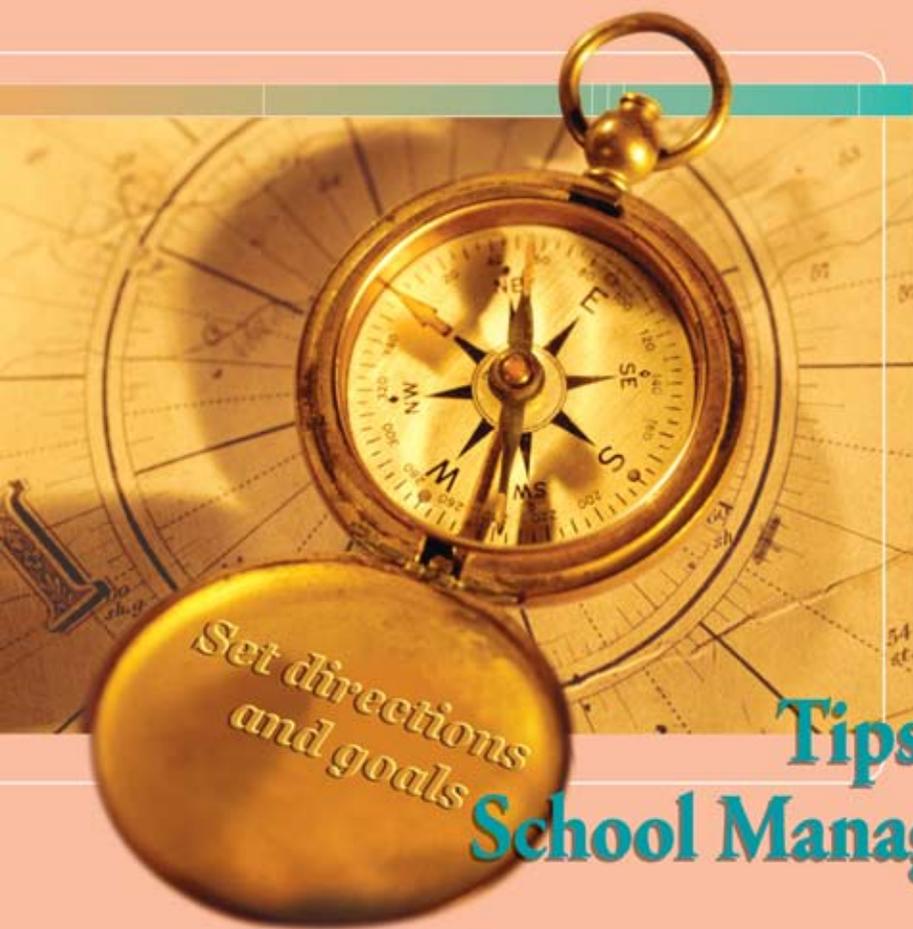


School-based Management Document



# Tips for School Managers



校本管理

School-based Management



# Contents

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**Foreword**

**Chapter 1 School-based Management ..... 1**

**Chapter 2 Roles and Responsibilities of  
School Managers ..... 6**

**Chapter 3 School Development and Accountability ..... 19**

**Chapter 4 Participation of Stakeholders in  
School Management ..... 25**

**More Tips ..... 31**

## Foreword

With the implementation of school-based management, key stakeholders of school education can participate in school management. Teachers, parents, alumni and community members can serve as managers in the management committee and participate in decision-making of the school. The functions of a school manager are to manage the school and formulate policies that best suit the needs of the school as well as the overall interests of the students. A manager is also responsible for school planning with a view to creating an ideal learning environment for their students and nurturing talents for Hong Kong. Hence, aside from the time and energy spent in school management, a school manager should have a good understanding of the school itself as well as the trend of education development in Hong Kong. He should also possess relevant management skills to enable him to perform the role of a school manager effectively.

### **This booklet aims to:**

- provide a concise reference material on the basic concept of school-based management and to give an overview of the duties and functions of a school manager;
- assist serving school managers to refresh their understanding of the duties of school managers;
- serve as an introductory guide to persons interested in becoming school managers. By giving a description of the roles and functions of a school manager, it helps the reader to decide whether he is suitable to serve as a school manager; and
- supplement the existing support measures available to school managers (including training programmes, talks, seminars and other reference materials on school-based management) by providing a handy reading material on the duties of school managers so as to help them perform their roles more effectively.

The booklet is divided into four chapters, which cover the spirit and governance framework of school-based management, scope of school-based management, roles and responsibilities of school managers, school development and accountability framework as well as how to be a competent school manager.

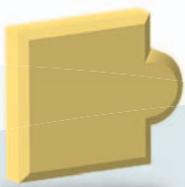
# Chapter 1 School-based Management

## What is School-based Management?

School-based management (SBM) is a management framework, which is school-based, student-centred and quality-focused. Through the devolution of responsibilities, schools are provided with enhanced flexibility and autonomy in managing their own operation and resources for school development so as to develop an environment that facilitates continuous improvement. At the same time, schools are also required to increase accountability in school management through the participation of key stakeholders in decision-making under the SBM governance framework. The ultimate aim of SBM is to improve teaching standards and learning outcomes.

However, a self-managing school is not independent. It is part of the education system. It operates within a centrally determined framework of authorities and responsibilities. Its accounts are audited by a certified public accountant (practicing) and it is publicly accountable for its performance.

## The Spirit of School-based Management



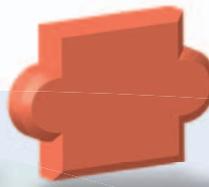
Student-oriented



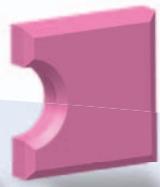
Transparency



Accountability



Participation in decision-making



Self-improvement

# Strategies for Implementing School-based Management

## 1. Streamlining of Administrative Procedures and Devolution of Responsibilities

- Schools are provided with enhanced flexibility and autonomy in managing their own operation and resources according to the needs of students, so as to facilitate the development of quality education with their own characteristics.
- The role of the Education and Manpower Bureau (EMB) changes from a controller to a working partner and a regulator.

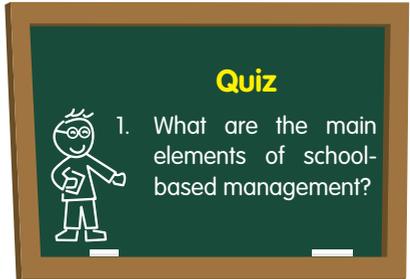
## 2. Transparency and Accountability

- A mechanism is provided under SBM whereby all key stakeholders participate in the formulation of major policies and the evaluation of school effectiveness. It helps to enhance transparency and accountability in school operations and the use of public funds.
- While additional autonomy is given, the schools have to be more accountable, both internally and externally, to ensure that school policies and school management meet the necessary requirements and to assure the public of the effectiveness of school operation.

### Internal Accountability Mechanism

- Given the financial flexibility available under SBM, an effective internal control mechanism has to be installed to prevent malpractices for selfish ends and to ensure proper use of resources in accordance with the relevant regulations and guidelines.
- Schools should examine their school plans regularly to see if they are in line with the actual circumstances as well as the direction of school development. Adjustments should be made accordingly, when necessary.
- Through a systematic and regular self-evaluation system, the quality and effectiveness of different initiatives can be assessed, thus promoting self-improvement and continuous school development.

- Schools should make use of school reports and school functions to inform stakeholders of the performance of the schools and their students.
- The participation of different stakeholders in the decision-making process helps enhance transparency of school management on the one hand and provides internal checks and balances on the other.



