或服務社會的經驗。立法會議員、香港公務員和司法機構人員不得加入委員會，退休公務員則不在此限。

## Membership 成員

2.2 The membership of the Commission during 2007 was as follows:  
二零零七年委員會成員名單如下：

Chairman 主席	Mr Nicholas NG Wing-fui, GBS, JP 吳榮奎先生，GBS，JP	(since May 2005) (由二零零五年五月起)
Members 委員	Miss Eliza CHAN Ching-har, BBS, JP 陳清霞女士，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 葉錫安先生，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 羅家駿先生，JP	(since February 2006) (由二零零六年二月起)
	Mrs Mimi CUNNINGHAM KING Kong-sang 簡金港生女士	(since February 2006) (由二零零六年二月起)
	Ms WONG Mee-chun, JP 黃美春女士，JP	(since July 2006) (由二零零六年七月起)
	Prof. CHAN Yuk-shee, BBS, JP 陳玉樹教授，BBS，JP	(since December 2007) (由二零零七年十二月起)
Secretary 秘書	Mrs Stella AU-YEUNG KWAI Wai-mun 歐陽桂慧敏女士	(since November 2002) (由二零零二年十一月起)

Curricula vitae of the Chairman and Members are at *Appendix II*.  
主席及委員的簡介載於附錄 II。

## Secretariat of the Commission

## 委員會秘書處

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 委員會秘書處由行政主任、秘書和文書職系等公務員所組成的小組提供服務。截至二零零七年年底，秘書處有 27 個編制職位，組織架構圖見附錄 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.

## Homepage 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 公務員事務局和政府部門/決策局所提交的建議，秘書處會先行詳細審議，如有需要，會要求有關方面進一步澄清和解釋，然後才徵詢委員會的意見。委員會秘書處所處理的個案工作，大部分為晉升選拔個案。*附錄IV*載列晉升選拔個案審核程序流程圖，以資說明。
- 2.5 委員會的工作通常以傳閱文件的方式進行。如須討論重大政策、複雜或涉及重要原則問題的個案，便會舉行會議。公務員事務局代表和部門的高級管理人員會獲邀出席會議，闡述有關事宜或個案的背景資料，由委員會作出獨立的判斷。

## 互聯網的網頁

- 2.6 委員會設有網頁，網址如下：

委員會網頁載有委員會的基本資料，包括角色和職能、現有成員名單、委員會執行職務的方式，以及秘書處的組織架構。委員會年報(由二零零三年起)可在網上瀏覽，也可從網頁下載<sup>7</sup>。

<sup>7</sup> Hard copies of the Annual Report are also available in public libraries and District Offices. 委員會年報的印行本也可在公共圖書館和各區民政事務處索閱。

- 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 香港特別行政區(特區)政府在一九九七年七月一日成立後，新聘用的公務員必須是特區永久性居民。然而，根據《基本法》第一百零一條，如永久性居民當中沒有合資格和合適人選，專業及技術職位可由非永久性居民填補。
- 3.2 公務員的招聘工作由公務員事務局及政府各部門負責，委員會亦參與其事。委員會負責監察高職級公務員<sup>8</sup>職位空缺的公開<sup>9</sup>及內部<sup>10</sup>招聘程序，以及就有關甄選準則和聘用建議提出意見。此外，如部門在招聘過程中遇到程序上的問題，委員會在與公務員事務局商討後會向他們提供意見。

<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，這是指屬委員會正常職權範圍內聘任的高職級人員(即頂薪點達總薪級第26點(現為\$33,330元)或以上或同等薪點的人員)，當中不包括：(i)頂薪點達總薪級第26點或以上屬於非學位及非專業職系的基本職級人員；以及(ii)訂明不在委員會職權範圍內的司法機構人員、廉政公署人員及香港警務處紀律職系人員。

<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.

對於基本職級、未能由內部擢升人員填補的晉升職級或有特別需要的職位，當局會進行公開招聘。香港特別行政區(特區)政府在一九九七年七月一日成立後，新聘用的公務員必須是特區永久性居民。然而，根據《基本法》第一百零一條，如永久性居民當中沒有合資格和合適人選，專業及技術職位可由非永久性居民填補。

<sup>10</sup> In-service recruitments are arranged when the pool of candidates is restricted to all or selected groups of serving civil servants. 內部招聘的職位只供所有或某些組別的在職公務員申請。

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 年內，當局作出幾項重要決定，對以後的招聘工作有重大影響。當局檢討過控制公務員編制的進度，並考慮到有需要長遠解決公務員人手短缺和可能出現的接班問題，決定撤銷自二零零三年四月一日起全面暫停公開招聘人員的規定<sup>11</sup>，沒有納入第二輪自願退休計劃<sup>12</sup>的職系可率先於二零零七年四月一日獲得解封。至於自願退休職系，暫停公開招聘五年的規定在二零零八年三月三十一日屆滿後，不會再度延長。因此，自二零零七年下半年起，各局/部門陸續重新展開公開招聘。然而，為確保所有公開招聘都是有確實需要才進行，當局仍繼續監控部分職系的公開招聘程序，這些“受限制職系”包括現正面對或按最新人力推算即將出現過剩人手的職系、正逐漸取消的職系或一般只從內部招聘新入職人員的職系。“受限制職系”的空缺，須以內部招聘形式填補。有關的部門/職系首長如要進行公開招聘，必須事先取得公務員事務局批准。

3.4 二零零七年首季，當局尚未撤銷暫停公開招聘人員的規定時，聯席委員會特別准許部分沒有被納入自願退休計劃的職系進行公開招聘，以填補六個部門內十個職級合共135個職位。另外，聯席委員會又批准了28個被納入第二輪自願退休計劃的職系，在二零零八年三月三十一日暫停公開招聘的規定解封之前，破例進行公開招聘，以執行於第二輪自願退休計劃推出時沒有預計的新措施，或紓緩因流失人數超出預期而導致人手短缺的問題。

<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.

按照全面暫停公開招聘人員的規定，在不影響公務員整體編制的前提下，通常會容許內部招聘；如要進行公開招聘，則須經聯席委員會（由政務司司長和財政司司長共同擔任主席，並由公務員事務局局長擔任委員）特別批准。

<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 5 300 applications were approved under the Scheme.

為達到政府在二零零六至零七年度或之前把公務員編制縮減至約16萬個職位的目標，當局採取了多項措施，其中一項是在二零零三年三月三十一日推出第二輪自願退休計劃，讓229個已確定或預計會有過剩人手的指定職系的人員自願離職。結果，約有5 300宗根據該計劃提出的申請獲得批准。



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 由於當局局部撤銷暫停招聘人員的規定，二零零七年新聘公務員的人數，較以往三年大幅增加。年內，委員會就676個職位的招聘提供意見，當中94個職位從內部聘任，其餘582個職位則經由公開招聘填補。有兩名新招聘人員為非香港永久性居民，他們擔任專業或技術職位。這些聘任的分項數字，以及二零零七年與先前三年聘任人數的比較，載於附錄V。

### 委員會促成的檢討

3.6 年內，委員會繼續與當局合作，藉精簡程序，以及理順現行的規則和做法，改善公務員招聘機制。委員會也就相關的政策提出建議和意見。下文詳述委員會在二零零七年向當局提出的意見和促成的檢討。

### (a) 簡化招聘程序

3.7 招聘人員的部門、有關的決策局、公務員事務局和委員會各方都須在不同的階段，參與招聘公務員的工作。視乎招聘的規模和是否需要公務員事務局或委員會的特別批准(例如涉及偏離一般招聘程序，以及豁免符合語文能力<sup>13</sup>或永久性居民<sup>14</sup>的規定)，一般招聘程序需時四至六個月不等。如個別職系須在公務員綜合招聘考試<sup>15</sup>後才舉行筆試，所需時間便會更長。

<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，所有申請公務員職位的人在獲聘任前，須達到指定的語文能力要求。部門/職系首長如在招聘方面有困難，可按個別情況向公務員事務局申請豁免符合語文能力的要求。

<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》第九十九條訂明，在特區政府部門任職的公務人員必須是特區永久性居民，《基本法》第一百零一條對外籍公務人員另有規定者或法例規定某一職級以下者不在此限。有關永久性居民的要求適用於在一九九七年七月一日或以後新聘任的人。根據現行政策，如沒有足夠屬永久性居民的應徵者合乎資格和適合聘用，招聘人員的局及部門可考慮聘請非特區永久性居民的應徵者。不過，有關的局及部門在展開招聘工作前，須諮詢委員會的意見和獲得公務員事務局批准。

<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.

為提高公務員的語文能力，當局規定由二零零三年一月一日起，凡申請學位或專業程度公務員職位的人士，必須在公務員事務局公務員考試組所舉行的綜合招聘考試的中文運用和英文運用兩份語文試卷中，考獲及格成績。

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 委員會關注到，招聘過程冗長，不利政府與私人機構競逐人才，尤其是現時勞工市場甚為活躍。隨着政府逐步恢復招聘公務員和撤銷暫停公開招聘的規定，情況更迫在眉睫。因此，委員會促請公務員事務局盡快聯袂進行檢討，以期簡化招聘過程。經檢討後，有多項地方已獲得改善。在不影響招聘制度持平公正的原則下，委員會及公務員事務局停止了參與一些與招聘各局/部門的工序重複，但沒有實質效用的工作，以避免延長招聘過程。這些改善措施已在二零零七年十二月實施，並在下文載述。

招聘首長級薪級第1點或以下的基本職級和屬晉升職級的人員(聘任當局為部門首長/職系首長)

3.9 部門會把這些職級的招聘建議直接提交委員會。在精簡安排前，委員會在下列招聘步驟的工作包括：

#### 籌備階段

- (i) 就偏離既定聘任規則、程序、做法或經批准的《聘任指南》<sup>16</sup>的建議提出意見；
- \* (ii) 就有關的職位空缺通告或廣告內容提出意見；

<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》是部門就個別職級擬備的正式文件，說明各職級在招聘或晉升方面所需的資歷、要求和聘用條款。各局和部門須經常更新其職權範圍內各個職系《聘任指南》所載的入職條件、聘用條款和職責說明，並提交公務員事務局批准。

### 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.

### 招聘階段

\*(iii) 就甄別結果提出意見，當中包括重複檢查和核實合資格和不合資格的申請，以及各應徵者在測試 / 考試 / 面試的得分；

(iv) 如要篩選合適數目的應徵者面試，就篩選準則<sup>17</sup>建議提出意見；

\*(v) 就遴選安排提出意見，包括遴選面試時採用的評核表格、遴選形式和面試安排；以及

### 最後階段

(vi) 就應徵者的錄用建議提出意見。

3.10 經檢討後，委員會同意在招聘過程中不再參與上文第3.9(ii)、(iii)及(v)段所載的工作(即有“\*”號的步驟)，因為委員會相信招聘各局/部門應勝任有餘。不過，委員會將繼續參與主要的工作，包括就各局/部門偏離既定做法[上文第3.9(i)段]、篩選準則[上文第3.9(iv)段](如適用)和錄用建議[上文第3.9(vi)段]提供意見。招聘各局/部門仍須通知委員會面試時間表，以便委員會考慮是否出席觀察遴選面試。

<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.

如合資格應徵者人數眾多，部門/職系可制訂篩選準則，減少面試者的數目。獲篩選進行面試的人數，應與有關部門/職系打算聘用的人數相稱。根據一般原則，通常每個職位空缺的面試者不應超過五名。篩選準則應直接與職位的工作有關，且不適用於殘疾人士。殘疾人士只要符合基本入職條件，便應獲得面試機會。

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 上述的精簡安排預計可把招聘過程縮短至少四個星期，令招聘工作更快完成，並及早聘任合適人選。委員會保留在整個招聘過程中核實任何資料(如有需要)的權利，也會制訂質素保證機制，確保招聘各局/部門完全遵從有關的規則和程序。質素保證機制規定，招聘各局/部門就錄用建議向委員會徵詢意見時須夾附查核列表，確認他們有否遵從訂明的規定。查核列表的作用還包括，警醒招聘各局/部門注意應採取的步驟，以及確定已獲得各項所需的豁免或特別批准，避免因有所遺漏而造成不必要的阻延，從而使招聘過程更加順。

#### 招聘首長級薪級第2點及以上人員(聘任當局為公務員事務局)

3.12 部門會把這些職級的招聘建議，先送交公務員事務局審核，然後呈交委員會。在精簡安排前，招聘步驟與上文第3.9段所述者相同，唯一的分別是委員會和公務員事務局均參與其中。經檢討後，當局同意採取委員會在上文第3.10段建議的精簡措施，不過，公務員事務局作為首長級薪級第2點及以上人員的聘任當局，將會繼續負責審核評核表格，確保這些職系的招聘準則一致。上述精簡安排可把首長級薪級第2點及以上人員的招聘過程縮短大約四個星期。



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 為進一步減省招聘各局/部門的籌備時間和行政工作，公務員事務局同意實施更多便捷的安排。舉例來說，招聘局/部門無須再在招聘階段，特別徵求公務員事務局同意，以接受應屆大學畢業生或在提交申請時尚未取得綜合招聘考試成績的應徵者的申請，因為倘若他們獲得錄取，也必須取得學位和所需的綜合招聘考試成績，才會獲得聘用。公務員事務局會向各局/部門發出職位空缺通告和廣告的新樣本，以供參考，也會鼓勵各局/部門在進行招聘前，預早徵求公務員事務局同意，更新招聘職系的《聘任指南》<sup>18</sup>。公務員事務局也會向部門提供指引，以確保在精簡安排後，各局/部門內獲授權專責審核求職申請的人員熟悉有關程序。

#### 各局/部門須共同努力簡化程序

3.14 委員會認為，委員會和公務員事務局已致力簡化程序，但招聘各局/部門亦須共同努力，迅速進行招聘工作，才能加快錄用合適的應徵者。部門在一個或多個步驟上有所延誤，便會大大延長整個招聘過程。例證之一是有一個部門計劃招聘大約40名人員，但反應熱烈，共收到近5 800份申請。該部門用了約兩個月審核申請、逾四個星期完成遴選面試，以及兩個月擬備遴選委員會報告。結果，這項招聘工作從刊登招聘廣告至提交遴選委員會報告徵詢委員會意見，歷時接近

<sup>18</sup> See Note 16 on page 13.  
請參閱第13頁註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.

