

## Reviewing of Self-evaluation Checklist

*You are a Governance Review Sub-committee (GRSC) member of Sunshine College and are now having a meeting with your members on reviewing the completed Part Two of the 2013/14 Self-evaluation Checklist. Based on the findings/evidence gathered, please discuss among yourselves on each of the items on the Checklist and come up with some comments/recommendations you would make to the School Management Committee (SMC).*

### Self-evaluation Checklist on Governance and Administration of DSS Schools

**School Year: 2013/14**

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#### **Part Two: Human Resources and Personnel Matters**

(To be completed by Principal/ Heads of Functional Committees)

Checklist	Major Reference	Yes/ No/ N.A.	Findings/ Evidence	Comments/ Recommendations for Improvement
<b>A. Staff Recruitment / Remuneration / Promotion</b>				
1	Para. 5 of EDBC No. 17/2012	No	<p>A school-based recruitment policy has been set up, which was endorsed by SMC.</p> <ul style="list-style-type: none"> <li>• No record on the recruitment of janitor and clerical staff, such as</li> </ul>	<ul style="list-style-type: none"> <li>• The recruitment policy should define the entry requirements of each rank or post (e.g. academic and professional qualifications, years of relevant experience, aptitude and any special skills). Candidates should be shortlisted for interview, assessed and recommended for appointment based on pre-approved criteria.</li> </ul>

Note On the principle of school-based management, DSS schools may exercise discretion to formulate its record retention and disposal policy. Nonetheless, schools should comply with the provisions in the Personal Data (Privacy) Ordinance and refer to the Code of Practice on Human Resources Management issued by The Office of the Privacy Commissioner for Personal Data in formulating the policy, which should be properly documented.

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			<p>advertisement, selection criteria and result, etc. was found.</p> <ul style="list-style-type: none"> <li>For recruitment of teaching and administrative staff, candidates shortlisted from the first interview were required to attend a second interview. Yet only records of the second interviews were kept.</li> </ul>	<ul style="list-style-type: none"> <li>Assessment records should be properly recorded and documented throughout the whole selection process.</li> <li>A summary recording the number of applications received and candidates shortlisted for interviews, as well as results of the selection process, could be kept for each recruitment exercise.</li> </ul>
(b) a recruitment panel to conduct selection.		Yes	<ul style="list-style-type: none"> <li>Recruitment panels consisting of at least two members were formed subject to the availability of the Principal, senior teachers and school managers.</li> </ul>	<ul style="list-style-type: none"> <li>There should be pre-defined composition for the first and second interview boards, and for the respective posts to be recruited. For example, representatives from the functional committees or subject panels as appropriate to conduct the first interview. A second interview by the management (headed by the Principal or school supervisor/managers) can be arranged, if necessary.</li> </ul>

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2	The school has put in place a remuneration policy with criteria including qualification and experience. The deviations from the policy have been approved by the SMC/IMC and documented.	Paras. 5 and 6 of EDBC No. 17/2012	Yes	<ul style="list-style-type: none"> <li>• The salary scales of teaching staff, which had been endorsed by the SMC, were set in accordance with the current ones for aided secondary school teachers.</li> <li>• The salary scales of administrative and clerical staff were determined by the Principal with reference to the remuneration of civil servants at comparable ranks and responsibilities in consultation with the school Supervisor.</li> <li>• Any deviation from the policy was agreed between the Principal and the Supervisor.</li> </ul>	<ul style="list-style-type: none"> <li>• <b>This requirement has not been fully complied with.</b></li> <li>• School-based remuneration policy covering all staff (both teaching and non-teaching) should be approved by the SMC/IMC.</li> <li>• Lay down the criteria and approving authority for determining the remuneration package of individual appointees, taking into account his/her qualification, working experience and expertise as well as the market rate.</li> <li>• Determine the salary scales and fringe benefits for each rank of staff or post.</li> <li>• Require the responsible staff to seek approval from the SMC/IMC for any offer which deviates from the remuneration package.</li> <li>• Specify the criteria and formula for calculating pay adjustments and non-standard payments (e.g. performance bonus or duty</li> </ul>

Checklist	Major Reference	Yes/ No/ N.A.	Findings/ Evidence	Comments/ Recommendations for Improvement
				<p>allowance).</p> <ul style="list-style-type: none"> <li>• Require any adjustment of salaries, benefits, and non-standard payments to be approved by the senior management.</li> <li>• Any delegation of authority from the SMC/IMC should be properly documented.</li> </ul>
3	The policy (including the formulation of objective criteria) on staff promotion is made known to the staff concerned.	Chapter 6 of “Best Practice Checklist: Governance and Internal Control in Schools” by the ICAC	Yes <ul style="list-style-type: none"> <li>• The criteria for staff promotion were circulated among relevant staff through internal notice whenever there was a vacancy of promotion post.</li> <li>• No information was available in <i>the Staff Handbook</i>.</li> </ul>	<ul style="list-style-type: none"> <li>• <b>This requirement has not been fully complied with.</b></li> <li>• The school should lay down and make known to all staff the eligibility criteria for promotion, not just at the time when a promotion post vacancy is available.</li> <li>• Announce the timing of a promotion exercise to the staff concerned.</li> <li>• Appoint a promotion board to assess all eligible candidates for promotion based on the pre-determined criteria, with reference to their appraisal reports for a certain period of time (e.g.</li> </ul>