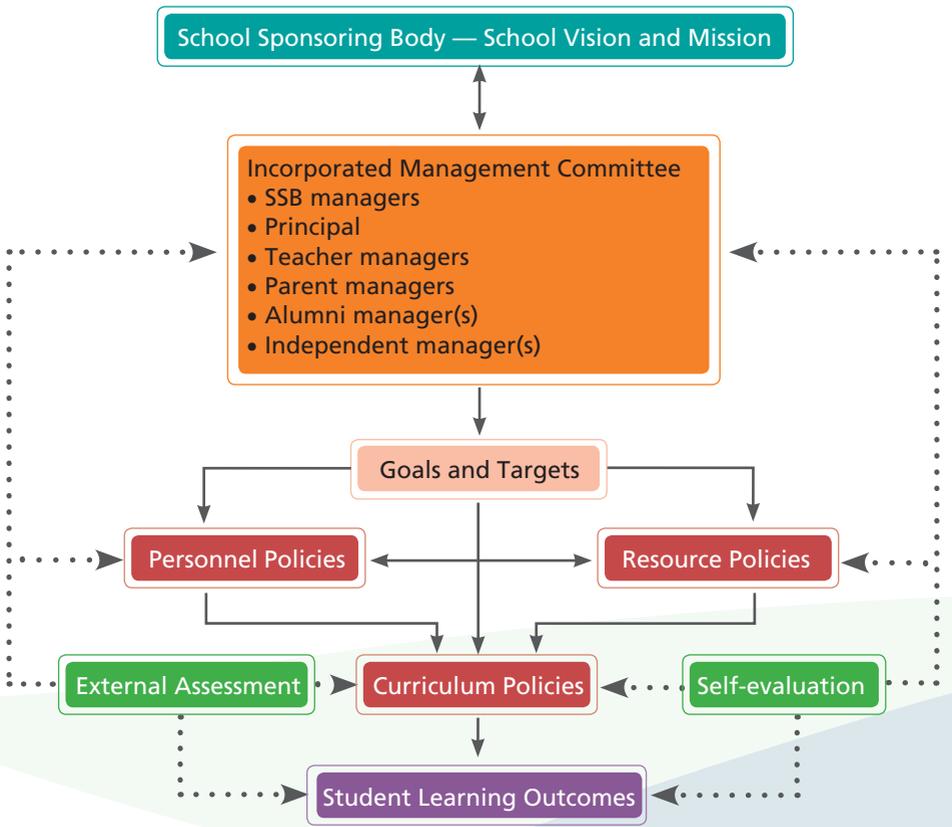
### External Accountability Mechanism

- The management committee shall ensure that the Education Ordinance, other relevant laws and guidelines are complied with.
- Schools in receipt of government grants and subsidies must comply with the relevant Code of Aid and the terms and conditions of the grants.
- School development strategies should meet the requirements of the government education policies.
- An annual school account audited by a registered certified public accountant (practicing) should be submitted to the EMB every year.
- External school reviews, arranged by the EMB, are conducted to validate the school self-evaluation from the perspective of a critical friend.

## Implementation of School-based Management and School-based Management Governance Framework

Since 1999, the then Education Department has taken the initiatives to create more room for schools to facilitate the implementation of SBM. Government initiatives include streamlining of administrative procedures and devolving more responsibilities to schools in respect of personnel management, financial matters and design and delivery of curriculum. They make it possible for schools to develop quality education with their own characteristics and provide schools with more flexibility in the use of public funds.

With effect from 1 January 2005, the Education Ordinance gives legal backing to the SBM governance framework and provides for the establishment of incorporated management committees (IMCs), as well as their composition, operation, functions and powers. Transitional arrangements relating to the setting up of the IMCs are also specified. School sponsoring bodies (SSBs) of aided schools are required to submit a draft IMC constitution in respect of each of their aided schools by 1 July 2009 in order to set up an IMC to manage the school.



Under the SBM governance framework, the SSB of the school is responsible for setting the vision and mission for the school and giving general directions to the IMC in formulating education policies of the school. The IMC, the composition of which includes all key stakeholders, is responsible for managing the school. Members of the IMC directly participate in decision-making and are accountable to the SSB, parents, the EMB and the public in respect of student learning outcomes. As a result, the transparency and accountability of the school are enhanced.

### Useful Hints

- ◆ For management of the IMC schools, please refer to Part IIIB of the Education Ordinance.

### Useful Hints

- ◆ The composition of an IMC includes the principal, sponsoring body managers, teacher managers, parent managers, alumni manager(s) and independent manager(s).

# Chapter 2 Roles and Responsibilities of School Managers

## What are the roles and functions of school managers in school management?

### Policy-Making

- Formulate school development strategies with the aim to attain the school vision and education goals and to enhance learning effectiveness
- Draw up policies and priorities for development projects
- Plan and manage school resources
- Ensure that the mission of the school is carried out

### Management

- Personnel Management
  - Staff appointment, promotion and dismissal
  - Staff performance management and professional development
  - Establishing effective communication channels and handling complaints
- Financial Management
  - Approving school development plan, annual school plan and school budget
  - Managing government and non-government funds properly to ensure the appropriate use of resources
- Curriculum
  - Ensuring curriculum design is in line with government education policies
  - Ensuring provision of a coherent, flexible, broad and balanced curriculum that is in line with the aims of education in Hong Kong

- Setting the direction for long-term development of the school, and giving teachers sufficient flexibility and authority to implement specific duties and plans involved in the day-to-day operation of the school
- Reviewing school plans and budgets to see if they are in line with the overall education goals and school policies, and making appropriate adjustment when necessary
- Building up relevant network with outside bodies and securing community resources to enhance teaching effectiveness
- Promoting education for the students of the school and leading the school to strive for excellence and continuous improvement

## What are the responsibilities of school managers in school management?

- Be accountable to the EMB, the SSB and the public for school performance.
- Ensuring the school's decision-making and management are in compliance with the relevant ordinances, regulations and rules, including the Education Ordinance, the Education Regulations, the Code of Aid, the Employment Ordinance, the Sex Discrimination Ordinance and the Prevention of Bribery Ordinance.

### Quiz

- 2 Which of the following are not the responsibilities of school managers? (You may choose more than one item.)
- Checking students' assignments
  - Deciding on the school's medium of instruction
  - Preparing the implementation details of school projects for the coming school year
  - Drawing up the assessment criteria for staff promotion
  - Compiling various school plans



## I. Personnel Management

As the employer of all staff members of the school, the management committee of the school has to formulate personnel policies. Personnel management covers different areas of staff matters:

### Areas

Staff appointment, promotion and succession planning

Disciplinary action and termination of service

Performance management

### Responsibilities of school managers

- Setting criteria and procedures for staff selection
  - Observing the minimum entry requirements for the relevant staff as stipulated in the Code of Aid, and issuing letters of appointment and entering into agreement on the terms of contract with the staff concerned
  - Defining clearly the functional duties of promotion posts, and informing the staff accordingly
  - Ensuring an open, fair and transparent selection system
  - Reviewing regularly the assessment criteria and selection procedures
  - Preparing succession plans of teaching staff to meet the needs arising from school development and the implementation of education initiatives
- 
- Formulating a set of open, fair and formal procedures for handling termination of employment
  - Handling the matters in accordance with the Education Ordinance, the Education Regulations, the Code of Aid, the Employment Ordinance and other laws of Hong Kong as well as circulars issued by EMB from time to time
- 
- Establishing an appropriate staff appraisal system
  - Evaluating the strengths and weaknesses of the staff and formulating staff professional development policies

## Areas

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Performance management

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Professional development

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Communication channels

## Responsibilities of school managers

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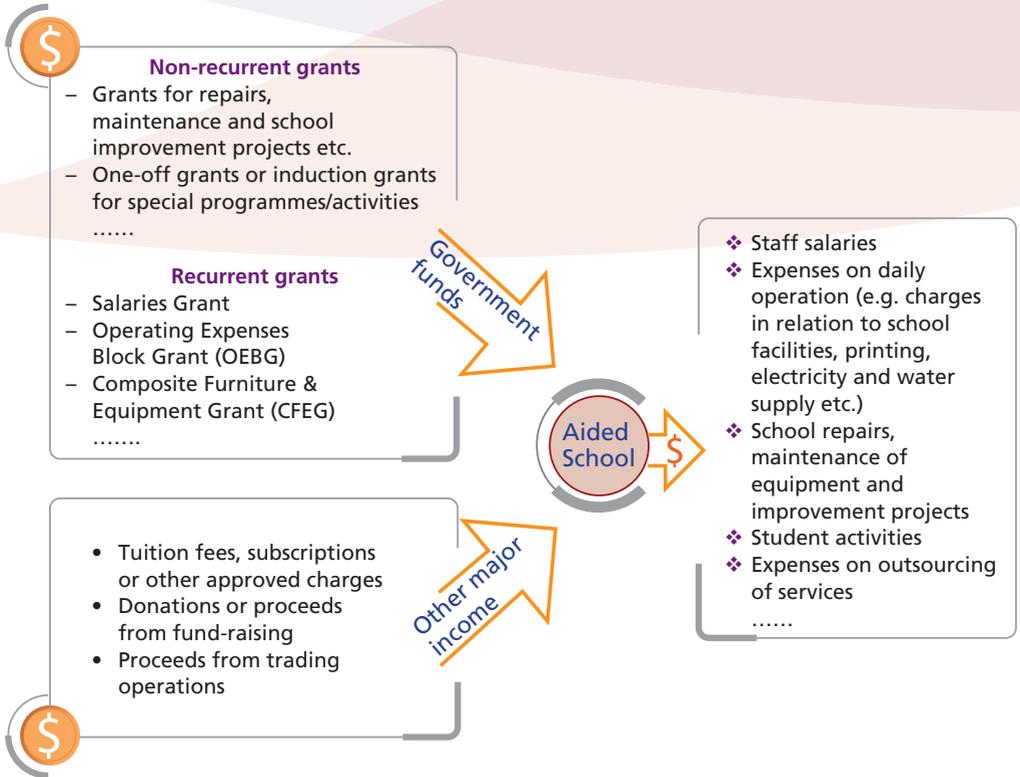
- Reviewing regularly the content and format of the appraisal mechanism to ensure the assessment truly reflects staff performance
  - Promoting a self-learning culture for self-improvement and pursuit of excellence
- 