七個月。上述個案凸顯了部門應縮減招聘過程的處理時間，以便可以迅速錄用合適的應徵者。

- 3.15 鑑於上述個案所反映的情況，以及招聘各局/部門在招聘工作方面擔當重要角色，委員會認為上文第3.10及3.12段載述的精簡措施只是第一階段的縮短招聘過程安排。招聘各局/部門可在其負責的招聘步驟中，即舉行筆試或體能測驗、評閱試卷及進行遴選面試等，加快步伐，從而大幅縮短所需時間。作為精簡過程的第二階段，委員會已要求公務員事務局協調各局/部門的工作，加快有關步驟。委員會會監察一些大型招聘工作的進度，以評估精簡措施的成效。

(b) 有關政府聘用殘疾人士政策的應用指引

- 3.16 政府的政策是為殘疾人士提供職業康復服務，讓他們最終得以在工商界和政府覓得職位以自力更生，從而融入社會。政府明白不少殘疾人士殘而不廢，他們只有從實質參與工作和賺取酬勞的過程中，才可盡情發揮職康潛能和貢獻經濟效益。為了貫徹上述政策，政府作為全港最大的僱主，一直帶頭聘用殘疾人士擔任合適的公務員職位。

- 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 根據現行政策，投考公務員職位的人可在申請書內申明是否殘疾人士，並可要求當局在筆試及/或面試時作出特別安排。應徵者如符合有關職位的基本入職條件，無須經過為控制面試人數而擬定的篩選程序，便可直接獲邀參加遴選面試。委員會於二零零五年年報中，就殘疾人士只須在申請政府職位的申請書內申報殘疾情況的規定表示關注。鑑於現行有關招聘殘疾人士的程序是在一九九九年公布，委員會要求當局檢討程序，考慮增設規定，要求應徵者提交證明其殘疾人士身分的文件。
- 3.18 年內，當局全面檢討了有關事宜，並制訂一套準則。為確保這些準則不會抵觸現行保障殘疾和健全人士利益的法例，有關決策局和相關當局已在準則公布前，審核當中所涉及的法律和政策事宜。
- 3.19 公務員事務局採納委員會的所有意見，在新準則內規定：招聘各局/部門應先核實自稱殘疾的應徵者的殘障狀況，然後才給予優待；只有可憑肉眼證明的殘疾狀況(例如：肢體傷殘或失明)，招聘各局/部門可在面試時才作核實。公務員事務局亦採納委員會的意見，舉例說明了當殘疾人士與健全人士表現相若，並同樣適合受聘時，應如何適當地優先錄用殘疾人士。

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 隨着政府逐步恢復招聘公務員，委員會歡迎當局及時公布新準則，就如何在招聘工作中處理殘疾人士的申請提供了有用和切合實際的指引。

(c) 招聘考試作為合格基準或篩選準則

3.21 由二零零三年一月一日起，凡申請學位或專業程度公務員職位的人士，必須在公務員事務局公務員考試組所舉行的綜合招聘考試的中文運用和英文運用兩份語文試卷中，考獲及格成績。除了這項語文能力的要求外，部門/職系首長可決定是否需要舉行其他招聘考試，包括技能測試，以篩選申請人參加遴選面試，並在有需要時，自行決定考試時間和模式。根據現行政策，如所需的技能和才幹未能以其他方法測試，例如公開考試未有測試所需技能，申請人的記錄或面試表現未能展現他的工作能力和其他才幹，則一般會舉行招聘考試。這甄選方法相對只是根據申請人的資歷或申報的經驗作為篩選準則，較為可靠和客觀。

3.22 年內，委員會留意到不同部門和職系在招聘過程中，對招聘考試有不同的定位。有些把筆試成績視作篩選工具，有些作為職務要求。招聘考試定位不同，殘疾人士在應徵時因而受到不同的待遇。有兩宗個案是把招聘考試視作篩選工具，由於殘疾人士不受篩選準則的限制，即使未有參加或未能通過招聘考試，也可參加面試。另一宗個案則把招聘考試視為職務要求，未有參加或未能通過筆試的殘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.
- 3.23 委員會認為，一般來說，如有需要舉行招聘考試，招聘考試應為甄選程序的一部分，以淘汰未達標的申請人。只有那些達到職務基本要求的申請人才可參加其後的面試或測試，以便招聘各局/部門能從中聘任最合適的人選。招聘考試的成績，除可用來淘汰不合資格的申請人外，也可用來作為篩選的根據，以應付有太多應徵者符合最起碼標準的情況。當設有更高的入圍門檻時，已經參加並通過招聘考試的殘疾人士，可直接參加其後的測試或遴選面試，不受篩選準則限制。
- 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.
- 3.24 在考慮是否需要舉行招聘考試時，擬招聘的對象是相關的考慮因素。在二零零七年，有八個入職資格為一般香港學士學位(無指定學科)或同等學歷的職級舉行了招聘，並吸引了大批應徵者。其中四個職級在招聘程序中設有招聘考試，有關的部門/職系首長根據考試成績篩選合適的申請人參加面試。另外四個職級則不舉行招聘考試，有關的部門/職系首長以合資格申請人的工作經驗為參考，篩選合適數目的人選參加面試。
- 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
- 3.25 委員會雖然支持這些個案中所建議的篩選準則，但關注到上述四個招聘職級的入職資格為學位程度，以工作經驗作為篩選參考，可能令到部分優秀人才(特別是應屆畢業生)沒有機會投身他們有興趣的職系工作。委員會並注意到在上述四次招聘中，有一個部門只邀請具備至少一年全職的有關工作經驗的申請人參加面試，致使一名被拒絕的申請人向委員會提出投訴。

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.

該名申請人認為他未經筆試已被淘汰出局是不公平的做法。委員會檢討這宗個案，雖然發現部門的招聘程序沒有不當之處，但關注到招聘時所採用的篩選工具，足以影響最後獲聘用的人員的組合。

3.26 在上文所述以工作經驗作為面試篩選參考的招聘職級，在二零零七年內並沒有錄用應屆畢業生，因為他們沒有所需的一年有關工作經驗。這職級建議錄用或候補錄用的申請人中，三分之二是現職公務員或非公務員合約<sup>19</sup> 僱員，只有三分之一是其他人士。相對而言，在另一個吸引了超過18 000名應徵者並設有筆試的招聘中，獲錄用的申請人組合較為平均：約有36%為應屆畢業生或修畢碩士學位或第二個學位的人士，26%為在職公務員或非公務員合約僱員，其餘的38%為其他人士。

3.27 委員會認為，有需要檢討入職條件為學位程度的職級在進行招聘時，是否適宜以工作經驗作為篩選準則。檢討結果有助為招聘考試定位。委員會亦要求當局訂定更具體的指引，以輔助部門/職系首長決定何時需要及如何舉行招聘考試，以及應否以此作為篩選工具。公務員事務局已承諾檢討這些事項。

<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.

僱用非公務員合約僱員的安排自一九九九年一月推出後已實施超過八年，目的是為應付短期或無須僱用全職人員的服務需求，或處理正在檢討或有可能改變的服務。公務員事務局通告第2/2001號載列部門首長/職系首長僱用非公務員合約僱員的安排。

## (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) 公務員職位的吸引力

3.28 委員會認為，隨着當局恢復招聘公務員，以及香港經濟復甦和失業率下降，有必要檢討政府在面對私營機構的競爭下，能否吸引和挽留員工。除了一般的勞工市場因素外，公務員的聘任條款和條件在過去十年的改變，對招聘公務員不無影響。這些改變包括：調整大部分入職職級<sup>20</sup>的起薪點，由增加一至五個薪點不等；二零零七年公務員薪酬調整<sup>21</sup>；新聘人員改以公積金為基礎的長期聘用制<sup>22</sup>（取消退休金）聘用，並需要通過長時間的試任（三年試用加三年合約）才獲實聘；以及發展對公務員的角色有重大影響的問責制<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“技術人員、督導及相連職系”下的44個職級（即資歷組別5及6）和“第一標準薪級職系”（資歷組別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. 在二零零六年公務員薪酬趨勢檢討後，公務員薪酬增加了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後根據新入職制度受聘的公務員，只能享有公務員公積金計劃的退休福利。他們亦須經過較長時間的試任（三年試用加三年合約），才獲實聘為長期聘用制人員；在二零零零年六月一日前入職的公務員的試用期只為兩年。

<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.

問責制在二零零二年七月一日推出，為香港開設了兩個層級新的政府制度 – 政府最高層為一個政治領導級，其下有公務員隊伍作為政府的骨幹，提供支援。政治層的主要官員由行政長官提名的人士出任，在這制度下聘任的主要官員並非公務員，其聘任事宜無須提交委員會審議。

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 整體而言，年內進行的招聘反應非常良好。舉例來說，委員會年內就入職條件為一般香港學士學位(無指定學科)或同程度的職級合共七次的招聘提供意見，這些招聘共收到 2 937 至 18 063 份申請，申請與空缺的比例為 1:62.7 至 1:337.3。申請人數眾多，反映公務員似乎仍是很受歡迎的職業，但須注意的是自二零零三年四月暫停招聘公務員<sup>24</sup>以來，大部分職系在過去數年都沒有招聘人手。

3.30 如要衡量香港政府在僱員眼中是否具有吸引力的僱主，則需要在更多方面評估，包括申請人的質素、獲錄取的應徵者拒絕受聘的比例、以及受聘人員的流失率。在近期新招聘的人員中，越來越多具備較高學歷，這趨勢究竟是受惠於過去十年高等教育的擴張，還是反映了公務員工作的吸引力，有待詳加研究。拒絕受聘率和流失率亦可反映一般勞工市場情況和香港政府的競爭力。

<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.

鑑於當時將會進行範圍廣泛的公務員改革，當局在一九九九年四月一日第一次全面暫停招聘公務員。除了納入首輪自願退休計劃的職系外，其他職系在二零零一年四月一日恢復公開招聘，直至二零零三年四月一日當局第二次暫停招聘公務員，以求達到在二零零六至零七年度或之前公務員編制縮減至16萬個職位的目標。

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 委員會與公務員事務局聯手進行公務員工作吸引力研究，目的是為日後的公務員招聘工作路向提供參考資料。研究以八個選定職系的基本職級為對象，比較它們在二零零七年和一九九八年(即在一九九九年暫停招聘公務員、二零零零年六月一日實施新入職制度，以及二零零二年七月實施問責制之前)所進行的公務員招聘的結果。此外，另有幾個職系將會應邀參與定性調查，以抽樣方式向在職人員查詢他們的看法，包括公務員工作能否滿足他們的一般渴求，以及他們所屬職系的職業前景是否符合他們的期望。委員會會於二零零八年年報匯報上述研究的進度。

## Other Observations of the Commission

## 委員會的其他意見

### Common Recruitment Examination (CRE)

### 綜合招聘考試

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，在綜合招聘考試考獲合格成績是擔任學位及專業程度公務員職位的先決條件。委員會認為當局有必要完善有關制度。二零零六年年報已匯報，當局積極回應委員會就綜合招聘考試提出的意見，並以實事求是的態度修訂綜合招聘考試的規定。由二零零六年十二月舉行的綜合招聘考試開始，語文試卷的成績已分為“二級”、“一級”或“不合格”，並以“二級”為較佳成績。部門/職系首長可根據有關職系的工作要求，決定申請人須達到的語文水平。此外，香港高級程度會考(高考)成績已獲接納為等同綜合招聘考試成績。申請人如在高考取得所需的成績，便無須報考綜合招聘考試的相關語文試卷。在綜合招聘考試考獲的成績永久有效。



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 自從採用經修訂的綜合招聘考試規定後，47個職系(大部分為專業職級，要求申請人須有卓越的專業技能而非語文能力)把綜合招聘考試兩份語文試卷的成績要求定為“一級”。其中一個專業職級，在二零零七年的招聘中招攬了共22名合資格申請人，但在二零零五年及二零零六年的招聘中，只有四至六名合資格人士提交申請。在這22名合資格申請人中，20人具備綜合招聘考試一級成績或同等成績。另外有兩個職級在二零零七年進行公開招聘時，亦發現有為數不少的申請人具備所需的高考中文或英文成績，因而可豁免報考綜合招聘考試的相關語文試卷。委員會欣悉在第一個例子中，經修訂綜合招聘考試的規定後，有更多合適的應徵者可供考慮聘任。第二個例子則顯示，須應考綜合招聘考試中語文試卷的申請人明顯減少，這不但為申請人帶來方便，亦可節省當局安排綜合招聘考試的資源。

### 公開考試成績的參照標準和接納這些成績為公務員的入職條件

3.34 委員會深明須確保聘任制度公平公正，招聘準則亦是一樣。過往，大部分非學位程度職系的公務員職位一直以香港中學會考英國語文(課程乙)及中國語文達E級成績作為入職的語文能力要求，但由二零零七年起，香港中學會考英國語文及中國語文考試實施新的水平參照成績匯報機制。根據這個機制，考生的成績會以5\*至1這五個表現等級標示，而非以往所採用的A至F等級。英國語文(課程甲)及(課程乙)的考試亦由新的單一英國語文科考試取代。鑑於香港中學會考

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 :

採用新的成績匯報機制，公務員事務局由二零零七年八月八日起，在聘用公務員時，接納公開考試成績的安排如下：

Public Examination 公開考試	Acceptance of Comparability of Results 接受成績參照標準	
	Grade C C級	Grade E E級
Previous HKCEE results in English Language (Syllabus B) and Chinese Language 過往香港中學會考英國語文(課程乙)及中國語文成績		
2007 HKCEE results in English and Chinese Languages 二零零七年香港中學會考英國語文及中國語文成績	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> 國際普通中學教育文憑考試 (IGCSE)/英國普通中學教育文憑考試 (GCSE)/普通教育文憑普通程度考試(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.

英國劍橋國際考試局在一九九八年制訂國際普通中學教育文憑考試(IGCSE)，作為國際通用的普通中學教育文憑考試(GCSE)。英國自一九八八年起，以普通中學教育文憑考試(GCSE)取代普通教育文憑普通程度考試(GCE 'O' Level)，但有部分英聯邦國家仍然採用普通教育文憑普通程度考試。

<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.

就聘任公務員而言，在採用新的成績參照安排前，英國普通中學教育文憑考試(GCSE)/普通教育文憑普通程度考試(GCE'O' Level)英文科E級成績，獲接納為相等於香港中學會考英國語文(課程乙)E級成績。為減少新安排對在國際普通中學教育文憑考試(IGCSE)/英國普通中學教育文憑考試(GCSE)/普通教育文憑普通程度考試(GCE'O' Level)英文科考獲E級成績人士的影響，當局設有兩年寬限期。在寬限期內，這些非本地考試的英文科E級成績將會繼續獲接納為相等於二零零七年香港中學會考第2級成績或過往香港中學會考E級成績。

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 採用的參照標準適用於公務員非學位程度職系的所有申請人，委員會認為這安排符合公平原則。然而，在應用上述安排的生效日期，委員會建議應以截止申請日期(而非接獲申請人遞交申請的日期)來界定應採用新的或舊的標準來評定申請人的學歷資格，以避免在同一次招聘中，對國際普通中學教育文憑考試(IGCSE)/英國普通中學教育文憑考試(GCSE)/普通教育文憑普通程度考試(GCE‘O’ Level)的成績採用不同的標準。這項建議已獲公務員事務局接納。

#### 招聘時優先考慮具備較高相關資歷的申請人

3.36 委員會留意到在一項招聘中，招聘廣告註明具備相關深造及/或較高專業資歷的申請人會獲優先考慮。其後，聘任當局沒有參照被甄選的申請人的面試成績高下，建議優先聘用具備較高資歷的申請人。至於那些符合基本入職條件但沒有較高資歷的申請人，即使在面試時表現更為出色，聘任當局只是建議把他們列入候補名單。

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.