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				<p>three to four years).</p> <ul style="list-style-type: none"> <li>• Establish the interview procedures and design an assessment form for use by the board members if a promotion interview is conducted.</li> <li>• Provide a review channel for unsuccessful candidates.</li> </ul>
<p>4 There is a mechanism for declaration of interest or for avoidance of conflict of interest by staff involved in the recruitment exercise, in determining/approving the remuneration packages for individual staff and in the promotion exercise.</p>	<p>Ditto, and Paras. 4, 5 &amp; 6 and Annex 1 of EDBC No. 17/2012</p>	<p>Yes</p>	<ul style="list-style-type: none"> <li>• Teaching staff were required to make declaration of conflict of interest on a standard form in relation to school operation matters at the beginning of each school year.</li> </ul>	<ul style="list-style-type: none"> <li>• <b>This requirement has not been fully complied with.</b></li> <li>• Non-teaching staff should also be required to make declaration where appropriate.</li> <li>• All staff involved in the recruitment exercise, determining remuneration packages and staff promotion should make declaration of any potential or actual conflict of interest in writing, preferably on a standard form, or recorded in the notes of a meeting when discharging of such related duties during the school's daily operation.</li> <li>• There should be mechanism, including the specification of the</li> </ul>

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				<p>approving authority, to handle any declared conflicts.</p> <ul style="list-style-type: none"> <li>Records of any declared conflicts, and the considerations on the way they were handled, should be properly kept.</li> </ul>	
<b>B. Management of Staff Performance / Leave</b>					
5	A mechanism for assessing staff performance has been set up and staff appraisal records are properly kept.	Para. 5 of EDBC No. 17/2012	Yes	<ul style="list-style-type: none"> <li>School-based policy on staff performance management was approved by the SMC and made known to all staff through the <i>Staff Handbook</i>.</li> <li>Staff appraisal records were kept in relevant staff folder under restricted cover.</li> </ul>	<ul style="list-style-type: none"> <li>Pre-determine and make known to all staff the core competencies and performance standards of each rank or post.</li> <li>Devise for each rank or post a standard form covering all relevant core competencies to be assessed.</li> <li>Define clearly the duties of the appraisee, appraising officer, counter-signing officer and reviewing officer, and specify the staff for the respective duties at the beginning of the appraisal period.</li> <li>Form a review panel to moderate the performance ratings of the appraisal reports if the SMC/IMC deems necessary.</li> </ul>

	Checklist	Major Reference	Yes/ No/ N.A.	Findings/ Evidence	Comments/ Recommendations for Improvement
					<ul style="list-style-type: none"> <li>• Establish a channel for handling appeal for review lodged by appraisees.</li> <li>• Record all comments on the performance of an appraisee using a standard performance appraisal form.</li> <li>• Allow the appraisees to read and acknowledge the comments made in their appraisal reports, and ensure the management will follow up the appraisees' comments, if any.</li> </ul>
6	The school has put in place policies on both paid and no-pay leave.		In progress	<p>The school was in the process of drafting its leave policy with reference to current practice:</p> <ul style="list-style-type: none"> <li>• All types of no-pay leave were approved by SMC.</li> <li>• Paid leave, such as sick leave, study leave and maternity/paternity leave was approved</li> </ul>	<ul style="list-style-type: none"> <li>• Put up the draft overall leave policy for discussion and endorsement at the SMC meetings.</li> <li>• Lay down the leave application procedures and requirements for granting paid or no-pay leave (including sick leave, casual leave, maternity leave, annual leave, special TB leave, leave for injury at work, etc.) by taking into account of the requirements of the Employment Ordinance.</li> </ul>

Checklist	Major Reference	Yes/ No/ N.A.	Findings/ Evidence	Comments/ Recommendations for Improvement
			<p>by the Principal.</p> <ul style="list-style-type: none"> <li>• Both teaching and non-teaching staff were not required to complete any leave application form.</li> <li>• A leave register was kept for individual staff member, which was updated monthly and countersigned by the staff concerned.</li> </ul>	<ul style="list-style-type: none"> <li>• Lay down the criteria and approving authority for granting staff leave. Proper delegation of authority should be made.</li> <li>• Require all staff to submit applications for all types of leave for record and accounting purposes.</li> </ul>

**Overall recommendation:**

The school is recommended to set up a task group, to be headed by the Principal, to review and formulate the HR & personnel policies and procedures. The suggestions of the task group, some of which might need to undergo proper staff consultation, will then be discussed at the HR Sub-committee under the SMC, if any. The recommendations should finally be put up to the SMC for deliberation and endorsement before implementation.