- Discussing with teachers the arrangements for their professional development (The Advisory Committee on Teacher Education and Qualifications proposed that teachers should engage in not less than 150 hours of continuing professional development activities in a 3-year cycle)
  - Formulating teacher professional development policies that take into account individual needs of the teachers, the direction of school development and the learning interests of the students
  - Ensuring that all teachers are given equal opportunities for professional development
  - Creating an environment conducive to learning and providing support and resources for staff professional development
  - Promoting a culture of professional development and developing a life-long learning attitude within the school
- 

- Establishing effective communication channels, strengthening the sense of belonging among staff and building up a collaborative school culture
- Developing a set of rational, fair and impartial policies and procedures to handle complaints from staff as well as from people outside the school

## II. Financial Management

### Income and Expenditure of Aided Schools



### Basic Elements of Financial Management



## Financial Management Duties of School Managers

- Understanding the limitations and financial flexibility of the school; setting goals and formulating appropriate financial management strategies after considering factors such as school resources, background and needs of their students etc.
- Approving school budgets.
- Reviewing school income and expenditure regularly to ensure that resource deployment is in line with the school development plan and caters for the needs of the students.
- Ensuring that school income is handled and used in accordance with the requirements of the Education Ordinance, the Code of Aid and relevant EMB circulars as well as other relevant regulations and rules.
- Formulating financial management criteria and procedures (e.g. procedures for handling income and expenditure, procurement and quotation as well as rules on acceptance of advantages etc.) according to the relevant laws and regulations to avoid conflict of interest and the misuse of government resources.
- Putting in place adequate budgetary controls and a good accounting and reporting system to monitor the financial situation; and if necessary, reprioritising development projects after assessing their actual expenditure.
- Appointing an accountant as auditor to audit school accounts.
- Reporting to the EMB and key stakeholders the use of school funds.

### Quiz

3. Under school-based management which gives an aided school greater autonomy, can the school determine the staff salaries and use resources at its own discretion?



### Useful Hints

- ◆ Managers are required to declare any pecuniary or other personal interests that may conflict with their duties as school managers.

### Useful Hints

- ◆ Any profit arising from business undertaking inside the school shall be used for the purpose directly benefiting the students of the school.

## III. Curriculum Reform – Reflecting on Strengths and Getting Ready for Action

As globalization brings about changes in society, environment, culture, politics, and moral values, students in Hong Kong need to continuously update their knowledge and enhance their personal quality to face a future of opportunities and challenges. Schools in Hong Kong should provide students with a curriculum that facilitates whole-person development. The school curriculum should help students learn how to learn through exposure to different learning experiences instead of just memorizing what they have been taught. Teaching no longer focuses on the process of transmission of knowledge, students should be given more chances for self-learning and construction of knowledge so that they will know how to learn, acquire basic competency and widen their horizon of learning. School education should help students with different learning abilities to develop their potential, and encourage them to sustain life-long learning to meet future challenges.

## Aims of Education for the 21st Century

“To enable every person to attain all-round development in the domains of ethics, intellect, physique, social skills and aesthetics according to his/her own attributes so that he/she is capable of life-long learning, critical and exploratory thinking, innovating and adapting to change; filled with self-confidence and a team spirit; willing to put forward continuing effort for the prosperity, progress, freedom and democracy of their society, and contribute to the future well-being of the nation and the world at large.”

Extracted from *Reform Proposals for the Education System in Hong Kong*, Education Commission, 2000

## Overall Aims of the School Curriculum

“The school curriculum should provide all students with essential life-long learning experiences for whole-person development in the domains of ethics, intellect, physical development, social skills and aesthetics, according to individual potential, so that all students can become active, responsible and contributing members of society, the nation and the world.

The school curriculum should help students to learn how to learn through cultivating positive values, attitudes, and a commitment to life-long learning, and through developing generic skills to acquire and construct knowledge. These qualities are essential for whole-person development to cope with challenges of the 21st Century.

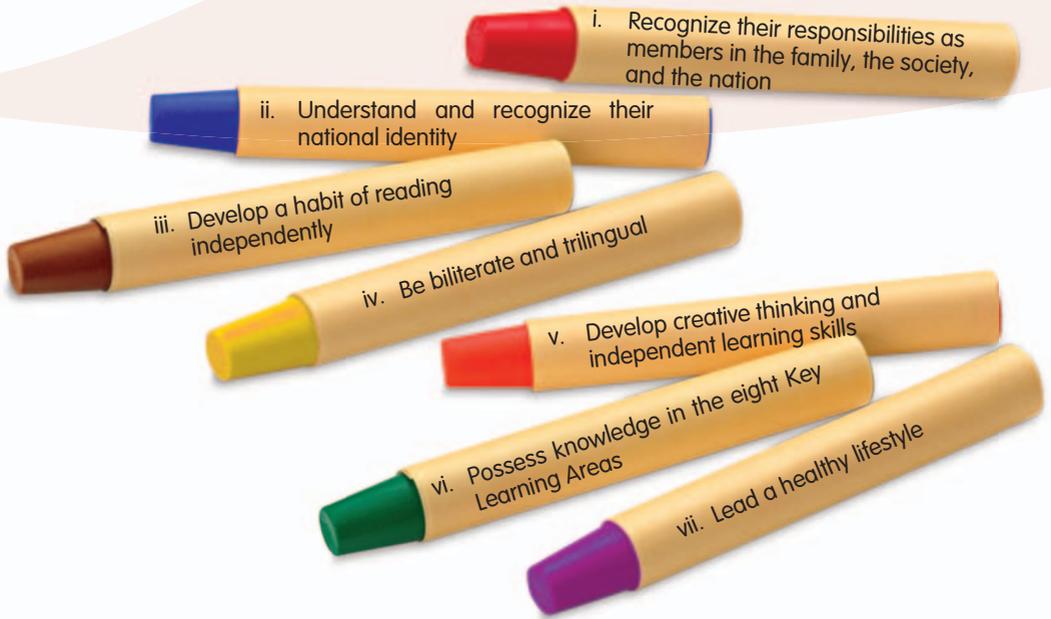
A quality curriculum for the 21st Century should therefore set the directions for teaching and learning through a coherent and flexible framework which can be adapted to changes and the different needs of students and schools.”

Extracted from *Learning to Learn – The Way Forward in Curriculum Development*, Curriculum Development Council, 2001

School managers are responsible for the important task of monitoring the development and effectiveness of the school curriculum. Hence, they should have a good understanding of the present position and the future development of the school curriculum.

## Seven Learning Goals

The Curriculum Development Council (CDC) set out in the *Basic Education Curriculum Guide* in 2002 the seven learning goals that students should be able to achieve in ten years' time as follows:



## Five Essential Learning Experiences and Curriculum Framework

The term “curriculum” is defined as the set of total learning experiences through which students learn. All students should be entitled to the following five essential learning experiences for whole-person development:

- Moral and civic education
- Intellectual development
- Community service
- Physical and aesthetic development
- Career-related experiences (for junior secondary students)

The Curriculum Framework has three interconnected components: (i) Key Learning Areas (KLAs), (ii) Generic Skills and (iii) Values and Attitudes.

### Knowledge in Key Learning Areas

A Key Learning Area (KLA) links up fundamental and connected concepts within major fields of knowledge. A KLA provides a context for the development and application of generic skills, positive values and attitudes through the appropriate use of learning and teaching activities and strategies. It also serves as a context for the construction of new knowledge and the development of understanding.

### Generic Skills

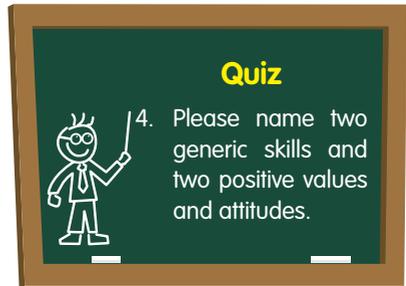
Generic skills are developed through learning and teaching in the context of different subjects or KLAs.

### Values and Attitudes

Positive values and attitudes can be fostered through moral and civic education and also across KLAs in appropriate themes, and through appropriate learning and teaching strategies.

The following four key tasks should be used as entry points or means to help students to learn how to learn:

- Moral and civic education
- Reading to learn
- Project learning
- Information technology for interactive learning



### School-based Curriculum

- The concept of “one-size fits all” does not work for curriculum development. Each school has its unique characteristics of teachers, students and ecological context, requiring different content and processes of change.