3.37 委員會不贊同這項建議，因為只有當申請人旗鼓相當時，聘任當局才可優先考慮具備較高相關資歷的應徵者。申請人在資歷方面的優勢理應在遴選面試時有所展現。如其整體表現仍較其他申請人遜色，便不應因學歷較高而獲得優待。這對於其他在公平競爭下獲甄選，但卻失去聘任機會的申請人有欠公允。鑑於委員會的意見，聘任當局檢討職位空缺情況後，最終向所有獲甄選的申請人發出聘書。

#### 更新《聘任指南》

3.38 各部門須擬定《聘任指南》，為每個職系的各個職級列明在招聘或晉升方面所需的資歷、要求、聘用條款及其他資料，以供參考。部門如修改《聘任指南》，必須獲公務員事務局批准。上文第3.3段已載述，預計當局撤銷暫停招聘公務員的規定後，各部門在進行招聘前會積極更新《聘任指南》，預計提交的《聘任指南》修訂建議將會增加。有見及此，公務員事務局承諾會加快覆核，以及優先處理那些即將進行公開及/或內部招聘或晉升選拔的職級的《聘任指南》。同時，委員會亦已精簡其內部安排，以加快處理公務員事務局提交的《聘任指南》修訂建議。儘管如此，委員會在審核部門提交有關招聘或晉升選拔的建議時，會繼續就《聘任指南》的事宜提出建議或意見。

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 委員會的主要職責是就高級公務員職位<sup>27</sup>的晉升事宜提供意見，以確保能選拔出最合適的人員擔當較高職級的職務。人員晉升與否，應視乎他們的品格、才幹和潛質是否符合有關職位所要求的工作水準、資歷和經驗而定。

4.2 在二零零七年經委員會提供意見的晉升建議個案有526宗，較二零零五年的448宗和二零零六年的512宗為多。這些個案涉及3 527名人員，有關的分項數字載於下表：

Promotion-related appointment cases advised in 2007 二零零七年獲委員會提供意見的晉升相關聘任個案	
(a)	1 393 promotees* 1 393 人獲得晉升*
(b)	34 officers waitlisted for promotion 34 人列入晉升候補名單
(c)	228 officers appointed for acting with a view to substantive promotion (AWAV) <sup>28</sup> 228 人獲委任署理職位以待實際升職 <sup>28</sup>
(d)	16 officers waitlisted for AWAV 16人列入署理職位以待實際升職候補名單
(e)	1 856 officers appointed for acting for administrative convenience (AFAC) <sup>29</sup> 1 856 人獲委任署理職位以方便行政 <sup>29</sup>
<b>Total 3 527 officers</b> <b>總數 3 527 人</b>	
* Promotees to fill vacancies in 494 ranks <sup>30</sup> , including 117 promotions to directorate positions. 獲晉升人員填補的空缺分屬494個職級 <sup>30</sup> ，其中117個是首長級職位。	

<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. 就晉升選拔而言，這是指屬委員會正常職權範圍內聘任的高職級人員(即頂薪點達總薪級第26點(現為33,330元)或以上或同等薪點的人員)，當中不包括訂明不在委員會職權範圍內的司法機構人員、廉政公署人員及香港警務處紀律職系人員。

<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. 人員如獲當局認為大致在各方面均適合執行較高職級的職務，並已準備好接受進一步考驗以證明能勝任較高職級，則會獲安排署理較高職級以待實際升職。這類署任安排一般為期六個月，但亦可作改動。

<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. 人員如不宜即時晉升，但獲評估為較其他人員更具執行較高職級職務的潛質，又或雖然被認為表現較優，但因無實職及長期空缺而未能獲得晉升，則當局會作出署理職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. 合資格人員的數目遠超晉升人員的數目。在一些晉升選拔中，經篩選後供晉升選拔委員會詳加考慮的合資格人員超過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.

## 委員會促成的檢討工作

4.3 委員會密切留意公務員晉升制度的成效，並與當局攜手合作，使制度更為完備。在二零零七年，當局因應委員會的意見作出多項檢討。下文概述委員會的各項意見、有關的檢討工作，以及因此而制訂的各項適用於全體公務員的全新或修訂指引。

### (a) 填補部門首長職位及單一職級部門首長職位的安排

4.4 歷年來，委員會留意到當局並沒有一套標準的程序，訂明屬於部門職系人員晉升職級的部門首長職位懸空時，倘若在部門內物色不到合適的合資格人選，應怎樣填補有關空缺。委員會並發現在單一職級的部門首長職位也有同樣的問題。當局往往要到提議公開及/或從內部招聘人員填補將出現的部門首長職位空缺時，始徵詢委員會的意見；而即使要從其他職系調派人員填補這些職位，當局也只會在必出有關人選後，始知會委員會。

- 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.
- 4.5 為了確保填補這些重要的部門首長職位的安排具透明度，並考慮到有關安排是部門管治層的首長級職位接班計劃中重要的一環，委員會要求當局就如何填補這些職位，制訂一套標準程序。經檢討後，當局由二零零七年初開始，在填補由部門職系人員出任的部門首長職位時，採用了正規的遴選機制。在確定沒有人適合填補該部門首長職位空缺之前，必須考慮有關職系內所有合資格的人員。如果在部門職系內找不到合適人選，部門所屬決策局的常任秘書長、公務員事務局常任秘書長和現任的部門首長(按情況而定)便須另外召開會議，提議另一項安排<sup>31</sup>，以填補有關職位，並須定下時間表，檢討這項安排。有關建議並須提交委員會考慮。同樣的安排也適用於填補只有單一職級的部門首長職位；不過，由於這類職位沒有相關的職系可讓當局從中物色合資格人選，填補這類職位時，不用首先舉行晉升選拔遴選機制。
- 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.
- 4.6 委員會歡迎實施新的機制，認為有關機制能確保填補部門首長職位的程序公平，並有足夠的透明度。自新機制在二零零七年初實施以來，委員會已先後就填補五個屬於部門職系人員晉升職級的和兩個屬單一職級的部門首長職位的安排提供意見，並表示支持。當安排涉及跨職系調派政務主任的安排，委員會促請當局把有關部門職系的職位接班計劃列為首要處理的工作。

<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.

另一項安排可包括調任、內部聘任或同時進行公開招聘及內部聘任，視乎當時的個別情況和運作需要而定。當局會就此徵詢委員會的意見。

## (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) 晉升選拔委員會修訂指引

4.7 委員會主席出席部分晉升選拔委員會會議時發現，晉升選拔委員會主席及/或秘書不一定充分了解晉升選拔或遴選委員會的程序和基本事項。從委員會主席在多次不同的晉升選拔個案中所提供的意見可見，當局有需要擬備一份修訂指引，載列舉行晉升選拔委員會的適當程序和良好做法，供晉升選拔委員會主席及委員參考。有見及此，公務員事務局年內在委員會秘書處大力協助下，全面檢討了舊有的《晉升選拔委員會指引》，並在二零零七年六月發出了新修訂的《獲提名為晉升選拔委員會主席、委員或秘書的人員指引》，載列召開晉升選拔委員會會議的各個基本事項(包括委員會的組成、出席委員會人員的角色、晉升的生效日期的釐定、不同晉升形式的分別等)，以及晉升為部門首長的考慮因素(即須署任最少六個月以待實際升職<sup>32</sup>，以及最好符合三年實際服務期的要求)。新指引並增收委員會就以下晉升事宜所提出的意見和良好做法：

## (i) 成立晉升選拔委員會

除非相關空缺屬臨時性質、有時限或有待檢討，以致只可安排人員為方便行政而署理職位，否則委員會應定名為“晉升選拔委員會”而非“遴選委員會”，以免讓人認為當局在正式召開會議前已對合資格人員是否適合晉升或署任的審議早有定論。

<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.

鑑於部門首長肩負監督和管理部門的重任，為確保委任當局有足夠時間和機會確定一名合資格人員是否適合晉升為部門首長，由二零零四年十月起，獲推薦晉升為部門首長的部門職系人員按規定一般須署任最少六個月以待實際升職。事實上，按此署任最少六個月以待實際升職的要求，獲推薦晉升為部門首長的部門職系人員在開始署任以待實際升職時，必須最少有18個月實際服務期。

(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) 召開晉升選拔委員會的時間與評核周期

一如委員會二零零六年年報所述，除非情況特殊，否則晉升選拔委員會會議須在上一個評核周期結束後六個月內召開。倘無充分理由證明有必要延遲召開晉升選拔委員會會議，部門或須押後一年，安排在目前的評核周期結束後才召開會議，但此舉可導致押後晉升生效日期或押後覆檢署任安排的嚴重後果。

(iii) 晉升選拔委員會檢討的工作評核報告所涵蓋的年期

正如委員會在二零零六年年報倡議，晉升選拔委員會應集中參考合資格人選過去一段時間(通常為過去三年)的工作評核報告。如合資格人員在這三年檢討期內的往績相若，不相伯仲，晉升選拔委員會可參考有關人員更早期的報告。員工的表現在短時期內出現輕微波動，不應過度影響評核該員工是否適合晉升。

(iv) 輪流署任職位

除非有充分理由，否則應避免作出輪流署任的安排。委員會的意見已在二零零五和二零零六年年報清楚述明。如有真正需要安排輪流署任，晉升選拔委員會應評估如何緩和上司與下屬角色“倒轉”的情況，以證明有關方案可行。晉升選拔委員會也應在收到最新一輪的評核報告後，重新覆檢入選和不入選輪流署任名單人員的表現。

## (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) 閱歷

委員會在二零零六年年報關注到，某員若閱歷不足，卻在所有其他方面均屬合適人選，晉升選拔委員會便不應以此作為不推薦該員晉升/署任的唯一理由。管理層有責任確保員工獲得適當的事業發展和工作經驗，為晉升作好準備。

## (vi) 晉升選拔委員會考慮的傳聞指稱

雖然晉升選拔委員會委員可在開會時透露他們對某名人員工作表現的所知所聞，以補足手頭上的工作評核記錄，但晉升選拔委員會不宜參考傳聞指稱，也不宜據此作出建議。除非有關指稱經部門管理層調查後證明屬實，否則晉升選拔委員會不應懷疑某名人員的表現或操守，也不應依據傳聞內容來評定該名人員的晉升機會。

## (vii) 晉升面試

當較高職級的特定要求，並不反映在工作表現的評核報告時，晉升選拔委員會可在無可避免的情況下，進行晉升面試以作補足。不過，晉升選拔委員會在評核員工時，不應太看重晉升面試結果，並以此凌駕該員工多年以來的工作表現。



## (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) 晉升選拔委員會採用的評分制度

以計分方式決定合資格人選是否適合晉升這個評分制度的成效，很大程度上取決於評分制度本身的設計，為免評核可能被扭曲，應盡量避免採用這個方法。

## (ix) 晉升和署任以待實際升職與署任職位以方便行政的候補名單的有效期

晉升選拔委員會可視乎有關人員是否具備條件履行晉升職級的職責和晉升職級出現空缺的時間，推薦該名人員晉升、署任以待實際升職或署任職位以方便行政。就首兩種晉升方式而言，倘若預計空缺會在現行評核周期內的稍後時間出現，獲推薦人員可被列入晉升候補名單或署任以待實際升職候補名單(視何者適用而定)。不過，候補名單會在現行評核周期屆滿時失效。另一方面，亦可擬備署任職位以方便行政的候補名單，以便安排人員署任可能出現的空缺。這份候補名單會一直有效，直至召開下一次晉升選拔委員會為止，屆時，晉升選拔委員會會根據最新的評核報告，覆檢所有合資格人選的晉升條件。

## (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) 工作表現管理的資料

正如二零零五年和二零零六年的年報所述，為了讓部門管方和批核當局監察有關職級的工作表現管理情況，委員會規定部門提交在委員會職權範圍內的職級的晉升選拔委員會報告時，須提供下述有關工作表現管理的資料：

- 最近評核期內合資格人選整體表現評級的百分比分布；
- 逾期填寫評核報告的個案數目；以及
- 沒有遵守《公務員事務規例》第231(1)條<sup>33</sup>有關評核人員職級的規定的個案數目和沒有遵守《公務員事務規例》第232(2)條<sup>34</sup>有關進行評核會見的規定的個案數目。

這些規定已正式列入《指引》內。

<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.

《公務員事務規例》第231(1)條訂明，如果評核人員與接受評核人員的實任職級相同(儘管前者署理較高職級)，則有兩個可行方法：另由再高一級的人員擔任評核人員，或由該署任人員就擬議的報告內容，與再高一級的人員磋商，並在正式填寫報告之前，先把報告擬稿提交該名人員批准。

<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.

《公務員事務規例》第232(2)條訂明，不論由誰(評核人員或加簽人員)主持評核會見，加簽人員亦宜在進行會見前完成有關評核。

(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) 委員會強調策劃順利接班的重要性

委員會在二零零五年的年報中提出，獲推薦升任部門首長職位的人員，由接任部門首長職位時起計，最好至少有三年實際服務期，讓有關人員有充分時間持續帶領部門。此外，為確保日後有足夠能力超卓的人員帶領部門，晉升選拔委員會在推薦人員升任首長級職位時，應同時考慮有關人員能否勝任晉升職級的職務和繼續晉升的潛質。這項一般原則已列入《指引》內。(請同時參閱第六章 — 首長級職位接班計劃，該章列出委員會對這個課題的詳細建議。)

- 4.8 委員會建議，《指引》修訂本應要方便使用者參考。公務員事務局已因應這項建議，研究如何用生動有趣的方式列出《指引》修訂本的要點，以上載公務員事務局網頁，方便所有晉升選拔委員會參考。

## (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) 處理涉及紀律調查或紀律處分序的晉升個案

4.9 一般的規則，是某員在操守和品行等各方面均獲視為適合晉升之前，晉升不應生效。遇有特殊情況，則可酌情處理。年內委員會注意到，有些部門未有提出理據，便推薦正接受紀律調查的人員實際升職或長期署任職位。雖然，基於無罪推定的原則，涉及刑事調查、紀律調查或紀律處分程序的人員，不應在晉升選拔方面遭待薄，但不可忽視的是，安排有關人員以責任或署任方式填補空缺會有風險，因為該員其後可能被判罪名成立。

4.10 委員會認為，為對有關人員公平起見，如可能的話，曠日持久的紀律個案應加快處理，盡快審結。至於需時較短的個案，晉升選拔委員會則應審慎處理，以免選出操守成疑的人員晉升或署任。晉升選拔委員會的職責是審議所有獲考慮晉升的人員的刑事或紀律處分記錄，然後考慮當中是否有人因受紀律處分或操守成疑而不應晉升或聘任。聘任當局擔當的角色，是在公平對待個別人員，與維持公務員隊伍的誠信以保障公眾利益之間，審慎求取平衡。假如聘任當局決定，雖然上述調查或紀律處分程序仍在進行，而且有關人員有不良記錄，但仍推薦選拔該名人員，則應徵詢公務員事務局的意思，並在提交委員會審閱的部門建議中，載述有關情況。公務員事務局已應委員會要求，把以上基本原則納入《獲提名為晉升選拔委員會主席、委員或秘書的人員指引》。

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.

