

Best Practice Checklist



Staff Administration



防止貪污處
Corruption Prevention Department

INTRODUCTION

Human resources are valuable assets of any organization or company. Good practices in staff administration do not only help the management to manage and develop staff in the organization or company but also avert abuse and corrupt practices that would undermine its effective operation.

This Best Practice Checklist aims to provide organizations and companies with a user-friendly guide on procedures and safeguards in relation to staff administration systems, including recruitment, supervision and promotion of staff, performance appraisal, hiring of temporary staff and handling of staff complaints.

Users of the Checklist are advised to adapt the recommended measures to suit their respective organizational structure, resource capability, operational needs, and risk exposures.

The Advisory Services Group of the Corruption Prevention Department of ICAC stands ready to provide free, confidential, and tailor-made corruption prevention advice to private companies on request, including how to apply the practices recommended in this Checklist. For further information, please contact the Group at:

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HOW TO USE THIS BEST PRACTICE CHECKLIST

For quick and easy reference, users will find the following icons throughout this Best Practice Checklist. They serve to lead users to the information required:

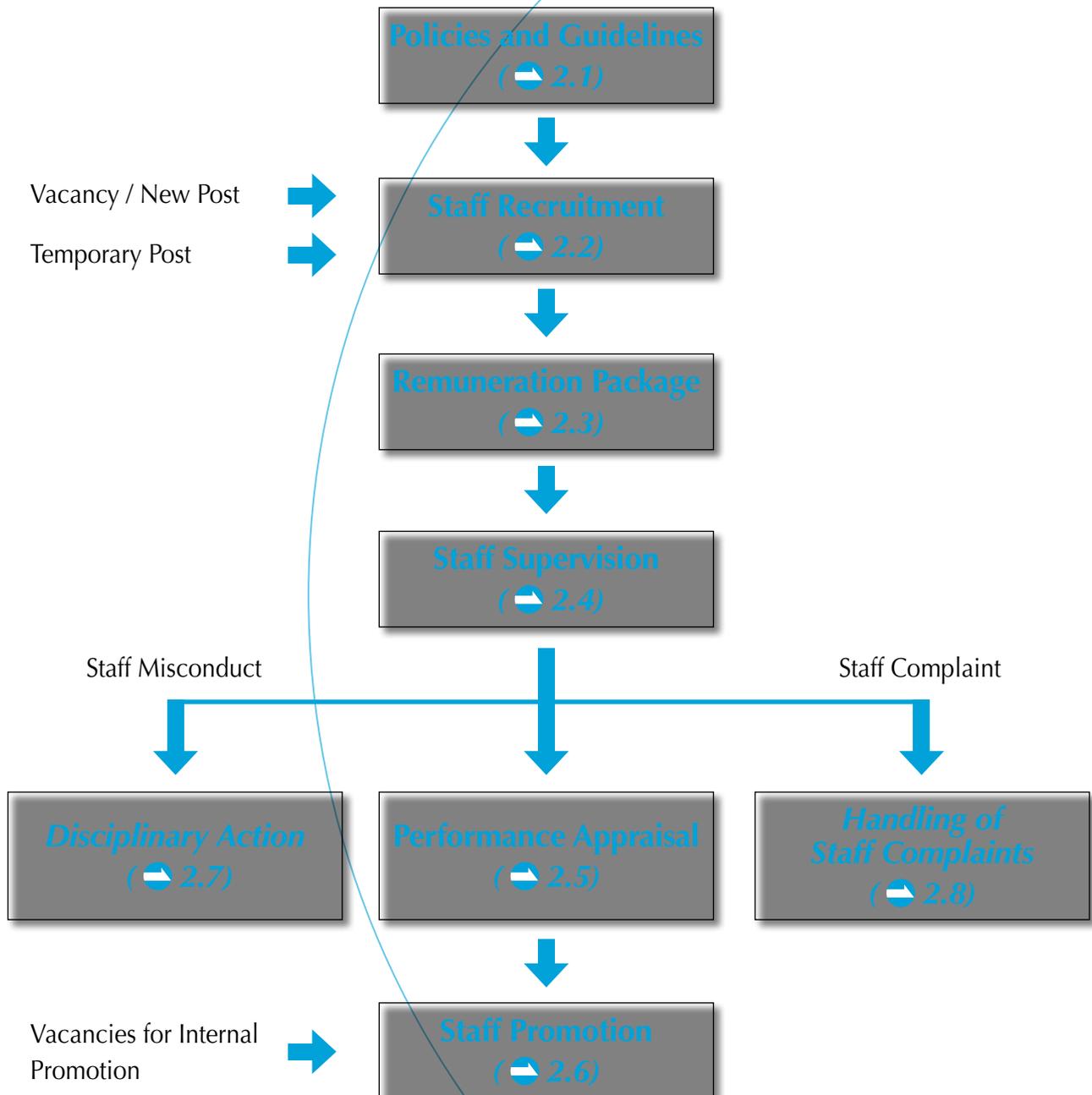
	Reference Guideline – standard code of conduct, procedural guideline or work manual for quick reference
	Sample Form – samples for adoption where applicable
	Legislation – extracts of relevant ordinances
	Pointer – cross reference to other sections of the Checklist