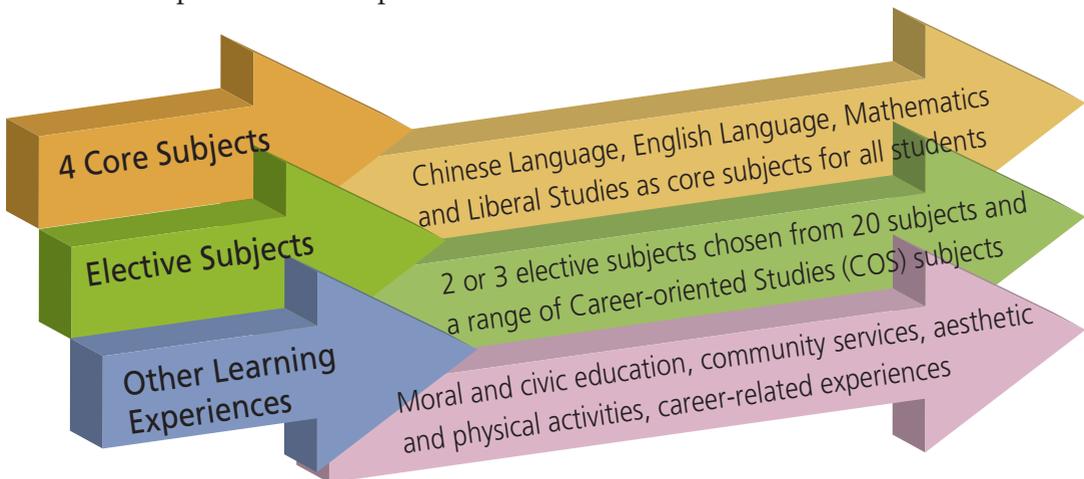
- In developing a school-based curriculum, schools may take into account their own characteristics and needs and adapt the central curriculum so as to help their students to achieve the learning targets and aims of education. Measures may include readjusting learning targets, varying the organization of contents, optional studies, and adopting different learning, teaching and assessment strategies. Schools, nevertheless, have to fulfill certain CDC requirements such as learning time, learning targets and essential contents.
- A school-based curriculum is therefore the outcome of a balance between guidance from CDC and the autonomy of the school and teachers.

## New Academic Structure for Senior Secondary Education and Higher Education (3+3+4)

[new SS1 level to be implemented in the 2009/10 school year]

### Main Features:

- To provide a “3+3” secondary education structure, so that all students benefit from six years of secondary education.
- To replace the current two high-stake open examinations by one public examination.
- To introduce a new senior secondary curriculum framework which comprises three components:

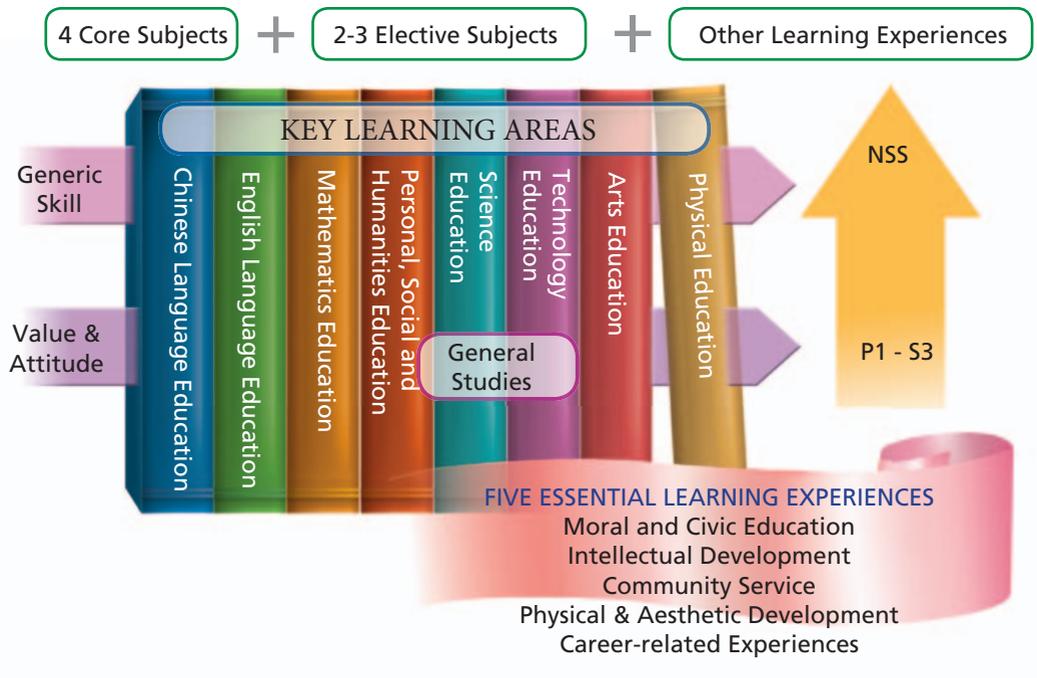


- Through a 4-year undergraduate programme, the higher education institutions will be in a better position to provide a balanced education to their students that allows for a broader knowledge base to support specialized learning.

### Continuity of Curriculum Reform across Basic Education (Primary 1 to Secondary 3) and New Senior Secondary Education

The New Senior Secondary curriculum is an extension of the basic education curriculum. It promotes students' learning to learn capabilities, offers a broad and balanced curriculum in eight KLAS, and provides opportunities for cross-curricular learning. The new curriculum also gives students sufficient exposure to other learning experiences in moral, civic, physical and aesthetic areas. This helps students to develop positive values and prepare students for further learning and work.

### New Senior Secondary and Basic Education Curriculum Framework



## Responsibilities of School Managers in Curriculum Development

- Getting a basic understanding of the curriculum development in Hong Kong
- Setting the direction for the development of a school-based curriculum that suits the conditions of the school and the students on one hand, and meeting the overall aims of education and the objectives of the school curriculum on the other
- Monitoring the progress of school curriculum development and assessing its effectiveness
- Examining the existing projects and their outcomes, and making proper use of financial and manpower resources to improve learning effectiveness
- Approving financial budgets that tie in with the needs of long-term curriculum development
- Supporting professional development of teachers and helping them to assume leadership in respect of curriculum development and teaching
- Reviewing school policies (including school timetable and assessment policy) to ensure that they are in line with the broad direction of curriculum development
- Securing outside resources and support for implementing life-wide learning to enrich students' learning experiences
- Creating an environment conducive to the promotion of a learning culture in schools

### Useful Hints

- ◆ Under the “3 + 3 + 4” academic structure, schools may opt to offer career-oriented studies subjects to meet students' abilities and interests.

## Chapter 3 School Development and Accountability

### Why should we set up the school development and accountability framework?

- Developing quality education, cultivating talents, and promoting social, economic and cultural development are the current international trend. In order to prepare our younger generation to meet the new challenges and demands of a dynamic world, Hong Kong, like other countries, should make corresponding changes to improve the quality of education, promote the personal growth of students and nurture talents to increase the competitiveness of Hong Kong in the international market.
- A school development and accountability (SDA) framework provides schools with useful feedback that guides and supports them to make continuous improvements, making sure that quality education will be provided.
- The Government spends huge resources on education every year. The operating cost of an aided secondary school is roughly \$40 million per year, while that of an aided primary school is about \$20 million per year. Under the principle of SBM, aided schools are given greater autonomy and flexibility in resource deployment to facilitate the provision of quality education. As a quid pro quo to additional autonomy, greater transparency and accountability are needed to allow members of the public to monitor the performance and proper use of resources of the schools.

#### Useful Hints

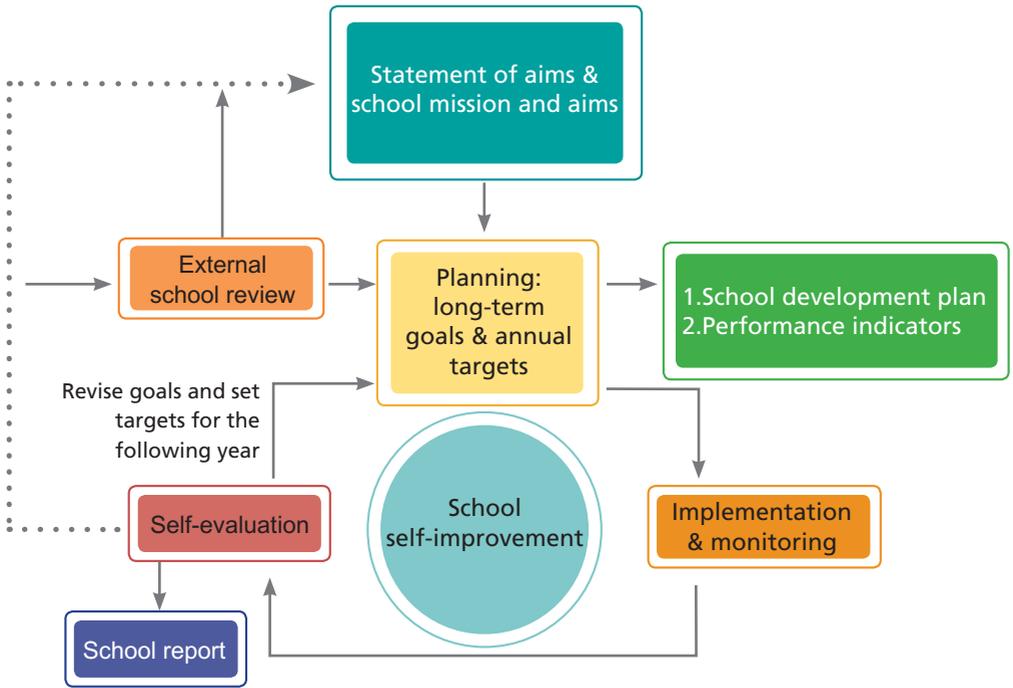
- ◆ Enable our children to enjoy learning, to communicate effectively, to develop their creativity and to have a sense of commitment.