當局亦會另行公布詳細指引，說明如何妥善處理涉及紀律調查或紀律處分程序的晉升個案。

#### (d) 倒置鑽石形職系結構

4.11 在審核一些晉升選拔委員會的建議時，委員會發現有些職系的最低兩個職級出現倒置鑽石形的結構，即高一級職級的空缺數目，遠超過基本職級的在職人員數目。委員會認為，這個不尋常的職級結構會使管方難以物色足夠人選，配合高一級職級的接班需要。此外，基本職級的職位數目偏低，也使人對這些職位的作用產生疑問。當局應委員會的要求，承諾檢討出現倒置鑽石形結構的職系，但是隨着現職人員快將全部離任而取消的職系，以及規模過小的職系除外。委員會將監察當局的檢討結果。



## Other Observations of the Commission

### Acting appointments not properly reviewed

4.12 As stipulated in CSR 160(1)(b)(ii)<sup>35</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.

## 委員會的其他意見

### 沒有適當檢討署任安排

4.12 《公務員事務規例》第160(1)(b)(ii)<sup>35</sup>條訂明，已經或預期為期六個月以上的署任安排，須作定期檢討，並視乎情況徵詢委員會的意見。《公務員事務規例》第166(6)條<sup>36</sup>則規定，批核當局應通過甄選人員實任職位的相同程序(召開晉升選拔或遴選委員會)，決定最合適的署任人選。對於在委員會職權範圍內的職位，管方必須徵詢委員會意見，以確保甄選程序公平公正。

4.13 雖然委員會在過往的年報已提出告誡，但二零零七年仍有不當的個案出現。舉例來說，委員會就晉升選拔建議提出意見時，留意到某職系因為人手需求不明朗，自二零零一年最後一輪晉升選拔後，一直沒有召開晉升選拔或遴選委員會，因而五年多以來都不曾檢討各職級的署任安排。委員會已向有關部門申明，即使人手需求不明朗，部門仍須嚴格按照《公務員事務規例》第166(6)條的規定，召開晉升遴選委員會。

<sup>35</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.

《公務員事務規例》第160(1)(b)(ii)條規定，為方便行政而作出的署任安排，如預期或很可能或已經為期六個月以上，須予定期檢討。

<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.

《公務員事務規例》第166(6)條規定，批核當局應在顧及管理因素和運作情況下，盡量以公平原則委任人員署理職位。如果署任預期或可能或已經為期六個月以上，批核當局應通過甄選人員實任職位的一般程序決定署任人選。如有需要，批核當局應徵詢公務員敘用委員會的意見。

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，一如委員會二零零六年年報所主張，部門/職系首長不應每六個月或少於六個月便安排人員停止署任，藉以規避進行晉升選拔工作，以及就署任安排徵詢委員會的必要程序。二零零七年，委員會留意到在另一宗個案中，有人員於過去三年被安排輪流署任高一級的職位，但每段署任期均不多於六個月。這種署任安排不但影響部門日常運作，而且有欠公允，因為在安排人員署任前，所有合資格人員的工作表現和相對優劣未有被適當檢討。

4.15 委員會嚴正關注所有署任程序上的缺失。除了在提出委員會建議時提醒有關的部門和局必須遵守《公務員事務規例》訂明的規定外，委員會主席亦親自致函有關的部門/職系首長，提出那些不當的署任安排，並要求從速予以糾正。此外，為使大家緊記遵守署任安排的規則和規例，委員會又促請公務員事務局向所有局和部門發出適當指引，加以提點。公務員事務局其後在二零零七年八月發出《署任安排指引》，提醒部門/職系首長安排署任時所須遵照的適當程序，亦同時提醒他們必須審慎檢討是否有需要繼續作出署任安排，並在可行的情況下，讓員工責任空缺。

### 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.

### 避免作出過長時期的署任安排

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級職位七年後，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責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後者稍遜，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 在其他晉升選拔個案中，委員會留意到，一些獲上次晉升選拔委員會推薦而在這次晉升選拔委員會召開時仍未有機會署任的人員，雖然在實任職級保持優秀表現，但其晉升機會卻在沒有充分理據的情況下，被評估為差於在上次晉升選拔工作中表現及不上他們的人員。在一宗個案中，當一名有相同遭遇的人員再次被建議列入署任名單時，有另一名未獲上次晉升選拔委員會揀選的人員，卻因曾為運作需要兼任較高職級職務而獲建議擢升。

4.19 上文第4.17和4.18段載述的情況顯示，當局有需要就如何適當考慮署任期內的工作表現，向晉升選拔委員會提供更清晰指引，務求公務員晉升選拔制度更加公平公正。為此，委員會再次審視相關的《公務員事務規例》。肯定的是，沒有規例列明未經署任的人員不得晉升。換句話說，署理較高職級並非晉升的先決條件。此外，根據《公務員事務規例》第171(a)條，署理職位的安排並沒有實任該職的含意。另外，根據《公務員事務規例》第166(2)(a)條，當局可藉署任安排考驗某員是否勝任較高的職級，從中評估他是否適合實任該職；當局亦可根據《公務員事務規例》第166(2)(b)條，委任某員在實任人員暫時缺勤期間署理有關職位，以應付管理或工作需要。

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 委員會經考慮有關的《公務員事務規例》後，嘗試闡明一些規管署任安排的基本原則，大致如下：

- (a) 雖然署理較高職級並非晉升的先決條件(見上文第4.19段)，但個別職系首長可要求個別職級的員工，須先通過署理較高職級的工作的考驗，才可被考慮推薦實際升職。
- (b) 對於因工作表現記錄較優良而獲晉升選拔委員會推薦長期署任的人員，當局應根據《公務員事務規例》第166(2)(a)條給予充分機會，以考驗他是否勝任較高的職級，如有關人員在評核報告內的工作表現評級，在短時間內有輕微偏差的情況出現(包括署任前擔任實任職級和擔任較高職級的工作表現)，這並不足以過度影響該人員以往較長時間整體工作表現的評核。除非該員在署任期內的工作表現證實有不足之處，否則純以這些出現輕微偏差的評級為理由終止該員署任安排，並不妥當。此外，在建議該員終止署任的同時，把該員列入長期署任候補名單的做法，也不合情理。
- (c) 對於因管理或工作需要而獲安排署理較高職級的人員，晉升選拔委員會在評估其晉升機會時，以及在比較他們與其他實力相若的人員的優劣時，不應給予厚待。這一點尤見於當署理較高職級並非晉升的先決



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

條件，而個別職系亦並無硬性採納上文(a)項所述的署任安排時。儘管如此，如果有足夠的可供晉升空缺，則純因管理或工作需要而獲安排署任的人員，甚至未經長期署任以考驗其執行較高職級職務能力的人員，也可獲建議擢升，但晉升選拔委員會必須完全確信有關人員已充分證明其能力，可勝任較高職級的一切職務。

4.21 委員會會與當局磋商，並進一步修訂這些規管署任安排的基本原則（見上文第4.20段），詳情會在二零零八年年報內匯報。

#### 個人認識應佔的比重

4.22 如上文第4.7段所述，當局於二零零七年六月發出了新修訂的“獲提名為晉升選拔委員會主席、委員或秘書的人員指引”，除了該段提及的各項參考指引外，該文件亦有訂明晉升選拔委員會可以透露他們對個別人員的工作表現的所知所聞，以補充評核報告內所載述的資料。然而委員會留意到某些晉升選拔中，晉升選拔委員會完全以他們的個人認識，去衡量個別人員是否適合晉升，而非僅以這些個人意見作為參考資料。很多時候，這些個人意見又從沒有載述在該人員的評核報告內。委員會認為不管晉升選拔委員會對該人員的工作表現有多少認識，晉升選拔委員會內個別委員的意見，正如當局所指，只可補足而非凌駕或取代評核報告內的評核。如果晉升選拔委員會對於人員工作表現的

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

意見與評核報告所載有差異，晉升選拔委員會應在晉升選拔報告中詳加說明，並提出接納差異的理據。委員會在向部門提出意見時，已多次重申這觀點。就個別人員而言，當晉升選拔委員會所指稱的不足之處並非載述在其評核報告中，委員會會要求部門安排知會有關人員，以便他們能作出改善，並準備應付將來的晉升選拔。

### 填補間接空缺

4.23 委員會在多次晉升選拔個案中發現，有些部門仍不清楚在哪些情況下可安排人員責任間接空缺<sup>37</sup>。這些部門誤以為，為免員額超出編制，必須待高一級的空缺由責任人員填補後，才可擢升人員出任低一級的相應空缺。因此，這些部門在提出擢升建議時把一些獲推薦晉升人員的升職生效日期，擬訂為高一級空缺由責任人員填補後的日期，儘管有關人員在晉升選拔委員會會議召開前已開始署任較高職級，本可獲薦由晉升選拔委員會會議日期<sup>38</sup>起實際升職。這類建議如果落實，可令這些人員的擢升被不必要地延遲。

4.24 正如二零零五年年報所述，委員會認為首長級薪級第2點及以下級別的職位空缺數目，應實際按職系而非職級計算。只要高一級有職位空缺，

<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.

間接空缺是因填補高一級職位空缺而產生的空缺，不同於實職空缺。實職空缺是因員工流失(例如有關職級的責任人員退休/離職等)而出現的空缺。

<sup>38</sup> The criteria for determining the effective date of substantive promotion are set out in CSR 125. 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.

決定實際升職日期的準則詳載於《公務員事務規例》第125條。一般而言，升職的生效日期應為：較高職級中出現空缺的日期；或有關人員開始執行較高職位職務的日期；或有關人員獲評定有能力履行較高職位全部職務的日期(通常為晉升選拔委員會會議日期)。各日期之中，以最後的日期為準。

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,

則低一級の間接空缺便可以實際晉升的形式填補，除非聘任當局經評估後確認員額有可能超出編制。在填補部門首長職位方面，當局規定，所有獲推薦晉升部門首長職級的部門職系人員，一般必須在實際升職前，先署任最少六個月以待實際升職<sup>39</sup>。至於副部門首長級別の間接空缺，當局應同樣地安排人員署任以待實際升職或安排人員署任以方便行政。

- 4.25 在上文第4.23段所述的晉升選拔個案中，部門接納了委員會的意見，同意有關人員應由晉升選拔委員會會議日期起實際升職。為消除部門的誤解，公務員事務局在二零零七年九月應委員會要求，向部門/職系首長發出便箋，澄清填補間接空缺的安排。

### 以“晉升能力”或“潛能”或工作表現評級作為篩選準則

- 4.26 在晉升選拔工作中，如合資格人眾多，晉升選拔委員會可按晉升職級的職務需要，制訂篩選準則（例如現任職級的服務年資）。晉升選拔委員會有責任根據空缺數目和獲考慮人員的數目，決定篩選細則。
- 4.27 委員會在審核建議時注意到，有部分晉升選拔委員會是以人員在評核報告內的“晉升能力”或“潛能”評級作為篩選晉升人選的準則。委員會認為，這類評級必須建基於一套公平的工作表現評核制度，並以有關人員的工作表現記錄為依據，才可用作比

<sup>39</sup> See Note 32 on page 32.  
請參閱第32頁註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

較各競爭晉升人員優劣的其中一項因素。晉升選拔委員會在考慮各合資格人員的競爭機會時，可參考這類評級，但不應不加思索地採納它們作為唯一的篩選準則，因為這種做法有損晉升選拔委員會獨立運作的職能，而當評級僅由一名人員負責決定時，更容易被人操控。

- 4.28 委員會建議部門在篩選獲考慮晉升的人選時，應避免以人員在評核報告內的“晉升能力”或“潛能”評級作為準則。如果被考慮選拔的人員數目眾多，部門通常可採用“有關職級的服務年資”等較為客觀的合適準則來篩選人員，以供晉升選拔委員會考慮。如部門認為除“有關職級的服務年資”外，還須參考合資格人員在檢討期內的工作表現評級來制訂篩選準則，則委員會認為，這類篩選準則在符合以下條件後方可接受：表現評核準則已妥為覆檢，以及入選門檻定在合理水平。

#### 向委員會提交錯誤資料

- 4.29 部門有責任確保提交委員會審閱的所有資料，都是準確和最新的。有一個於二零零六年舉行的晉升選拔委員會，在二零零七年向委員會提交選拔建議。委員會從建議中發現該部門在上次二零零四年晉升選拔工作中，就晉升選拔委員會的建議向委員會徵詢意見時，並沒有向委員會提供最新的資料。該部門在上次晉升選拔委員會會議召開後不久，安排一名沒有被晉升選拔委員會推薦的人員長期署任一個職位，卻不在提交給委員會的晉升選拔報告中提及，也沒有按照《公務

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.

員事務規例》第166(6)條<sup>40</sup>的規定檢討這項安排，直至在二零零六年舉行新一輪晉升選拔為止。

4.30 此外，由於職位空缺較預期的減少，該部門在二零零四年晉升選拔委員會會議召開後數個月內，先後安排三名署任時間超過12個月的人員停止署任，沒有理會他們當時是被晉升選拔委員會推薦繼續署任的。另一方面，該部門卻又容許其他署任少於12個月的人員，包括前段所述那位沒有被晉升選拔委員會推薦的人員繼續署任，以便進一步觀察他們在署任期間的工作表現。部門作出上述安排時，正與委員會秘書處就二零零四年晉升選拔委員會的建議交換意見，但是卻沒有在提交補充資料予委員會時，把有關調動通報委員會。委員會於是在不知情下，就已不合時宜的晉升建議提出意見。這些不當做法延至兩年後，即委員會秘書處審閱該部門二零零六年晉升選拔委員會所提交的建議時，才被揭露。

4.31 上述不當情況是不能接受的。安排一名原先不被晉升選拔委員會推薦的人員長期署任職位，容易引人非議，因為這可能會使該人員在其後的晉升選拔中獲得無形優勢，以致對其他人員不公平。該部門在考慮安排人員停止署任時，並非衡量有關人員的署任表現是否欠佳，而是請署任經驗較長的人員讓位於經驗較淺的人員，以方便充分評核後者的署任表現，這安排有待商榷。由於上述種種安排會嚴重損害晉升制度的公平公正，委員會已促請該部門的首長親自關注相關的失誤。

<sup>40</sup> See Note 36 on page 40.  
請參閱第40頁註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 如二零零六年年報中所述，委員會已要求公務員事務局根據多年來汲取的經驗，檢討二零零零年六月七日發出的公務員事務局通告第10/2000號<sup>41</sup>所公布的表現管理工具的成效。委員會樂見這方面有所進展，詳情見下文各段。

## 公務員事務局取得的進展

(a) 採用“常”的評級作為整體工作表現的常規

5.2 委員會觀察到過去多年來，一些部門在遵從上述通告所公布以“常”為常規評級而把評核報告內的評級向下調整時，遇到很多爭議。委員會認為，當只有很少數表現優異的人員可獲評級為“優”，而大部分人員評級為“良”和“常”，是可予接受的。委員會曾於二零零六年要求公務員事務局就採用“常”的評級作為整體工作表現的常規進行檢討。公務員事務局在完成檢討後贊成委員會的意見，並會促請部門不要僵化採用硬性訂定的評級分布。公務員事務局將提醒各決策局和部門，評核委員會<sup>42</sup>應避免為了硬性遵從配額制度，而重新評估並把評級由“良”降至“常”，以致引起不必要的員工申訴和投訴。評核委員會應更主力審核被評為“優”和表現欠佳的

<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.