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1.1 Key Processes

Listed below are the key processes of staff administration. The recommended best practices and control measures for each process are detailed in the respective sections of this Checklist.



2.1 Policies and Guidelines

2.1.1 General Staff Administrative Guidelines

Management

- Lay down in guidelines and make known to all staff the policies for staff administration matters, such as:
 - staff recruitment, promotion and posting policies;
 - staff remuneration packages, covering salary scales, fringe benefits, commissions, bonus or gratuity as appropriate for each rank of staff or post;
 - job descriptions, working hours, and other operational requirements such as shift duties, overtime arrangements;
 - the authority for approval of overtime work and rates payable;
 - the performance appraisal system;
 - a disciplinary system, such as the administration of sanctions and levels of authority (e.g. warnings and dismissals); and
 - a mechanism for handling staff complaints.

2.1.2 Code of Conduct

Management/Personnel Section

- Lay down the ethical standards and behaviour expected of the staff in the discharge of duties in a Code of Conduct or Manual (📄 **Appendix 1**).
- Include in the Code:
 - The organization's or company's core values, mission statement if appropriate, and stance on anti-corruption.
 - The policy governing solicitation and acceptance of advantages and entertainment offered by clients, with reference to the relevant provisions under the Prevention of Bribery Ordinance (⚖️ **Annex 1 of Appendix 1**), and the procedures for handling acceptance.

- Guidelines on reporting the gifts received ( **Annex 2 of Appendix 1**), declaration of conflict of interest and the procedures for handling the declared conflicts ( **Annex 3 of Appendix 1**).
 - The policy for staff taking outside or part-time jobs and the procedures for approval, if applicable.
 - Rules for protection and use of confidential or proprietary information.
 - Rules for use of resources of the organization or company such as vehicles and computers and their disposal.
- State clearly the disciplinary actions that will be taken against the staff in breach of the Code or Manual.

2.2.1 Entry Requirements

Personnel Section

- Clearly define the minimum entry requirements of the post (e.g. academic and professional qualifications, years of relevant experience, aptitude and any special skills), and seek approval from the management.

2.2.2 Advertisement of Job Vacancies

Personnel Section

- Advertise job vacancies in newspapers and on the website of the organization/company to enhance transparency.
- State clearly in the advertisement the job description, entry requirements and other essential information, such as the application deadline, any written test, the correspondence address (and email address if any), and the enquiry telephone number if available.

2.2.3 Receipt of Applications

Personnel Section

- Record all applications received in a register or file all applications properly date-stamped upon receipt to prevent tampering of applications.
- Receive late applications only with the approval of the designated authority (e.g. senior managerial staff) and document the justifications.
- Require all staff involved in the selection process to declare any potential or actual conflict of interest and refrain from participating in the process if a conflict has been declared (e.g. a candidate is a relative or personal friend) ( **Annex 3 of Appendix 1**).