#### Useful Hints

- ◆ Enhancing the effectiveness of learning and teaching by making good use of the assessment, diagnosis and feedback.

## School Development and Accountability Framework

The SDA framework gives an overall picture of the planning, implementation, monitoring, reporting and reviewing procedures at the school level.



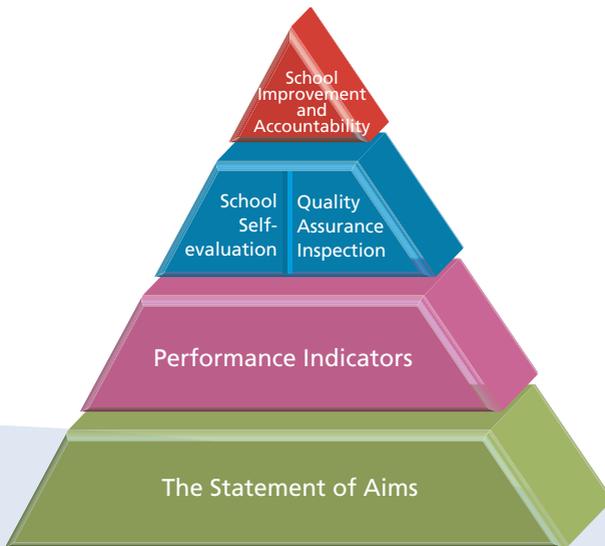
## School Planning and Development

Although the pace of school development may vary from school to school, in order to provide quality education, it is necessary for each school to take into account its own background and circumstances and draw up its school development plan (SDP) and its targets of achievement. An SDP should contain the school's long-term (e.g. three years) plans and the priorities for school development. The major concerns for each year, together with the related implementation plans, should be reflected in the annual school plan.

## Why should schools conduct self-evaluation?

There is no universally applicable model of school management since each school has its own unique circumstances. In order to achieve the targets set out in the development plans, schools must first have a full understanding of their own objective circumstances and analyze the situation before formulating their development plans. School self-evaluation (SSE) is an essential part of the quality assurance mechanism of school education in Hong Kong. Through self-evaluation, schools can have a clearer understanding of their present situations and development needs. This in turn facilitates them to set a clear and definite development goal, adjust work priorities and deploy resources more effectively to ensure coordinated and smooth implementation of development projects.

### Quality Assurance Framework of School Education



### Approaches and Aims of School Self-evaluation

- When conducting self-evaluation, schools are advised to consider their own conditions and choose the appropriate coverage, depth and approach of the SSE.
- Self-evaluation allows schools to understand their own situations and identify their strengths and weaknesses.

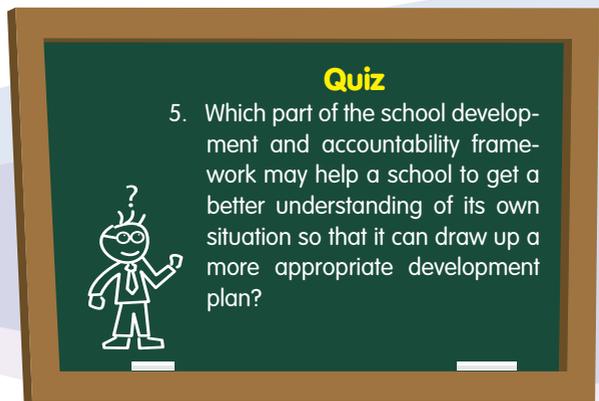
- It helps to build up a school culture that emphasizes self-reflection.
- It promotes self-improvement and enhances learning outcomes.
- By allowing the involvement of different stakeholders (including teachers, parents and students) in the SSE process, the transparency of school management and operation is increased and the commitment of stakeholders to school development is enhanced.

Apart from the SSE, the EMB also arranges external school review (ESR) teams to validate the SSE from an outsider's perspective.

### Approach and Aims of External School Review

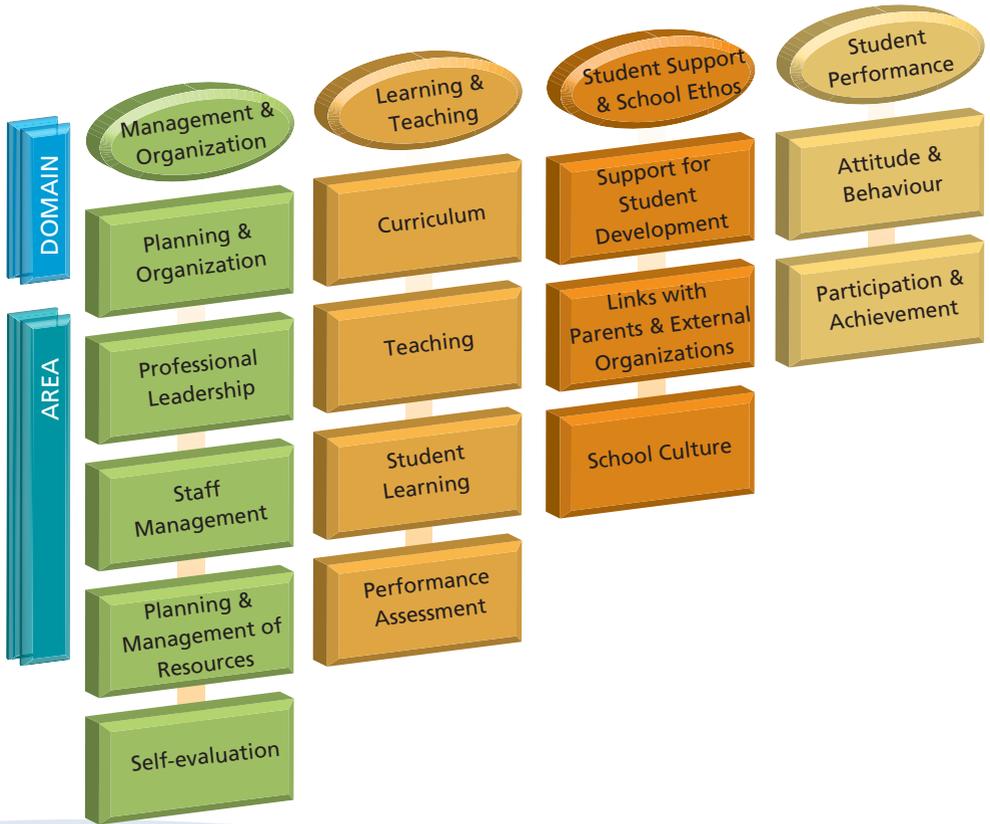
- An ESR team, comprising EMB officers and one independent member, visits the school and conducts inspection.
- The team is to review the overall performance of the school objectively, validate the SSE, and help the school to develop its own strengths and improve its weaknesses.
- More specific recommendations on learning and teaching are provided based on classroom observations.
- Professional advice is given as a critical friend to help schools set their development priorities and implementation strategies so as to make further self-improvement.

To conclude, the ESR forms only part of the school improvement cycle. It is more important for schools to maintain an ongoing process of self-reflection and self-improvement.



## Coverage and Tool of Assessment of School Work

Schools' performance under the four domains of school work can be evaluated in a holistic approach with reference to the Performance Indicators (PIs) and by using the items in the Key Performance Measures (KPM).



### Performance Indicators

PIs, covering the four major domains of school work, are used as reference to evaluate school performance. PIs can be used to facilitate schools to conduct the SSE and the ESR teams to assess the effectiveness of individual schools.