公務員事務局通告第10/2000號所公布的表現管理工具包括：採用“常”的評級作為整體表現的常規；通過評核委員會的運作，確保評核準則一致；在表現管理週期開始時訂立表現指標；採用以才能為本的評核模式來評核工作表現；以及恰當地進行評核面談。

<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.

根據公務員事務局通告第10/2000號，當局鼓勵部門/職系首長推廣措施，盡量為轄下職系設立評核委員會，擔任平衡及協調評核報告的評級，監察員工表現，以及識別那些表現差劣/優秀人員，以便作出適當處理等工作。

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".

個案，確保有真才實幹的人員可獲挑選和接受栽培，以及識別表現差劣人員予以必需的跟進。委員會又認為可訂立更清晰的基準，以改善評核報告表格上不同工作表現評級的一般定義，確保對這些定義有一致的詮釋。委員會已要求公務員事務局制訂整體指引，協助各部門訂立上述基準。

## (b) 評核委員會的運作

5.3 委員會過去收到的意見和員工投訴顯示，有些部門的評核委員會的運作出現問題或不受員工信任。有關部門花了不少時間和精力，在平衡和協調評核報告的評級之餘，還要處理過程中出現的爭議。為改善制度的運作，委員會在二零零六年曾要求公務員事務局檢討評核委員會作為確保評核標準一致的表現管理工具的整體成效。為此，公務員事務局就評核委員會的運作和成效進行兩項獨立調查，並在隨後舉辦一連串的關注小組討論會。調查結果顯示受訪者普遍認為評核委員會的運作有效，有助協調員工表現。公務員事務局會繼續為部門提供意見，以提升其評核委員會的運作成效，並會舉辦經驗交流研討會。此外，公務員事務局亦會檢討現時評核委員會的運作指引，並會在修訂的“工作表現管理指引”中加入良好的評核委員會管理措施。

(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) 採用以才能為本的工作表現評核模式

5.4 當局繼續致力推廣以才能為本的評核模式來評核員工的工作表現，以便更準確評核受評人的潛能和晉升能力。委員會對此表示支持。委員會注意到約八成合適的職系/職級(約170個職系或500個職級)正使用這個評核模式，並建議公務員事務局繼續努力，推動餘下的職系/職級效法。為此，公務員事務局承諾會繼續向這些職系提供所需支援，以推行這個制度。

(d) 向受評人披露職系首長的評語

5.5 為貫徹提高表現評核過程的透明度的精神，以及讓有關受評人可作出改善，委員會堅持認為，如職系首長的意見與評核人員和加簽人員不同，便應向受評人披露職系首長的評語。公務員事務局同意在修訂的《工作表現管理指引》中加入這項理想的做法。

(e) 事業前途發展面談

5.6 委員會一直主張應為在晉升選拔中被人超越或不獲推薦的人員安排事業前途發展面談。委員會於二零零六年曾要求公務員事務局就如何有系統地進行這類面談編製指引，供部門參考。為此，公務員事務局承諾會在修訂的《工作表現管理指引》中加入有關指引，讓部門首長/職系首長知道應不時為其員工(特別是那些在晉升選拔中被人超越的員工)安排事業前途發展面談。

(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) 主管人員須依時填寫評核報告

5.7 雖然很多部門在這方面漸見改善，但逾期填寫評核報告仍然是一些部門常見和一直存在的問題。為解決這個問題，公務員事務局會在修訂的《工作表現管理指引》中提述委員會的觀點，即在評估督導人員的晉升潛能時，應考慮有關人員在管理員工的各方面能力，包括該員能否依時就下屬表現給予意見和填寫下屬的工作表現評核報告。此外，公務員事務局已修改一個選定職系的評核報告表格，把員工在上述兩方面的表現納入評核項目之中，以作試驗。

(g) 沒有填寫評核報告

5.8 如委員會在二零零六年年報中所述，受評人沒有向上級呈交其評核報告表格，可能導致上級沒有填寫其周年工作表現評核報告。為防止出現這種問題，當局積極回應了委員會的建議，制訂更嚴格的催辦跟進機制，確保受評人盡快填妥評核報告表格中的職責部分，並交回上級以便填寫工作表現報告。公務員事務局會對一個選定職系試行這項建議機制，若證實成功，將推廣至其他職系。

(h) 人力資源管理培訓

5.9 公務員事務局與委員會看法相同，認為提高各級督導人員對人力資源管理的認識，使他們具備相關的人力資源管理知識和技巧，十分重要。因此，公務員事務局已相應增加並加強為督導人員(包括首長級初級人員)提供的人力資源管理中央課程。

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 公務員事務局多年來一直積極推行委員會所提倡的良好工作表現管理措施，成績可觀。接下來，該局會彙整各項措施，重新修訂《工作表現管理指引》，並推出加入了相關改善指標的修訂評核報告表格，供各部門參考。

5.11 委員會將繼續密切監察上文各段所述各項改善措施的成效，以進一步強化公務員的工作表現管理制度。

## 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

## 各部門所作的改善

5.12 委員會除觀察到很多部門在依時填寫評核報告方面漸見改善外，亦欣悉政府各部門在適時召開晉升選拔委員會方面也有所進步。上述改善，加上違反《公務員事務規例》第231(1)<sup>43</sup>及232(2)<sup>44</sup>條的個案數目大幅減少(二零零六年年報所述)，顯示各部門/職系更加了解到有需要如委員會倡議般，加強各自的員工表現管理制度，情況令人鼓舞。據委員會觀察所得，有些部門已採取進一步措施，加強他們的表現管理制度，例如有一個部門曾舉辦專為主管人員而設的工作坊，以提升他們在撰寫評核報告方面的能力。此外，該部門亦迅速跟進上次晉升選拔委員會的建議，為被識別為有需要擴闊閱歷的人員安排職位調派。另一部門的晉升選拔委員會參照了委員會在上次晉升選拔時提出的意見，主動把在評核報告中發現的

<sup>43</sup> See Note 33 on page 36.  
請參閱第36頁註33。

<sup>44</sup> See Note 34 on page 36.  
請參閱第36頁註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

不當情況，例如評核不一致等，轉介部門管理層跟進。有職系首長親自向全體職系人員宣告，職系管理當局會果斷安排職位調派，並呼籲他們在評核期屆滿後一個月內填寫表現評核報告，藉此表明當局在這方面的決心。另一方面，職系管理當局亦已修訂轄下職系人員的評核報告表格，對評核報告表格上“員工管理”一項作出適當的闡釋，以便更清楚反映現行的要求和期望。這些部門/職系積極改善員工表現管理制度，誠意可嘉。

### 進一步改善表現管理制度

5.13 委員會在審核部門提交的建議時，就一些常見的表現管理問題提出多項改善意見。下文列舉的幾個例子可供部門管理層參考，以完善其表現管理和評核制度。

### 為表現欠佳的人員評核工作表現

5.14 委員會在審核一個晉升選拔委員會的建議時，關注到有關主管在填寫兩名表現未達其職級要求標準的人員的評核報告時出現嚴重延誤。有關評核報告是於上一個評核周期完結日的五個月後才填寫。此外，報告內的概括評語亦較簡短，也沒有清楚交代受評人在評核期內曾否接受適當輔導和指導，以協助他們改善工作表現。

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，擬備評核報告不只是提供參考作晉升用途，同時亦用以監察員工的工作表現，以適時評核受評人和向其提出意見。委員會在二零零五年年報中已清楚說明這點。當受評人表現欠佳時，這點尤其重要，因為及時給予明確的意見有助受評人及早糾正缺點並作出改善，以免其表現下滑至差劣。因此，主管人員須持續覆檢、加強援助和監察員工的工作表現，並從速把員工進度記錄於評核報告內，供職系管理當局參考。如欠缺工作評核報告，員工的培訓發展需要便可能被忽視。尤有甚者，當有關人員表現持續欠佳，職系管理當局須考慮根據《公務人員(管理)命令》第12條採取行政措施(詳情載於第七章)時，卻因欠缺工作評核報告而無從入手。委員會明確要求部門清楚指示有關主管人員恪守這項良好工作表現管理的原則。

## 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.

## 管理員工於署理以待實際升職期間的表現

5.16 某部門曾建議把一名經先前晉升選拔委員會推薦署任以待實際升職<sup>45</sup>的人員的署任期延長，以進一步評核該人員是否適合實際升職。委員會在研究有關建議時留意到，該人員於署任期的表現雖由兩個季度評核報告涵蓋，卻是於同一時間填寫的。委員會認為此舉極不理想。此外，兩個評核報告亦沒有清楚說明有關人員於六個月署任期內曾否獲告知其表現不足的地方。委員會已提醒該部門為公平對待署任以待實際升職的人員及部門的利益起見，應適時向這些署任人員給予有關其工作表現的意見，尤其是當觀察到有不足之處時，讓該人員可在署任期完結之前及早作出改善。鑑於署任以待實際升職期甚短，這點至為重要。主管人員給予的任何指引或意見均應妥為記錄在評核報告內，以便職系管理當局監察署任以待實際升職人員的工作表現，並在有需要時採取適當行動。

<sup>45</sup> See Note 28 on page 29.  
請參閱第29頁註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.

### 評估員工是否已準備好執行高一職級的職責

5.17 工作表現評核報告表格通常有評估員工是否已準備好執行高一職級的職責一欄。在一次晉升選拔中，委員會發現一些受評人在是否已準備好執行高一職級的職責方面獲評為“可能已準備好”。委員會認為，在現時職級表現良好的受評人若在上司填寫其評核報告時尚未展現已具備執行高一職級的職責的能力，便應獲評為“尚未準備好”，而非“可能已準備好”。委員會已要求公務員事務局和部門管理層提醒評核人員和加簽人員應恰當地評估員工是否已準備好執行高一職級的職責；並促請他們檢討應否把“可能已準備好”這個模稜兩可的評級，從評核報告表格中全部刪除。

### 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.

### 相同的評核

5.18 委員會在審議晉升選拔建議時，發現其中一名人選於連續兩個評核年度的評核報告中均被評核人員寫上完全相同的評核字句，有違員工評核制度的原意。員工評核制度是員工晉升及事業發展的基礎，評核人員要因應受評人在不同的評核期內的整體表現、長處及弱點作出獨立評核。委員會已提醒有關部門指示相關的評核人員改善其撰寫員工評核報告的質素。

### 介乎兩個級別的評級

5.19 委員會在一次晉升選拔中觀察到，儘管評核報告表格已設有一套預定的評級，但評核人員在評核下屬的工作表現時往往會在其評核報告中給予介乎兩個級別的評級。預設評級是要為工作表現管理提供客觀、統一的基準和方便作出比較，但上述做法卻有違此原意。因應委員會的意見，職系管理層已提醒職系人員避免使用介乎兩個級別的評級或把原有評級分割。



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 委員會審核一些晉升選拔委員會的建議時，不時察悉在某些年份有多位高級人員相繼退休，但由於沒有妥善計劃接班的人選，以致在選拔合適的人員填補這些部門的高級職位時出現阻滯。委員會認為，公務員事務局局長、部門首長和職系首長應以制訂良好的接班計劃為己任，協助部門物色具備良好晉升潛質的人員，並栽培他們接班高層管理職位。委員會又認為，接班計劃應與有效的才能發展機制環扣起來，後者又掛鉤於健全的工作表現管理制度，當中包括如實評核人員的工作表現，按用人唯才的原則選拔人員晉升，定期安排職位調派以擴闊他們的工作知識與見識，以及進一步發展其領導才能。委員會在推廣這項“環鉤相扣”做法的同時，還建議了多項改善措施(詳載下文各段)，務求令公務員隊伍的接班計劃達致更佳成效。

## Basic Principles and Best Practices for Succession Planning

## 接班計劃的基本原則和最佳做法

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 委員會認為，良好的接班計劃機制應更具透明度，使整體員工知悉有公平的程序來考慮晉升人員至首長級職位。因此，委員會要求當局在這機制下倡行以下原則：

- (a) 在選拔較年青人員快速晉升時，也不應忽略年資較深的人員，特別是那些獲評為同樣優秀(即使不是更優秀)而且具備晉升潛質的人員。
- (b) 對於設有相當數量首長級職位的部門，在擢升人員至首長級薪級第1點和第2點的首長級初級職位時，如果有關人員已符合《公務員事務規例》第109(1)(a)(i)條<sup>46</sup>中有關12個月實際服務期的規定，則他的年齡會否局限其長遠晉升潛質，通常不應作為考慮因素，窒礙該員的晉升機會。
- (c) 為首長級薪級第3點及以上的首長級高級職位制訂穩健的接班安排時，須考慮有關人員擔任部門首長職位的能力和潛質，而該員的年齡無可避免會成為一個影響因素。至於晉升至部門首長職位的安排，按照委員會較早前建議<sup>47</sup>，入選人員在履任後最好有三年實際服務期，以便有足夠的時間和持續性，讓在任者帶領部門和激勵員工以提供更佳服務。

<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.

根據《公務員事務規例》第109(1)(a)(i)條，由晉升生效日期起計，實際服務期不足12個月的人員，通常不獲考慮晉升。

<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.

委員會認為，有關人員由接任部門首長起計，最好至少有三年實際服務期，理由是：(a)每隔數年便更換部門首長，並不符合有關部門及整體員工的利益；以及(b)部門首長的角色十分重要，在任的部門首長應有足夠時間帶領部門向前邁進，領導和激勵員工，管理和帶來革新，同時維持部門的持續性，並領導部門提供更佳和更具成本效益的服務。

- 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 有關上文第6.2段(a)項，值得注意的是公務員事務局局長和該局的常任秘書長都積極跟進接任計劃的問題。過去一年，他們促請面對接班問題的部門，在維持公務員隊伍穩定性的同時，要認真地從較低級的人員當中，物色較年青和具潛質的人員，加以栽培，讓他們能夠及早接任較高級的職位。政府在栽培和加快擢升潛質優厚人員的同時，亦要為盡忠職守和工作表現可靠的人員提供足夠的晉升機會，並在兩者之間取得適當的平衡。有關這方面，委員會較早前曾經建議，獲推薦升任部門首長的人選，由接任部門首長職位當日起計，最好至少有三年實際服務期。這項建議已為部門提供了明確的指引，如有需要，部門可從合資格職級以下一級的人員中物色合適人選，加以栽培，使他們可及早成為部門首長職位的接班人選。
- 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 有關上文第6.2段(b)項，委員會認為，對於設有相當數量的首長級薪級第1點和第2點職位的部門來說，在挑選合適人員晉升這些職位時，可以考慮以年資較長、盡忠職守和工作表現可靠的人員搭配潛質優厚和年資較短的人員。

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 有關上文第6.2段(c)項，在二零零七年內舉行了八次首長職位的晉升選拔，其中三次未能挑選到合適人選填補部門首長職位。當中兩個職位會透過公開和內部招聘來填補，另一個職位則已透過跨職系職位調派安排填補。至於其餘五個由內部晉升填補的部門首長職位，其中四名入選的人員會如委員會建議般有三年或更長的服務期可擔任部門首長職位<sup>48</sup>。此外，對於只設有一個副處長職位的部門，公務員事務局一向都有提醒其在任首長留意上文第6.2段(c)項的原則，即年齡這個考慮因素，難免影響接任高層首長級人員職位的安排。據公務員事務局告知，對於只設有一個副處長職位的部門，該局在審議該等部門各有關職級的晉升事宜時，都會重申這個原則，確保被挑選為有潛質接任部門首長的人員不會因年齡而影響其晉升前途。

<sup>48</sup> See Note 47 on page 61.  
請參閱第61頁註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.

## 表現管理制度

6.6 管理層是否有能力網羅出類拔萃的人員以待加快栽培，關鍵在於公務員工作表現評核制度的成效，即該制度是否鼓勵如實填寫評核報告的文化。給予表現未夠優秀的人員過高的評級，可能會妨礙晉升選拔委員會的判斷，使真正表現卓越的人員未能先拔頭籌，獲得及時的栽培。健全的表現管理制度是接班計劃中不能或缺的，部門首長及其督導人員必須緊記如實填寫評核報告的重要性及其對接班計劃的影響。委員會會繼續留意詳載於第五章為進一步加強公務員表現管理制度而推行的各項改善措施的成效。

## 事業發展及職位調派計劃

6.7 委員會相信，為支持接班計劃，根據健全的表現管理制度訂定清晰的事業發展及職位調派計劃同樣重要。委員會就個別晉升選拔建議給予意見的過程中，一直提醒部門首長他們有責任為員工安排調職，以擴闊他們的工作知識和閱歷，並進一步發展他們的領導才能。委員會鼓勵部門首長採用更積極的職位調派計劃，並加強其職位調派政策的透明度。在少數個案中，雖然先前的晉升選拔委員會曾建議安排某些人員調職，但部門至今未作安排。對於這些個案，委員會已推行“按時呈閱”制度，要求有關部門在指定期間(如三至六個月)內匯報進度。

6.8 在另一宗晉升選拔個案中，委員會留意到，兩名長期在其現有職位擔任一些非主流職務的人員，獲七年前舉行



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,

的晉升選拔委員會推薦調職，以期擴闊他們的工作領域。不過，有關部門由於未能找到合適的替任人員與該兩名人員對調，故未能作出相應安排。委員會認為管理層數年來均未能為該兩名人員及時安排調職極不可取。一如委員會的二零零六年年報所述，管理層應顧及職系人員的事業前途，力求在個別員工的事業發展需要及部門有效運作之間取得平衡。閱歷不足的問題，與人員本身無尤，其晉升或署任的機會不應因而受到影響。委員會敦促該部門盡快為該兩名人員安排調職，並在三個月後匯報有關的進展。該部門積極回應委員會的意見，其後為該兩名有關人員調職，安排他們擔當主流職務。為了更及時和定期為該職級的人員安排調職，該部門亦制定了一些措施，例如採用更積極的職位調派政策，以三年為一般調職任期；及早物色替任人員以確保有足夠時間為替任人員提供合適的培訓課程，使他們具備所需的知識和技能。此外，該部門亦會循不同途徑(如事業前途發展面談)提高該職位調派機制的透明度。

6.9 一般來說，部門首長/職系首長應制訂事業發展及職位調派計劃，及早栽培有潛質接任首長級職位的人員。高層首長級人員須留意其培育人才的共同職責，亦有責任提醒各階層的主管人員須順應員工的職位調派安排，作出配合。未能遵辦的主管人員，反映其員工管理和表現管理能力欠佳，這一點將會在評核有關主管人員是否適合晉升時，成為考慮因素。

failing 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

## 在退休後延任或重行受僱

6.10 為配合上文所述的接班策劃工作，委員會已採用嚴格準則審議在退休後延任或重行受僱的申請。過去兩年，委員會曾向當局提出，根據慣例，公務員一旦退休便應離職，只有在運作上有必要的例外情況下，才應考慮在退休後延任或重行受僱的申請，惟有關人員須健康和品行良好，工作表現令人滿意，而且該員留任也不會阻礙較低職級人員晉升。此外，如延任或重行受僱的申請獲批，任期也應設有時限。這些決定因素有助當局執行積極的接班計劃。公務員事務局已就委員的關注事項作出檢討，並建議多項措施，以便更妥善管理公務員退休後的續聘事宜。公務員事務局會公布修訂安排，供全體公務員採用。

## 推展接班計劃

6.11 值得鼓舞的是當局積極為接班計劃進行步署。委員會注意到，年內，當局為配合首長級職位的接班，已安排更多部門職系人員借調政府總部，讓他們有機會接觸決策局和立法會事務。公務員培訓處會於二零零八年推行一項接任管理計劃，以協助部門更有針對性地推展接班策劃工作。該項接班管理計劃分為兩部分，第一部分的工作坊暨研討會，會邀請採用良好接班策劃措施的部門，分享他們的經驗、栽培領袖的策略和模式、箇中挑戰和所知所識等。第二部分則是編製有關接班管理和人才培育的資料套。該資料套提供詳盡指引，協助部門了解有

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.

效策劃和管理接班工作的要素，也讓部門了解如何在現行首長級職位接班策劃制度中，達致有關目標。資料套亦會介紹接班管理的重點事項、培育人才的架構或模式、最佳做法和應避免的錯誤。另外，公務員培訓處會積極訪問各部門，就有潛質接任首長級職位的個別人員的培訓和發展需要，向高級管理階層提供意見。

6.12 委員會認為只要委員會、公務員事務局、決策局和部門管理階層各方齊心合力，定能令必須建立良好接班管理的重要訊息得以扎根，並產生積極成效。

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(A)O]. 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 除了就高職級公務員職位空缺的招聘和晉升選拔提供意見外，委員會亦就繼續聘用或終止聘用公務員的聘任事宜提供意見。有關個案涵蓋不獲續約或終止合約、提供任期較正常為短的合約、因品行或表現問題而拒予或延長通過試用或試任關限、首長級人員根據補償退休計劃<sup>49</sup>提早退休，以及根據《公務人員(管理)命令》第12條為公眾利益着想而退休等情況。此外，委員會亦就退休後延任或重行受僱、借調<sup>50</sup>、開放職位安排<sup>51</sup>，以及提供改訂的聘用條款<sup>52</sup>予高職級的在職公務員<sup>53</sup>等其他與聘任有關的個案提供意見。委員會曾提供意見的個案按上述聘任事宜的類別劃分的數字，載於附錄 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.

補償退休計劃在二零零零年首次推出。假如批核當局確信：

(a) 有關人員從現任職位退休，有助所屬部門或職系在組織上作出改善；或  
(b) 管理層難以把有關人員安置在其他政府工作崗位；

便可根據管理理由，讓首長級常額編制人員退休，以便在組織上作出改善和維持首長級人員應有的高水平。

有關人員會事先獲得通知和給予機會作出申述。由公務員事務局局長主持的小組委員會會考慮每個個案，並會就建議這些人員退休一事徵詢委員會的意見。

<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.

借調是暫時免除有關人員的責任職務，以有時限和非責任的方式，安排該員填補另一個不屬於其本身職系的職位。一般而言，假如某部門在一段短時間內需要某些技能或專長來配合運作，而具備這些技能或專長的人員只能在另一個公務員職系中找到，該部門便會考慮借調有關人員填補轄下的職位。

<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.

開放職位安排是指把合約人員所擔任屬於晉升職級的職位，開放給目前出任該職的人員及其他低一級的合資格人員競逐。這項安排適用於本身是永久居民而又希望按本地模式條款續約的海外合約人員，以及申請按現行條款續約的其他合約人員。

<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.

按本地合約條款或本地模式合約條款或劃一合約條款受聘的人員，均有資格申請轉為按本地或劃一常額及可享退休金條款受聘，但須視乎下列各點而定：(a) 服務需要；(b) 申請人是否符合有關具有有效履行職務所需中文程度的規定；(c) 申請人的表現及品行；以及(d) 申請人的健康情況。

<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 \$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.

這是指屬委員會正常職權範圍內聘任的高職級人員(即頂薪點達總薪級第26點(現為\$33,330元)或以上或同等薪點的人員)，當中不包括：(i) 頂薪點達總薪級第26點或以上屬於非學位及非專業職系的基本職級人員；以及(ii) 訂明不在委員會職權範圍內的司法機構人員、廉政公署人員及香港警務處紀律職系人員。

## 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 fails 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.

## 根據《公務人員(管理)命令》第12條為公眾利益着想而退休

7.2 根據《公務人員(管理)命令》第12條退休，並非紀律行動，也不是懲罰，而是為公眾利益着想，基於下列原因而採取的行政措施：

- (a) “工作表現持續欠佳” — 儘管已給予有關人員證明工作能力的機會，但他的表現仍未能達到要求；或
- (b) “失去信心” — 管方已對有關人員失去信心，不能再委派他執行公職。

為公眾利益着想而退休的人員，其退休福利會延至他達到法定退休年齡當日才可享受。

7.3 一如二零零五年及二零零六年年報作出的匯報，公務員事務局在諮詢過委員會後，在二零零五年十月實施新的簡化程序，以便根據《公務人員(管理)命令》第12條處理工作表現欠佳人員。根據新安排，採取第12條的行動的工作表現欠佳時期下限，已由12個月縮短至六個月，使當局可及時採取適當的管理行動。



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 年內，27個局/部門轄下共57名人員根據第12條所訂程序受到密切觀察。當局在徵詢委員會的意見後，根據第12條着令其中七名人員退休(六人因為工作表現持續欠佳，一人則因為當局對其失去信心)。不過，截至年底為止，仍有37名人員受到密切觀察；另有五名人員因表現有所改善，達到應有水平，已從觀察名單中除名；其餘八名人員離職，原因包括退休，以及因喪失工作能力而遭着令退休。委員會欣悉，為使表現欠佳的人員重拾正軌，當局和部門管方致力提升工作表現管理，令二零零七年內須根據第12條採取行動的個案有所減少。

7.5 儘管如此，委員會注意到，在兩宗須根據第12條採取行動的個案中，有關人員在試用期間的表現未如理想，但仍通過試用關限，並獲確實聘任為常額編制人員。更甚者，其中一人即使工作表現備受劣評，仍通過了考績關限。委員會認為，在兩宗個案中，部門管方都應該在關鍵時間就有關人員是否適宜通過試用和考績關限提出質疑。基於兩人在試用期間表現不如理想，管方至少應延長他們的試用期，以及延遲通過考績關限，以便進一步觀察他們的工作表現。職系首長對試用期間表現未能達標的人員加以姑息，並確實聘任他們為常額編制人員是極之不當的做法。委員會已在二零零二年年報中，就一宗須根據第12條採取行動的個案，以及在二零零四年至二零零六年的三份年報中，就適當管理試用人員，提出類似的意見。委員會

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>54</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.

已提醒有關部門及早採取行動，根據《公務員事務規例》第186(2)條<sup>54</sup>終止聘用未能符合職系要求的試用人員。

- 7.6 委員會在審核與晉升選拔有關的評核報告時，會繼續留意或須根據第12條採取行動的個案，提醒部門採取適當跟進行動。委員會亦會密切監察部門管方是否果斷地採取這項行政措施。另外，儘管上文第7.3段提到，根據第12條的程序處理一宗個案的所需時間已大幅減少，委員會已向當局建議，在二零零八年下半年對實施了三年的第12條精簡程序的成效進行檢討。當局同意跟進建議。

<sup>54</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.

根據《公務員事務規例》第186(2)條，聘任當局如認為按試用條款聘用的人員因性情、品格欠佳，或行為不當，或辦事效率欠佳，或其他原因而不應繼續留任，可徵詢公務員敘用委員會的意見，終止他的聘用，或拒絕批准他通過試用關限。

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 委員會的一項主要職責，是就所有在其職權範圍內的甲類公務員<sup>55</sup>的紀律個案，向行政長官提供獨立公正的意見。如果紀律個案涉及的不當行為性質輕微，部門首長無須訴諸正式紀律研訊，即可採取簡易紀律處分行動和向涉案人員發出警告<sup>56</sup>。但是，如涉案人員屢犯輕微過失或作出嚴重不當行為，當局便會根據《公務人員(管理)命令》第9或第10條<sup>57</sup>採取正式紀律行動。至於刑事定罪의個案，當局會考慮根據《公務人員(管理)命令》第11條<sup>58</sup>採取行動。《公務人員(管理)命令》第18條規定，除《公務員敘用委員會條例》<sup>59</sup>訂明不適用的人員的個案，以及發出警告的簡易紀律處分行動個案外，當局在懲罰<sup>60</sup>受《公務人員(管理)命令》<sup>61</sup>第9至第11條制裁的甲類人員前，必須先徵詢委員會的意見。

<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.

根據《公務人員(管理)命令》，獲委任並已獲確實受聘擔任設定職位的人員，即屬甲類人員。除了試用人員、合約人員和按第一標準薪級表支薪的人員外，甲類人員實際上包括了所有公務員。截至二零零七年底，公務員內的甲類人員總數約為134 200人，當中109 900人歸屬委員會的職權範圍(以紀律事宜計)。

<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.

口頭和書面警告均列作簡易紀律處分行動，被警告的人員通常在一年內不會獲得晉升或委任。採取簡易紀律處分行動的個案，無須徵詢委員會的意見。

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

請參閱第5頁註4及5。

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

請參閱第5頁註6。

<sup>59</sup> See Note 3 on page 5.

請參閱第5頁註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.

這些懲罰包括譴責、嚴厲譴責、降級、迫令退休和革職。目前，當局處以這些懲罰(降級和革職除外)時可另加罰款。請同時參閱有關罰款事宜的註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.