### Key Performance Measures

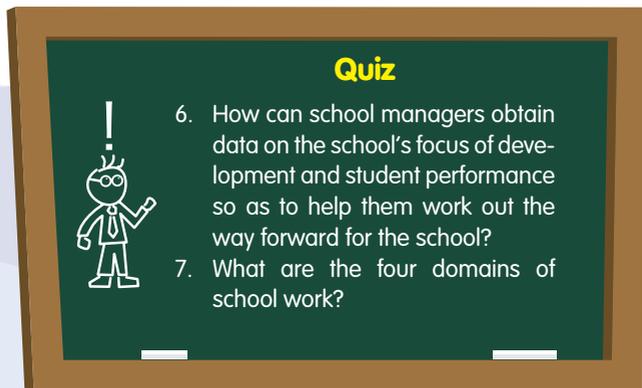
KPM is a tool developed by the EMB under the SDA framework. It is a school data system built on the “School Performance Indicators” framework, providing objective and quantitative data to supplement the PIs (which are mainly qualitatively orientated) in measuring school performance.

## How can stakeholders get to know the performance of a school?

- The school needs to report the progress of its annual school plan, self-evaluation findings and student performance in its annual school report.
- The school should upload the SDP, annual school plan and school report to the school website.
- The school may report its performance through existing communication channels and stakeholder meetings, such as school newsletters, parents' day etc.
- The school may also inform the relevant parties (including parents) of the details of the ESR report via the school managers of its management committee.

## What are the responsibilities of school managers in school development and accountability?

- Formulating education policies and blueprints for school development and self-improvement
- Vetting and endorsing the SDP and the annual school plan
- Monitoring and assessing school performance and students' achievement
- Creating an atmosphere and environment conducive to self-evaluation
- Facilitating learning and promoting quality education in a proper way
- Accounting to the EMB, SSB and the public for the performance of the school



## Chapter 4 Participation of Stakeholders in School Management

### Can I serve as a school manager?

*I am.....*

- concerned about the education of young people in Hong Kong.*
- committed to serving the school.*
- aware of the school background and its direction of development.*
- willing to devote time and effort to get a better understanding of the school and to be involved in formulating school policies.*
- willing to communicate and cooperate with other stakeholders.*
- willing to take up the responsibilities of a school manager.*
- willing to give opinions and to participate actively in discussions.*
- willing to listen to different views and accept other people's opinions.*
- honest and impartial, and I am always concerned about the overall interests of students.*
- committed to continuous learning and equipping myself with relevant knowledge and skills.*

# Preparing for the Role of a School Manager

## 1. Knowing your school

- What should I know about the school?
  - School mission and vision as set out by the school sponsoring body (SSB)
  - School history and its religious background
  - School characteristics
  - School performance and direction of development
- How to obtain the relevant information?
  - Visit the school website to view school development plan and annual school plan
  - Read school publications e.g. school report, school profile, school newsletter, parents' newsletter etc.
  - Participate in school activities such as open days, talks or seminars, parents' days and graduation ceremonies etc.
  - Join school-related organizations such as the Parent-teacher Association and the Alumni Association

## 2. Knowing your roles and responsibilities

- How to get to know the roles and responsibilities of a school manager?
  - Training for school managers: attend training courses, talks, workshops and experience-sharing seminars organized by the EMB, schools or other relevant organizations.

- Reading relevant materials: visit the EMB website, read School Managers' Handbook, SBM-related documents and other related reference materials etc.

### 3. Becoming a school manager



- How to become a school manager of a school with an incorporated management committee (IMC)?
  - Teachers, parents and alumni can become school managers through elections.
  - SSB managers are appointed by the SSB of the school.
  - Independent managers are appointed by the IMC of the school.
  - The principal is an ex-officio school manager.

### Quiz

8. Are there minimum academic qualifications for school managers?
9. How can a parent become a parent manager in a school with an IMC?



## Tips for Performing the Duties of a School Manager

- Participating actively in school activities to get a better understanding of the school and other stakeholders
- Acting in good faith to perform the duties of a school manager

- understanding the rights and responsibilities of a school manager and the management committee, and leading the school to pursue continuous self-improvement

- Explaining the rationales of school policies to stakeholders to facilitate smooth implementation of school policies

- Attending training courses to improve knowledge and skills in school management

- Making use of opportunities to understand the latest education development

- Building team spirit and promoting home-school-community cooperation

- Be objective and rational in discussions for reaching consensus

- Establishing effective communication channels to collect views of the relevant stakeholders, reflecting their views at meetings and reporting progress after the meetings

Making decisions based on the overall interests of students

Evaluating the effectiveness of performance regularly and making necessary improvement

- Analyzing the data to assess the present situation of the school

- Giving school head and staff of the school greater flexibility and authority to handle day-to-day operation of the school

### Useful Hints

- ◆ Home-school collaboration enhances school effectiveness.

## Code of Ethics of School Managers

- Shall act in good faith and make decisions based on the overall interests of students
- Shall observe the principle of confidentiality, and not disclose any classified or proprietary information of school to anybody; discussions of meetings and views of individual managers shall not be disclosed without authorization
- Shall declare any pecuniary or other personal interests, direct or indirect, that he or his relatives or friends have in any matter that raises or may raise a conflict with his duties as a manager of the school; and take possible measures to avoid any conflict of interest
- Shall not use the position of a school manager to seek any gain for personal interests or for the interests of other people
- Shall not accept payments, gifts or favours that might affect the objectivity in conducting the business of the management committee



### Quiz



10. Do school managers need to disclose to the management committee the full details of their financial situation?
11. What should a school manager do if his relative bid for a school project?  
\_\_\_\_\_

## More Tips

By now, you should have some idea on the different aspects of school management and have a better understanding of the roles and functions of a school manager. The following exercises might help to enrich your knowledge on the duties and code of conduct expected of a school manager.

### A. If you were a school manager .....

Suppose you were a school manager, what would you do in the following situations?

#### Case 1

At the coming management committee meeting, members will discuss the proposal of deploying a portion of the school subscriptions for launching a musical instrument learning programme to promote the musical culture of the school.

- Q1. If you were a parent manager, what materials would you need to read/collect before deciding whether or not to support this proposal?
- Q2. How would these materials help you consider this proposal objectively?

#### Case 2

There are diverse views among managers on the school library extension project. Some managers hold that the project is non-essential as there is not enough space for the extension and the present facility is adequate to meet the needs of the students. Some managers consider it necessary to extend the library and enlarge its collection of books, as many parents cannot afford to buy books for their children and the project is in line with the EMB's promotion of reading to learn. Other managers do not support the project in view of the limited amount of school funds.

- Q. What attitude should the school managers adopt and what factors should they consider in order to have a rational and harmonious discussion leading to a consensus?

### Case 3

School financial management involves different areas of work. The management committee is accountable for the use of public funds and resources. Therefore, it should ensure that the school has a sound financial management and control mechanism.

- Q1. What are the key elements of a sound financial management mechanism?
- Q2. What financial management principles should the school observe in order to ensure the proper utilization of resources?

## B. Serving as a school manager, have you checked whether

.....

The following checklists outline some areas of potential corruption risk in (1) staff administration and (2) procurement. In responding to the following questions, a “No” answer may indicate an area that requires improvement. For more specific guidance on corruption prevention matters, you are invited to contact the Advisory Services Group of the Corruption Prevention Department at Tel. 2526 6363 for free and confidential advice.



### (1) Staff Administration Checklist for Schools (Extracted from ICAC “Best Practice Packages – Staff Administration in Schools”)

Staff Recruitment	Yes	No
1. Are job vacancies widely advertised in popular newspapers or other channels?	✓	✗
2. Does the advertisement set out clear job descriptions and requirements and other essential information (e.g. deadline for applications)?	✓	✗
3. Are the applications received systematically recorded?	✓	✗
4. Is the shortlisting and selection of candidates based on predetermined criteria approved by the school management?	✓	✗

- |   |   |   |
|---|---|---|
| 5. Is a recruitment panel formed to conduct selection interviews or skill tests?  | ✓ | ✗ |
| 6. Is an objective assessment method devised and a standard form used to record assessment by individual panel members?   | ✓ | ✗ |
| 7. Are recommendations/ selections of panel members properly documented?  | ✓ | ✗ |
| 8. Is the approval authority clearly defined?   | ✓ | ✗ |
| 9. In approving the appointments, does the approval authority ensure that the recruitment exercise has adhered to the laid down procedures and that any deviations are justified? | ✓ | ✗ |

### Staff Promotion

Yes No

- |   |   |   |
|---|---|---|
| 1. Is the assessment of eligible candidates conducted by a panel based on pre-determined criteria?                      | ✓ | ✗ |
| 2. Are open procedures adopted for promotion exercises, such as announcement of the promotion criteria?                 | ✓ | ✗ |
| 3. Is an objective assessment system devised and a standard form used to record assessment by individual panel members? | ✓ | ✗ |
| 4. Are candidates' past performance appraisal records taken into account for the purpose of assessment?                 | ✓ | ✗ |
| 5. Is the assessment of candidates properly documented and kept for a prescribed period?                                | ✓ | ✗ |
| 6. Is the approval authority clearly specified?   | ✓ | ✗ |
| 7. Are the promotion results announced as soon as possible?   | ✓ | ✗ |
| 8. Is an independent channel established to handle complaints made by unsuccessful candidates?                          | ✓ | ✗ |

### Staff Attendance and Overtime Work

Yes No

- |  |   |   |
|--|---|---|
| 1. Is the authority for approval of leave or part-time/ overtime work clearly defined? | ✓ | ✗ |
|--|---|---|

- |  |   |   |
|--|---|---|
| 2. Are proper staff attendance records kept in the school?         | ✓ | ✗ |
| 3. Is overtime work justified and allocated on a fair share basis? | ✓ | ✗ |
| 4. Are surprise checks on overtime work conducted?                 | ✓ | ✗ |

- | Performance Appraisal   | Yes | No |
|---|-----|----|
| 1. Are purpose-designed performance appraisal forms used?   | ✓   | ✗  |
| 2. Are the standards of performance and assessment criteria made known to all staff?  | ✓   | ✗  |
| 3. Are the levels of staff responsible for reporting, counter-signing, and overall review of the appraisal reports defined? | ✓   | ✗  |
| 4. Is a review panel formed to moderate appraisal reports of staff of the same grade?                                       | ✓   | ✗  |
| 5. Is a channel for appeal established for aggrieved staff?   | ✓   | ✗  |
| 6. Is any disciplinary action taken against poor performers properly recorded?  | ✓   | ✗  |

- | Handling of Staff Complaints  | Yes | No |
|---|-----|----|
| 1. Are the complaint procedures well laid down?   | ✓   | ✗  |
| 2. Is the investigation of complaints made by an independent staff member or a panel of staff, and reviewed by the management committee or senior management? | ✓   | ✗  |
| 3. Are investigation findings and actions taken documented?   | ✓   | ✗  |
| 4. Is a reply given to the complainant notifying him of the findings of investigation?  | ✓   | ✗  |

- | Conflict of Interest   | Yes | No |
|--|-----|----|
| 1. Are members of management committee or school staff required to avoid conflict of interest?   | ✓   | ✗  |
| 2. Are members of management committee or school staff required to declare any conflict of interest that may influence, or appear to influence, their judgement or action in the performance of official duties? | ✓   | ✗  |

- |  |   |   |
|--|---|---|
| 3. Are declarations of conflict of interest made in writing?   | ✓ | ✗ |
| 4. Are the staff who have declared a conflict of interest required to refrain from handling the matter or subject to monitoring by senior staff? | ✓ | ✗ |
| 5. Does the school provide guidelines to assist members of management committee or school staff in making declarations?                          | ✓ | ✗ |

 (2) Procurement Checklist for Schools (Extracted from ICAC “Best Practice Packages – Procurement for Schools”)

- | Basic Safeguards  | Yes | No |
|---|-----|----|
| 1. Is there any segregation of duties among the staff involved in the procurement process?              | ✓   | ✗  |
| 2. Are the procurement authorisation levels and the corresponding financial limits well-defined?        | ✓   | ✗  |
| 3. Are the criteria for selection of procurement methods in proportion to the purchase amounts defined? | ✓   | ✗  |
| 4. Are the circumstances under which the specified procurement methods may be waived specified?         | ✓   | ✗  |
| 5. Is there any auditing of compliance with the established procurement procedures?                     | ✓   | ✗  |
| 6. Are the procurement procedures promulgated in guidelines to the staff concerned?                     | ✓   | ✗  |

- | Shortlisting of Suppliers   | Yes | No |
|---|-----|----|
| 1. Is a shortlist of suppliers compiled?  | ✓   | ✗  |
| 2. Are the criteria for inclusion or deletion of suppliers from the shortlist well-defined? | ✓   | ✗  |
| 3. Is the method of selecting suppliers from the shortlist specified?                       | ✓   | ✗  |
| 4. Is the shortlist of suppliers reviewed periodically?                                     | ✓   | ✗  |

5. Is the shortlist of suppliers approved by a panel of staff? ✓ ✗

## Quotations

- |  | Yes | No |
|--|-----|----|
| 1. Are the conditions under which a purchase may be made by way of quotations specified? | ✓   | ✗  |
| 2. Is the minimum number of suppliers to be invited for quotations specified?            | ✓   | ✗  |
| 3. Are verbal quotations confirmed in writing and clearly documented?                    | ✓   | ✗  |
| 4. Are supervisory spot checks conducted on the quotations received?                     | ✓   | ✗  |
| 5. Are security measures taken to prevent leakage or tampering of written quotations?    | ✓   | ✗  |
| 6. Is the minimum period of time between repeated purchases of the same item specified?  | ✓   | ✗  |

## Tenders

- |   | Yes | No |
|---|-----|----|
| 1. Are the procurement requirements and broad tender evaluation criteria described in tender documents? | ✓   | ✗  |
| 2. Are tenders deposited into a double-locked tender box with the keys held by separate staff members?  | ✓   | ✗  |
| 3. Are late tenders rejected?   | ✓   | ✗  |
| 4. Are tenders opened by a tender opening team comprising at least two persons?                         | ✓   | ✗  |
| 5. Is a tender summary prepared as soon as the tenders are opened?                                      | ✓   | ✗  |
| 6. Are the original and duplicate copies of tenders separately held by different staff?                 | ✓   | ✗  |
| 7. Are tenders assessed in accordance with predetermined criteria by a panel of staff?                  | ✓   | ✗  |
| 8. Are the tender selections considered and approved by the management committee or a tender board?     | ✓   | ✗  |

- |   |   |   |
|---|---|---|
| 9. Where the lowest conforming tender is not selected, are full justifications documented?  | ✓ | ✗ |
| 10. Are all unsuccessful bidders notified of the tender result?   | ✓ | ✗ |
| 11. Are the name and tender price of the successful tenderer disclosed on request by an unsuccessful tenderer?  | ✓ | ✗ |
| 12. If post-tender negotiation is necessary, is it conducted jointly by at least two staff members with prior approval from the management committee or tender board? | ✓ | ✗ |

### Term Contracts

Yes No

- |   |   |   |
|---|---|---|
| 1. Has the school considered using term contractors for repeated procurement of low value products or services? | ✓ | ✗ |
|---|---|---|

### Petty Cash Purchases

Yes No

- |   |   |   |
|---|---|---|
| 1. Are payments made against an invoice or a claim duly certified by an authorised officer? | ✓ | ✗ |
|---|---|---|

### Receipt of Goods and Payment Procedures

Yes No

- |  |   |   |
|--|---|---|
| 1. Are the goods inspected and compared against the purchase order upon delivery?                          | ✓ | ✗ |
| 2. Is the receipt and acceptance of goods certified by designated staff members?                           | ✓ | ✗ |
| 3. Are suppliers required to provide timely billing details?   | ✓ | ✗ |
| 4. Are payments supported by duly certified invoices or receipts?  | ✓ | ✗ |
| 5. Are payments to suppliers made within a specified time limit?   | ✓ | ✗ |
| 6. Are cheques signed by at least two signatories and their financial limits specified?                    | ✓ | ✗ |
| 7. Are regular expenditure reports made available to the management committee or school head for scrutiny? | ✓ | ✗ |

## Administration of Service Contracts

Yes No

- |   |   |   |
|---|---|---|
| 1. Are the service requirements specified in the contract conditions?   | ✓ | ✗ |
| 2. Does the contract include a probity clause to prohibit the contractor from offering/accepting advantages in relation to their official dealings with the school? | ✓ | ✗ |
| 3. Is there a system of inspection to ensure the quality of services?   | ✓ | ✗ |
| 4. Does the school hold regular meetings with the contractor to discuss problems and review service standards?  | ✓ | ✗ |
| 5. Is there a performance appraisal system for monitoring contractors' performance?   | ✓ | ✗ |
| 6. Are disciplinary actions taken against contractor properly administered by designated staff and documented?  | ✓ | ✗ |

## Conflict of Interest

Yes No

- |  |   |   |
|--|---|---|
| 1. Are members of management committee or school staff required to avoid conflict of interest?   | ✓ | ✗ |
| 2. Are members of management committee or school staff required to declare any conflict of interest that may influence, or appear to influence, their judgement or action in the performance of official duties? | ✓ | ✗ |
| 3. Are declarations of conflict of interest made in writing?   | ✓ | ✗ |
| 4. Are the staff who have declared a conflict of interest required to refrain from handling the matter or subject to monitoring by senior staff?   | ✓ | ✗ |
| 5. Does the school provide guidelines to assist members of management committee or school staff in making declarations?  | ✓ | ✗ |