除某些紀律部隊人員受有關紀律部隊法例(即《監獄條例》、《消防條例》等)約束外，所有公務員一律受《公務人員(管理)命令》的紀律條文規管。

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 為確保公務員的品格操守符合市民日益提高的期望，委員會支持當局以果斷態度對待紀律事宜，迅速處理任何公務員被指稱涉及不當行為的個案，以收懲前治後之效。雖然如此，委員會就紀律個案提供意見時，不忘堅守公平、公正和公務員處分總體一致的原則。其他考慮因素包括每宗個案所涉不當行為或罪行的性質和嚴重程度、涉案人員的服務記錄、從寬處理的理由、是否涉及法律訴訟，以及以往案例懲罰的輕重。如有部門認為須以更嚴厲的態度對待某些不當行為，委員會樂於在不違背處分總體一致的原則下，予以支持。舉例來說，有大量前線人員執行外勤職務的部門，可能須對擅離職守的不當行為實施較重懲罰，以給予涉案人員必要的懲治，並對其他人員起阻嚇作用。

8.3 委員會在提供意見前，會認真考慮公務員紀律秘書處與有關部門所提交的觀點和論據。秘書處與部門如對懲罰的輕重有異議，雙方的觀點均須提交委員會考慮。

## An Overview of Disciplinary Cases Advised in 2007

## 二零零七年委員會提供意見的紀律個案概況

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，委員會就91宗紀律個案提供意見，與二零零五年的104宗和二零零六年的103宗相比，整體情況變化不大；以委員會職權範圍內的109 900名甲類人員計算，所佔比例也極小，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 這91宗個案按不當行為或罪行和懲罰方式劃分的數字，載於*附錄VII*。按薪金組別和懲罰方式作出的分析，載於*附錄VIII*。在這91宗個案中，有20宗(佔22.0%)所涉人員最終遭免職<sup>62</sup>；而處以“嚴厲譴責<sup>63</sup>另加罰款<sup>64</sup>”的個案則有44宗(佔48.3%)。嚴厲譴責另加罰款，是免職與降級之下的最重懲罰。從這些數字可見，當局對行為不當的公務員絕不姑息。下表顯示委員會在二零零七年提供意見的91宗個案按懲罰方式劃分的數字。

## 對主要紀律事宜的檢討和相關的

<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。

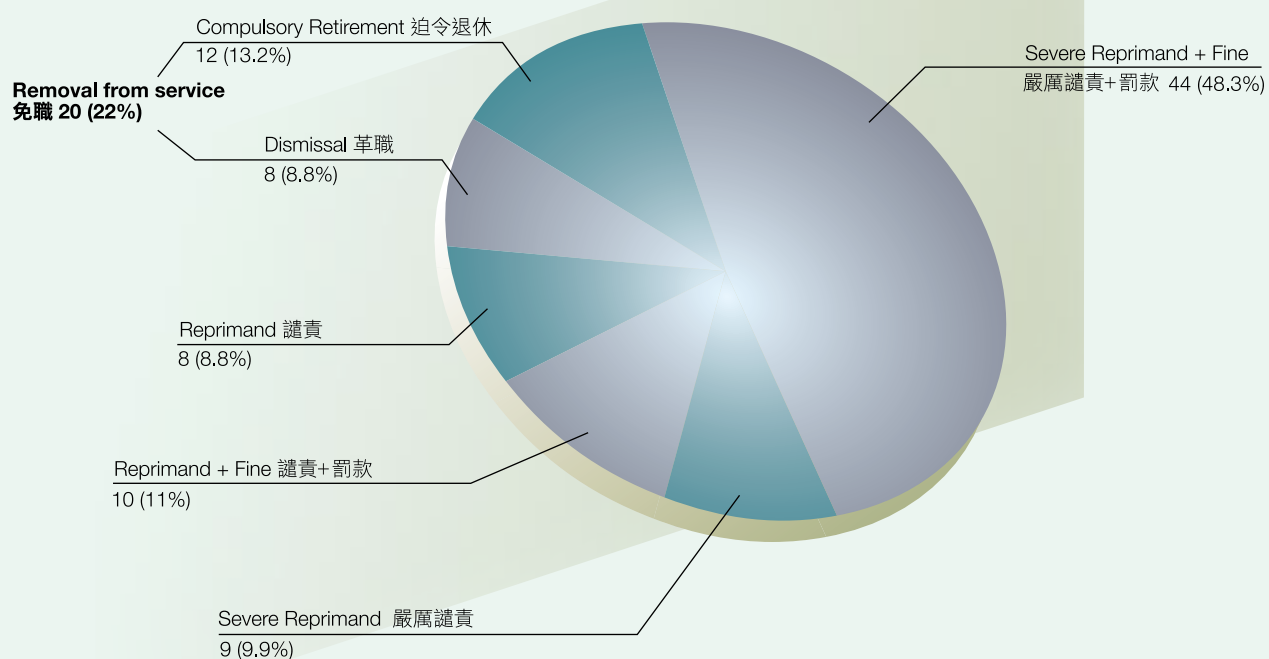


## Disciplinary Cases Advised in 2007

### 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.

## 意見

8.6 委員會除了就紀律個案提供獨立公正的意見外，還會監督紀律處分機制的運作。在審核部門建議時，委員會會留意值得關注的事宜，然後建議當局為此進行檢討和討論，以期理順現行的紀律處分政策或程序，並制訂新政策或程序和懲罰尺度。下文各段載述在二零零七年檢討的懲罰尺度和主要事項，以及委員會的意見和建議。

### 涉及長期監禁刑罰的刑事判罪個案

8.7 在一宗紀律個案中，某名人員經定罪後被判處長達九個月的監禁刑罰。有關部門建議讓該員在服刑後留任，但須對他處以嚴厲譴責和罰款的懲罰。

這宗個案帶出以下問題：

- (a) 基本的問題是，從僱主角度看，應否包容被判處長期監禁刑罰的人員；以及
- (b) 實際的問題是，容許有關人員因服刑而長期缺勤的做法是否恰當；該員缺勤可能對有關部門的運作造成不便和干擾；以及從寬處理可能令人產生負面的看法。

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.

8.8 經檢討後，有關部門同意迫令有關人員退休。儘管委員會認為無須釐訂尺度，訂明刑期要多久當局才須考慮把被定罪的人員免職，但如有關人員被判處長達三個月或以上的監禁刑罰，當局便須慎重考慮是否值得讓該員留任。

### 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.

### 告誡字句的應用範圍

8.9 為加強阻嚇作用，當局對被裁定干犯不當行為或刑事罪行的人員作出紀律懲處時，或會在有關信件內加入告誡字句，申明如該員再度行為失當，即行免職。在二零零五年，委員會關注到，當局作出懲處時，例必加入告誡字句。委員會認為應慎重使用而非濫用告誡字句，並請當局檢討是否須收緊這些字句的應用範圍。經檢討後，當局在二零零五年六月公布，只有在嚴重的個案中，當有關人員再度干犯不當行為，便有可能被免職的情況下，才使用告誡字句。委員會注意到，當局現已理順使用告誡字句的情況，只限在有必要時才使用。具體來說，有必要使用告誡字句的情況，是那些受到免職以外最嚴厲懲處的個案。提出告誡旨在向有關人員嚴正申明，這是最後的一次機會，讓他留任證明自己仍是可用之材。

## Reporting of non-duty-related offence of “careless driving”

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.

## 上報與公務無關的“不小心駕駛”罪行

8.10 一如委員會二零零六年年報所述，按照現行做法，公務員如果只觸犯與公務無關的“不小心駕駛”罪行，而事件中無人傷亡，當局便不會根據《公務人員(管理)命令》第11條對該員施加懲罰。不過，根據《公務人員(紀律)規例》第13(1)條<sup>65</sup>，該員仍須向所屬部門首長上報有關的刑事法律程序，以供考慮是否根據《公務人員(管理)命令》第11條作出紀律處分。由於這類罪行與公務、操守或誠信無關，應不會損害政府形象，委員會認為，只要沒有其他罪行牽涉在內，而有關人員在事發時又並非駕駛政府車輛，他們應可免除精神負擔，無須上報有關程序和等候當局決定是否作出懲罰。

8.11 委員會已要求當局考慮就這類個案給予劃一豁免，無須根據《公務人員(紀律)規例》第13(1)條和《公務人員(管理)命令》第11條處理。換言之，有關人員如因觸犯與公務無關的“不小心駕駛”罪行而被提起刑事法律程序，應獲豁免向所屬部門首長呈報；如該員被裁定上述“不小心駕駛”罪名成立，所屬部門也無須採取任何跟進行動。

8.12 經檢討後，當局建議各類交通違例事項(包括不小心駕駛)可獲豁免，無須上報，惟須符合若干條件，而這些條件將在諮詢員工後敲定。當局於落實政策改變後，隨即會修訂《公務人員(紀律)規例》，然後才實施新的安排。

<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. 根據《公務人員(紀律)規例》第13(1)條，如有刑事法律程序針對任何人員提起，該人員須將該事實向其部門的首長報告。

## 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.

## 在革職與迫令退休之間增加懲罰級別的建議

8.13 正如委員會過往年報所述，當局一直就有關在革職和迫令退休之間增設懲罰級別的建議，進行檢討<sup>66</sup>。經詳細審議後，當局認為無必要加設懲罰級別，但提議較多以降級或減薪作為懲罰，這樣所起的懲戒作用可能更大和更持久。委員會接納當局的結論。

## 按公務員公積金計劃條款受聘的人員的紀律處分制度

8.14 當局正為按公務員公積金計劃<sup>67</sup>條款受聘的人員，擬定一套釐定不同級別紀律處分的制度，這項工作進展良好。在擬議制度須與適用於可享退休金人員的現行紀律處分制度大致相若的前提下，當局初步徵詢了委員會對擬議制度的意見。委員會大致支持擬議制度，並要求當局在諮詢部門管理層和員方後，向委員會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.

委員會曾建議在迫令退休和革職之間增設懲罰級別，以便對或可判處革職的個案實施扣減退休金懲罰。委員會當時的關注是就某些不當行為個案而言，把涉案人員革職可能過於嚴厲，因為他會喪失所有退休金利益；而迫令涉案人員退休則可能過於寬鬆，因為他在達至正常退休年齡時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.

公務員公積金計劃適用於二零零零年六月一日或之後按新入職制度受聘並已獲實聘為常額編制人員者。



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 年內，委員會主席聯同委員訪問了政府化驗所、郵政署和香港天文台，與這些部門的高層管理人員就共同關注的課題交換意見，並藉此機會推廣良好的人力資源管理方法。在訪問期間，主席與各委員參觀了政府化驗所生化組、郵政署入口信件分揀組和香港天文台天氣預測總部，得以親睹這些部門的日常運作和提供服務情況。

9.2 年內，委員會繼續與內地的有關機構保持緊密聯繫。委員會秘書處接待了三個公務員代表團（一個來自武漢市，兩個來自深圳市），除簡介委員會的角色、職能和工作外，也就各項關於公務員聘任和紀律的議題，與代表團成員進行討論，交流意見。

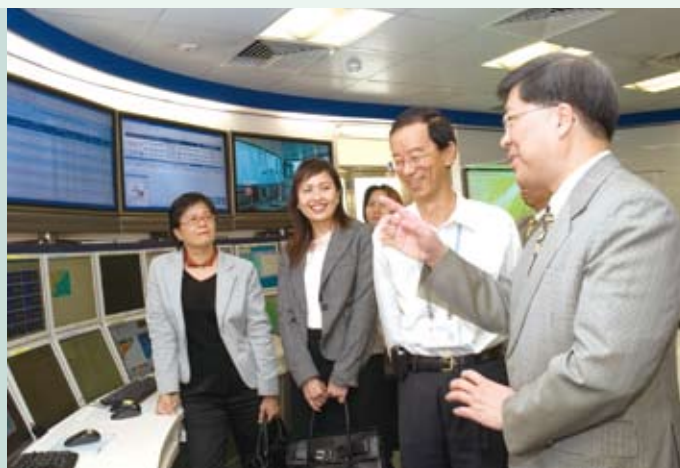


Mr Nicholas Ng (second left), Chairman of the Public Service Commission, accompanied by Dr. TING Tai Lun (first right), Government Chemist visited the Government Laboratory.

公務員敘用委員會主席吳榮奎先生(左二)，在丁大倫博士(右一)，政府化驗師陪同下參觀政府化驗所。

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.

公務員敘用委員會主席吳榮奎先生(右一)與委員陳清霞女士(左二)和黃美春女士(左一)在林超英先生(右二)香港天文台長陪同下參觀香港天文台。



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.

公務員敘用委員會主席吳榮奎先生(右二)與委員施文信先生(左一)在譚榮邦先生(左三)香港郵政署長陪同下參觀香港郵政。

- 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 公務員事務局局長及屬下人員不斷鼎力支持，並協助委員會各方面的工作，委員會謹此衷心致謝。年內，各常任秘書長、部門首長及高層人員對委員會的提問和建議給予衷誠合作，理解有加，委員會在這裏也一併致謝。
- 10.2 一如以往，委員會秘書處職員繼續向委員會提供全力支援，在審核部門建議方面，克盡厥職，表現卓越，主席與各委員謹此表揚他們的貢獻。

### Submissions with Revised Recommendations after the Commission Secretariat's Observations 委員會秘書處提供意見後曾作修訂的建議

Category 類別	Open/ In-service Recruitment 公開 / 內部招聘	Promotions/ Acting Appointments 晉升 / 署任職位	Continuous Employment/ Termination of Service 延任 / 不予續聘 <sup>68</sup>	Other Appointment- related Submissions 其他聘任 相關個案 <sup>69</sup>	Discipline 紀律	Total 總數
Number of submissions advised on 曾提供意見的建議	155	526	25	98	91	895
(a) Number of submissions queried 曾提出質疑的建議	15	275	1	17	13	321
(b) Number of submissions with revised recommendations following queries 在提出質疑後作出修訂 的建議	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 曾提供意見的建議	765		892		895	
(a) Submissions queried 曾提出質疑的建議	245		278		321	
(b) Submissions with revised recommendations following query 在提出質疑後作出修訂的建議	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/不予續聘的個案包括不獲續約、提供任期較正常為短的合約、新聘人員因品行/表現問題而遭延長/拒予通過試用/試任關限、首長級人員根據補償退休計劃提早退休，以及根據《公務人員(管理)命令》第12條為公眾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.

其他聘任相關個案包括在新/舊入職制度下續約/延長合約期、退休後延任/重行受僱、覆檢署任安排以符合運作需要、開放職位安排、借調、修訂聘用條款和更新《聘任指南》。

CURRICULA VITAE OF THE CHAIRMAN  
AND MEMBERS OF THE PUBLIC SERVICE COMMISSION  
委員會主席及委員簡介



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).

吳榮奎先生, GBS, JP

*委員會主席  
(二零零五年五月一日獲委任)*

*職業: 公務員絛用委員會主席*

*學歷: 香港大學榮譽社會科學學士、  
英國特許秘書及行政人員公會  
資深會員、香港特許秘書公會  
資深會士*

吳榮奎先生是資深公務員。他在一九七一年加入政務職系，退休前擔任的高級職位計有副銓敍司(人事管理)(一九八五至八七年)、公務員薪俸及服務條件常務委員會秘書長(一九八九至九一年)、布政司辦公室轄下行政署長(一九九一至九四年)、憲制事務司(一九九四至九七年)及運輸局局長(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.

陳清霞女士, GBS, JP

*委員會委員  
(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)*

*職業: 祖偉仕律師行的高級合夥人、  
多家公司的董事*

*學歷: 法學士、理學士、  
中國法律文憑*

陳女士是九龍醫院和香港眼科醫院的主席。她是香港科技大學校董會成員、中國人民政治協商會議天津市委員會常務委員、中國司法部委托公證人、中國國際經濟貿易仲裁委員會的仲裁員、天津市人民政府對外經濟法律顧問，以及香港中國企業協會的法律顧問。此外，她也是行政上訴委員會委員、香港會計師公會紀律小組會員、維多利亞大學基金會主席和香港加拿大商會董事。





### 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.

### 葉錫安先生, JP

*委員會委員*

*(二零零三年五月二十三日獲委任)*

*職業：商人*

*學歷：香港最高法院律師*

葉先生是香港賽馬會董事，以及恒隆集團有限公司的獨立非執行董事。他同時是退休公務員就業申請諮詢委員會委員、外匯基金諮詢委員會委員、恒生指數諮詢委員會成員，以及香港愛滋病基金會顧問委員會的成員。此外，他也是香港科技大學顧問委員會榮譽委員、香港大學法律專業學系榮譽講師、北京清華大學法學院研究顧問，以及醫療管理學會榮譽院士。



### 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

*委員會委員*

*(二零零四年二月一日獲委任)*

*職業：太古股份有限公司獨立非執行  
董事、李錦記有限公司非執行  
董事*

*學歷：香港大學榮譽文學士*

施先生是廉政公署審查貪污舉報諮詢委員會的成員。他終生為香港政府服務，一九六九年加入政務職系，在約26年的公務員生涯中，曾任多個部門和決策科首長。他退休前擔任公務員事務司，一九九六年退休後轉任香港貿易發展局總裁，二零零四年五月離任。



### 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

*委員會委員*

*(二零零四年二月一日獲委任)*

*職業：商人*

*學歷：特許會計師(蘇格蘭)、  
格拉斯哥大學和香港大學法學  
學位*

施文信先生是香港上海滙豐銀行有限公司和香港鐵路有限公司的非執行董事，也是英國電訊亞太諮詢委員會委員和香港賽馬會董事。



**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.

**羅家駿先生, JP**

*委員會委員  
(二零零六年二月一日獲委任)*

*職業：商人  
學歷：香港大學榮譽理學士*

羅先生是聯強國際(香港)有限公司總裁兼執行長。他也是公務員薪俸及服務條件常務委員會主席，以及首長級薪俸及服務條件常務委員會委員。



**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)*

**簡金港生女士**

*委員會委員  
(二零零六年二月一日獲委任)*

*職業：九廣鐵路公司人力資源總監 /  
香港鐵路有限公司總監(特別  
職務)*

*學歷：香港大學榮譽文學士、香港  
中文大學工商管理碩士、  
倫敦大學文學碩士*



**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 Excel Technology International Holdings Limited.

**黃美春女士, JP**

*委員會委員  
(二零零六年七月一日獲委任)*

*職業：顧問  
學歷：倫敦大學倫敦政治經濟學院理  
學士(經濟學)、英格蘭及威爾斯  
特許會計師公會會員*

黃女士是廉政公署事宜投訴委員會、律師紀律審裁團、行政上訴委員會和紀律人員薪俸及服務條件常務委員會成員，也是志鴻科技國際控股有限公司的獨立非執行董事。



**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.

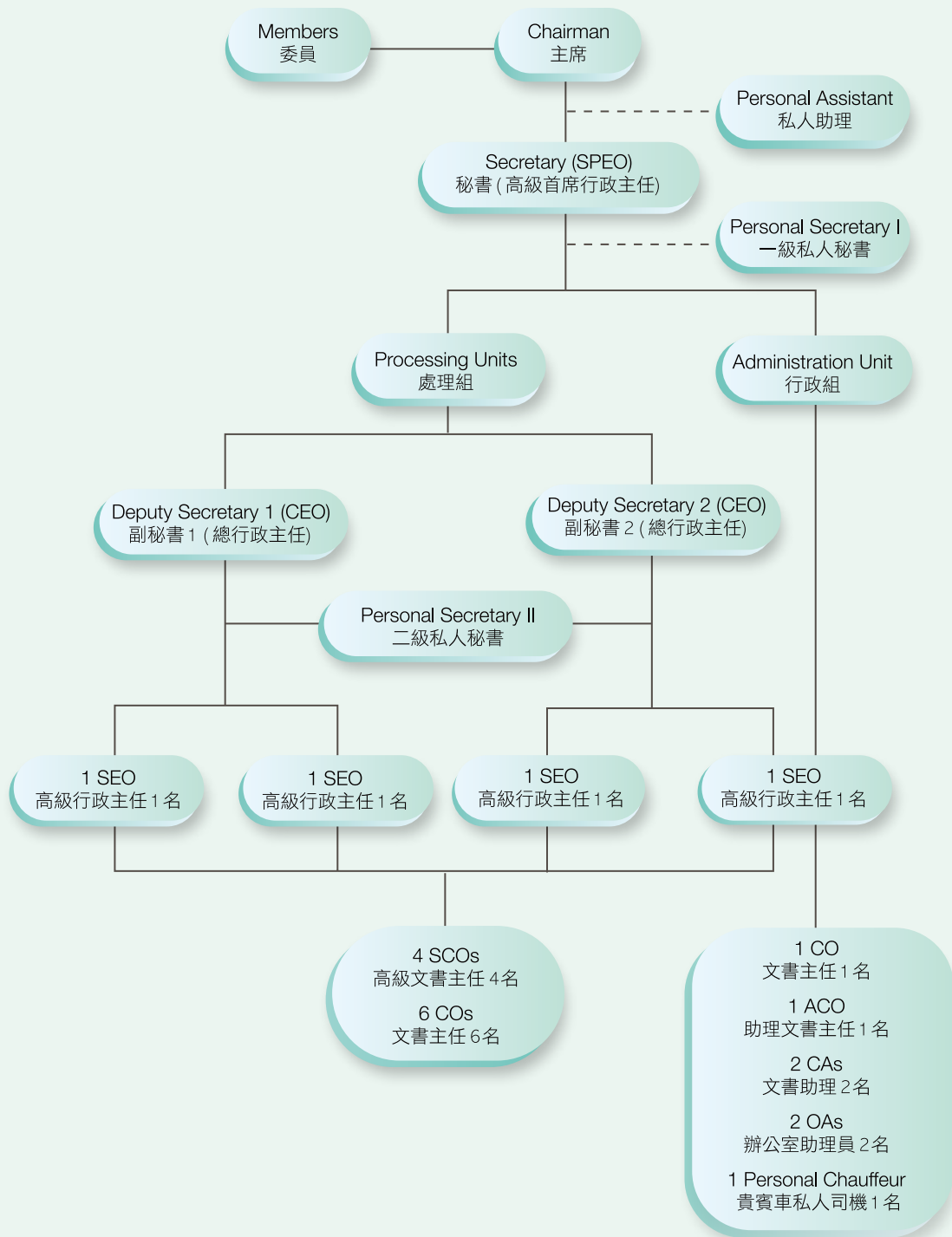
**陳玉樹教授, BBS, JP**

*委員會委員  
(二零零七年十二月一日獲委任)*

*職業：嶺南大學校長  
學歷：香港中文大學工商管理學士、  
柏克萊加州大學工商管理  
碩士、柏克萊加州大學經濟學  
文學碩士、柏克萊加州大學  
財務學哲學博士*

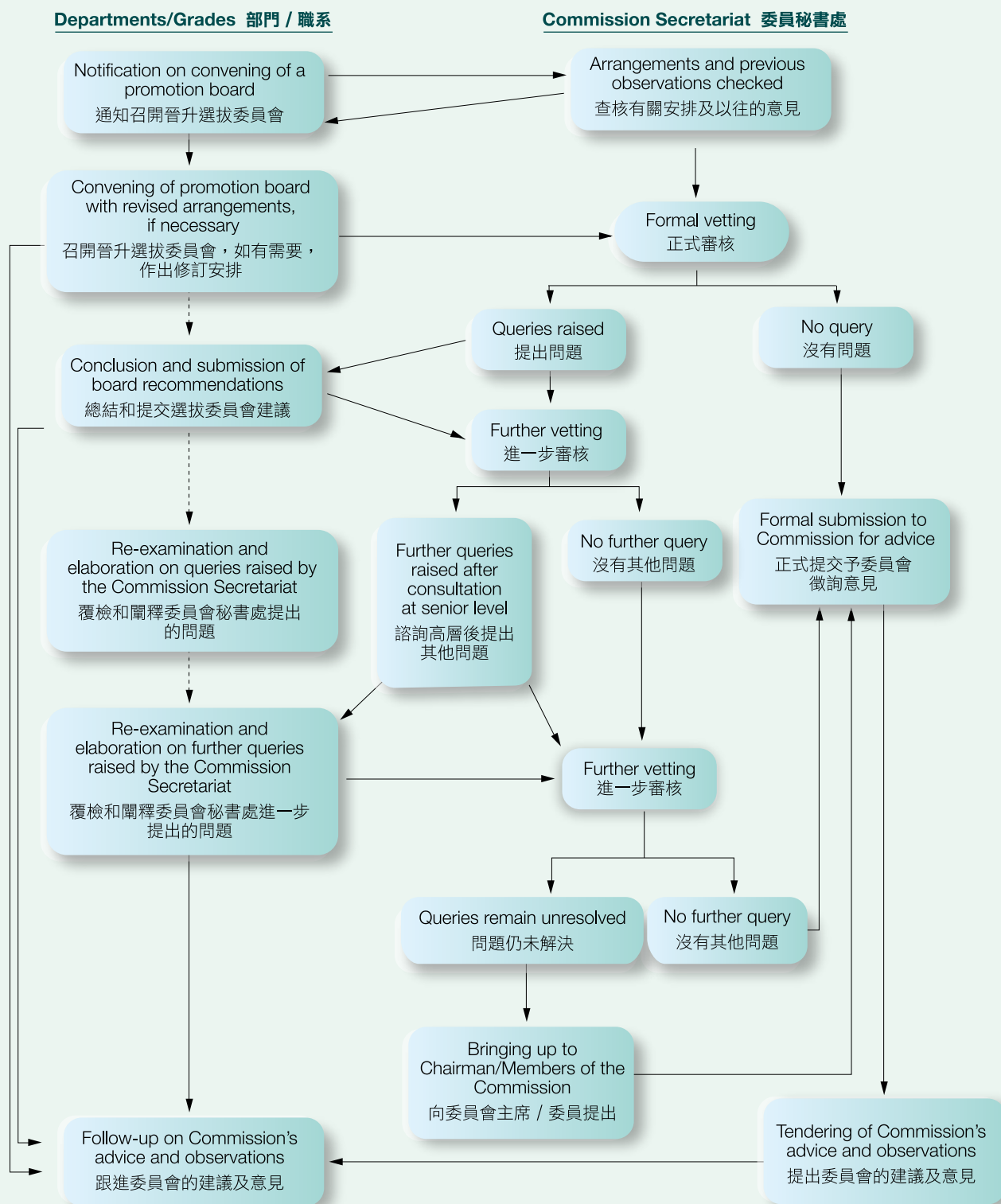
陳教授是社會工作訓練及人力策劃諮詢委員會主席、證券及期貨事務監察委員會程序覆檢委員會成員，同時也是莎莎國際控股有限公司的獨立非執行董事。

Organisation Chart of the Public Service Commission Secretariat  
公務員絛用委員會秘書處組織架構圖



編制		Legend	
Directorate Executive Officer 首長級行政主任	1	SPEO - Senior Principal Executive Officer	
Executive Officer Grade 行政主任職系	6	CEO - Chief Executive Officer	
Clerical Grade 文書人員職系	16	SEO - Senior Executive Officer	
Secretarial Grade 秘書職系	3	SCO - Senior Clerical Officer	
Chauffeur Grade 貴賓車司機職系	1	CO - Clerical Officer	
	27	ACO - Assistant Clerical Officer	
		CA - Clerical Assistant	
		OA - Office Assistant	

**Flow Chart Illustrating the Vetting Process of Promotion Cases**  
**晉升選拔個案審核程序流程圖**



<b>Number of Appointees (by Terms of Appointment) in the Open and In-service Recruitment Exercises in 2007</b> <b>二零零七年公開和內部招聘人數 (按聘用條款列出)</b>	
Open Recruitment 公開招聘	Number of appointees 受聘人數
• on probationary terms 按試用條款受聘	534
• on agreement terms 按合約條款受聘	9
• on transfer (between departments or grades) 轉職 (部門或職系之間)	39
Sub-total 小計	582
In-service appointment 內部招聘	
• on trial terms 按試任條款受聘	92
• on probationary terms 按試用條款受聘	1
• on local agreement terms 按本地合約條款受聘	1
Sub-total 小計	94
Total 合計	676

<b>Comparison with figures in previous years</b> <b>與過去數年的數字比較</b>			
Year 年份	No. of Local Candidates Appointed 聘用的本地應徵者人數	No. of Non-permanent Residents Appointed 聘用的非永久性居民人數	Total 合計
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 (Breakdown by Category)</b> 二零零七年徵詢委員會意見的其他公務員聘任事宜 (按類別劃分)	
Other Civil Service Appointment Matters 其他公務員聘任事宜	Number of submissions 個案數目
Non-renewal of agreement 不獲續約	3
Offer of shorter-than-normal agreements 提供任期較正常為短的合約 <ul style="list-style-type: none"> <li>• on performance/conduct ground (4) 因工作表現/品行操守問題 (4)</li> <li>• to tie in with the 60th birthday of the officers concerned<sup>70</sup> (2) 以配合有關人員的60歲生辰<sup>70</sup> (2)</li> </ul>	6
Renewal or extension of agreement 續約或延長合約期	10
Refusal of passage of probation bar 拒予通過試用關限	4
Deferment of passage of trial bar 延長試任關限	4
Deferment of passage of probation bar 延長試用關限	5
Early retirement of directorate officers under the Management Initiated Retirement Scheme 首長級人員根據補償退休計劃提早退休	2
Retirement under Section 12 of Public Service (Administration) Order on persistent substandard performance ground 因工作表現持續欠佳而根據《公務人員 (管理) 命令》第12條退休	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) 首長級人員 (1)</li> <li>• Non-directorate officers (6) 非首長級人員 (6)</li> </ul>	7
Secondment 借調	7
Opening-up Arrangement 開放職位安排	9
Revision of terms of employment 修訂聘用條款	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.

根據《公務員事務規例》第280及281條，除在非常例外的情況下，合約公務員在年滿60歲後，不會獲考慮繼續聘用。

**Disciplinary Cases Advised by the Commission in 2007**  
**Breakdown by Category of Misconduct/Offence and Punishment**  
 二零零七年徵詢委員會意見的紀律個案  
 按不當行為/刑事罪行類別和懲罰方式劃分的數字

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。

<b>Disciplinary Cases Advised by the Commission in 2007</b> <b>Breakdown by Salary Group and Punishment</b> 二零零七年徵詢委員會意見的紀律個案 按薪金組別和懲罰方式劃分的數字				
Punishment 懲罰方式	Salary Group 薪金組別			Total 合計
	At or Below Master Pay Scale Pt.13 or equivalent 總薪級第13點或以下或 同等薪點	Master Pay Scale Pt.14 to 33 or equivalent 總薪級第14-33點或 同等薪點	Master Pay Scale Pt.34 and above or equivalent 總薪級第34點或以上或 同等薪點	
Dismissal 革職	5	3	0	8
Compulsory Retirement 迫令退休	6	6	0	12
Severe Reprimand + Fine 嚴厲譴責 + 罰款	22	19	3	44
Severe Reprimand 嚴厲譴責	3	2	4	9
Reprimand + Fine 譴責 + 罰款	8	2	0	10
Reprimand 譴責	6	2	0	8
Total 合計	50	34	7	91