## Glossary

- 3+3+4 The New Academic Structure for Senior Secondary Education and Higher Education (高中及高等教育新學制)
- AA Activity Approach (活動教學)
- BCA Basic Competency Assessment (基本能力評估)
- BIP Block Insurance Policy (綜合保險計劃)
- CDC Curriculum Development Council (課程發展議會)
- CEG Capacity Enhancement Grant (學校發展津貼)
- CFEG Composite Furniture and Equipment Grant (綜合家具及設備津貼)
- DSS Direct Subsidy Scheme (直資計劃)
- EC Education Commission (教育統籌委員會)
- ESR External School Review (校外評核)
- IMC Incorporated Management Committee (法團校董會)
- IE Integrated Education (融合教育)
- JSEA Junior Secondary Education Assessment (初中成績評核)
- KLA(s) Key Learning Area(s) (學習領域)
- KPM Key Performance Measures (學校表現評量)
- MOI Medium of Instruction (教學語言)
- NAC Newly Arrived Children (新來港兒童)
- NET Native-speaking English Teacher (外籍英語教師)
- OEBG Operating Expenses Block Grant (營辦開支整筆津貼)
- PIs Performance Indicators (表現指標)
- POA Primary One Admission (小一入學)
- PTA Parent-teacher Association (家長教師會)
- QAI Quality Assurance Inspection (質素保證視學)
- QEF Quality Education Fund (優質教育基金)
- REO(s) Regional Education Office(s) (區域教育服務處)
- SBA School-based Assessment (校本評核)
- SBM School-based Management (校本管理)

- SBPS School-based Professional Support (校本專業支援)
- SDA School Development and Accountability (學校發展與問責)
- SDP School Development Plan (學校發展計劃書)
- SSB School Sponsoring Body (辦學團體)
- SSE School Self-evaluation (學校自我評估)
- SSPA Secondary School Places Allocation (中學學位分配/中一派位機制)
- Staff Appraisal (員工考績)
- Through-Train School (一條龍學校)
- TSA Territory-wide System Assessment (全港性系統評估)

## Reference Materials

### 1. Major relevant ordinances and guidelines/regulations

- Education Ordinance and Education Regulations
- Employment Ordinance
- Personal Data (Privacy) Ordinance
- Prevention of Bribery Ordinance
- Copyright Ordinance
- Codes of Aid
- Anti-discrimination legislations and codes of practice
- *The Integrity Management for Schools - A Practical Guidebook for School Staff* compiled by the ICAC
- *Best Practice Packages – Procurement for Schools* compiled by the ICAC
- *Best Practice Packages – Staff Administration in Schools* compiled by the ICAC
- *Code for the Education Profession of Hong Kong* compiled by the Council on Professional Conduct in Education

### 2. Documents on education (available at EMB website [www.emb.gov.hk](http://www.emb.gov.hk))

- *Reform Proposals for the Education System in Hong Kong*, Education Commission, September 2000
- *Learning to Learn – The Way Forward in Curriculum Development*, Curriculum Development Council, June 2001
- *Basic Education Curriculum Guide* (Primary 1 - Secondary 3), Curriculum Development Council, 2002
- *Performance Indicators for Hong Kong Schools* (for Secondary, Primary and Special Schools), Education Department, 2002
- *Performance Indicators for Hong Kong Schools (Evidence of Performance)* (for Secondary, Primary and Special Schools), Education Department, 2002

- *The New Academic Structure for Senior Secondary Education and Higher Education - Action Plan for Investing in the Future of Hong Kong*, Education and Manpower Bureau, May 2005

### 3. School-based management

- EMB website [www.emb.gov.hk/sbm](http://www.emb.gov.hk/sbm)
  - Introduction to school-based management
  - Frequently-asked-questions and answers relating to school-based management
  - Reference materials for establishment of incorporated management committees
  - Legal support service for incorporated management committees
  - School-based management documents

### 4. Manager training

- EMB website [www.emb.gov.hk/sbm](http://www.emb.gov.hk/sbm) > Manager Training
- EMB website [www.emb.gov.hk](http://www.emb.gov.hk) > Teachers' Development > Training and Qualifications > Training Calendar

### 5. Register of incorporated management committees (IMCs)

- EMB website [www.emb.gov.hk](http://www.emb.gov.hk) > Kindergarten, Primary and Secondary Education > School Information > Incorporated Management Committee

### 6. Circulars issued by the Education and Manpower Bureau

- EMB website [www.emb.gov.hk](http://www.emb.gov.hk) > Circulars

### 7. Related websites

- Education Commission: <http://www.e-c.edu.hk>
- Hong Kong Education City: <http://www.hkedcity.net>
- Curriculum Development Institute: <http://cd.emb.gov.hk>
- Committee on Home-School Co-operation: <http://embhsc.hkedcity.net>

## Suggested Answers

### Quiz

1. Student-centred/student-oriented, participatory decision-making, transparency and accountability, streamlining of administrative procedures and devolution of responsibilities, self-improvement.
2. i, iii, v.
3. For staff within the staff establishment, their salary should be paid according to government pay regulations. As to the deployment of government funds, schools can use these resources flexibly provided that they observe the rules and guidelines issued by the EMB.
4. Nine generic skills: collaboration skills, communication skills, creativity, critical thinking skills, information technology skills, numeracy skills, problem-solving skills, self-management skills, study skills.

Positive values and attitudes: perseverance, respect for others, responsibility, national identity, commitment.

5. Self-evaluation.
6. Through reading the annual school plan, school development plan, school report, self-evaluation results, external school review report as well as by observation and participation in school activities etc.
7. Management and organization, learning and teaching, student support and school ethos, student performance.
8. There is no provision under the existing laws requiring school managers to attain certain academic qualifications.
9. Through election.
10. School managers only have to declare direct or indirect interests, including pecuniary or other personal interests, that conflict or may conflict with their duties as school managers.
11. The school manager concerned should make a declaration of interests to the management committee. He should not be present during any deliberation of the committee with respect to the project and must not take part in any relevant discussion or decision-making.

## If you were a school manager .....

As the conditions and actual circumstances of individual schools are different, there are no standard answers to the cases on pages 31 and 32. The answers suggested below are provided for reference only—

### Case 1

A proposal of the project giving the background, objectives, implementation measures and necessary resources of the project will normally be given to the managers before the item is discussed at the management committee meeting. Apart from the proposal, managers may also refer to other reference materials before making any decision.

#### Reference Materials

1. Proposal attached to the project, school development plan and annual school plan
2. School report, self-evaluation results, external school review report, stakeholders' views and other relevant reports (if applicable)
3. Income and expenditure reports / budgets, financial statement of subscriptions account, information on work distribution

#### Information Provided

- To provide details of the proposal
- To study whether the objective of the project is in line with the aims of education, the direction of school development and the major concerns for the year
- To decide on the priority of implementation of this project
- To provide objective data to help assess whether the project caters for the actual needs of students
- To review
  - the availability of financial and manpower resources
    - ◆ internal (whether manpower and

financial resource deployment and available space in the school can meet the project requirements)

- ◆ external (funds from other government departments or subsidized organizations; provision of similar service by other organizations and the deployment of available community resources)
- feasibility of the proposal

4. ....

## Case 2

Appropriate attitude and key points to note:

- Participants in any discussion should be open-minded and accommodating, and should not insist only on their own views. They should listen to other members' views objectively and consider options from different perspectives. The final decision should take into account the overall interests of students.
- Consider whether the project is supported by objective data, such as utilization rate of the library etc.
- Examine the current deployment of resources, and study the feasibility and urgency of the project.
- In the case when all managers agree on the aim of the project but fail to reach a consensus on how it should be carried out, managers may consider modifying the project with a view to achieving the same goal and hopefully gaining more support.
- .....
- .....

### Case 3

A sound financial management mechanism should include the following key elements:

1. Clear financial rules and guidelines to assist schools in formulating long-term and short-term financial planning.
2. Specific annual estimates and effective controlling mechanism.
3. Detailed accounting requirements including the keeping of proper books of account and justifications for various expenditure.
4. Rigorous internal control system to prevent fraud or impropriety.
5. Procedures to review resource utilization of the school.
6. Regular financial reports to reflect the real situation of school operation.
7. Independent auditing procedures.

The school should observe the following financial management principles:

- Observe the rules and requirements relating to the use of government funds (e.g. procurement of services or purchase should be conducted in an open and fair manner; publicity expenses and fringe benefit for staff should not be charged to government funds).
- Use resources in a cost-effective manner.
- Deploy resources in the interests of students; the use of resources should tie in with school's continuous self-improvement.
- Use public funds effectively to provide suitable educational services to meet students' learning needs and enhance learning effectiveness.
- Enhance the transparency of financial operation by providing stakeholders (including parents) with sufficient financial data and information.

Views and comments on the this booklet could be sent to the following address:

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This booklet may be downloaded from EMB website <http://www.emb.gov.hk/sbm>. For the web version of this booklet, please visit EMB website or the website of Hong Kong Education City <http://parent.hkedcity.net>.

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Decisions made in the interests of students  
Proper delegation of authority  
Be open to different views  
Care about education  
Collective responsibility and commitment  
Set directions and goals  
Seek chances for self-enhancement

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