2.2.4 Arrangement of Written Test (if applicable)

Personnel Section

- Arrange a written test as required and draw up a question paper with model answers and a marking scheme (in consultation with the user section if appropriate) for the management's approval.
- Ensure the question paper is kept securely before the test to prevent leakage.
- Arrange an invigilator to supervise the test and to collect the question and answer papers at the closing time.
- Assign competent staff to mark the answer papers according to the model answers.
- Record the marks scored by individual candidates for further screening.

2.2.5 Short-listing of Applicants

Personnel Section

- Vet all applications to ensure the candidates meet the entry requirements.
- Keep the screened out applications for review or audit.

- Short-list candidates for interview based on pre-approved criteria, such as years of relevant experience, levels of education attained, results of the written test, etc., if the number of eligible candidates meeting the entry requirements is sizable.
- Assign a staff member not involved in the recruitment process to review all applications received (or at random if there is a large number of applications) to ensure only candidates meeting the pre-approved criteria are short-listed.

2.2.6 Selection of Candidates

Management

- Appoint a selection panel comprising representatives from the user section, Personnel or Human Resources Section and an independent member from another section if necessary to interview the short-listed candidates.

Personnel Section

- Design an assessment form showing the attributes for assessment and the corresponding marks or weightings, and require individual panel members to give marks on their own ( **Appendix 2**).
- Record the combined scores of each candidate after the interview and the comments of the panel members on the form.
- Prioritize the candidates according to their scores (if the first candidate does not accept the offer, the offer should go to the next on the priority list and so on to ensure fairness).
- Make recommendations for selection to the management for approval, giving justification if the highest scoring candidate is not recommended for selection.
- Arrange a second interview by the management if necessary.

2.2.7 Approval and Offer of Appointment

Management

- Designate the authority to approve the panel's recommendation and document the decision properly, in particular the reason if the panel's recommendation is not accepted.

Personnel Section

- Verify the academic qualifications and working experience of the successful candidate(s) before offer of appointment.
- Attach to the appointment letter the terms of employment, including the remuneration package.
- Include explicit contractual obligations and penalties (e.g. termination of employment) in relation to corruption and misconduct in the employment contract.
- Record all refusals of offer and ensure subsequent offers are made to candidates according to their priority.

2.2.8 Employment of Temporary Staff

Personnel Section/User Section

- Estimate the number of temporary staff required and the duration of engagement, based on the operational need and any performance benchmark, before seeking approval from the management.

Management

- Designate a staff at a senior level to consider requests for temporary staff.
- Determine or endorse the pay scale for temporary staff when granting approval.
- Monitor the number of temporary staff to ensure it is kept to the minimum and look into the case if there is any unjustified increase in number.

Personnel Section

- Ensure such consideration is based on an assessment of operational needs and trends of workload.
- Recruit temporary staff following proper recruitment procedures.
- Maintain a pool of eligible candidates selected through proper recruitment procedures if there is an on-going demand for temporary staff.
- Allocate work to temporary staff on a fair share basis (e.g. by rotation), taking into account their performance and availability.
- Require the supervisors to complete a performance appraisal form on the temporary staff who are given jobs repeatedly or to report on any adverse performance ( **Appendix 3**).
- File performance appraisals or adverse records to facilitate record check on candidates before offering jobs.
- Maintain proper employment and payment records of all temporary staff.

2.3 Remuneration Package

Management

- Determine the salary scales and fringe benefits for each rank of staff or post.
- 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.
- Require the Personnel Section to seek approval from the senior management for any offer which deviates from the remuneration package.

- Specify the criteria and formula for calculating pay adjustments and non-standard payments (e.g. performance bonus or sales commissions).
- Require any adjustment of salaries, benefits, and non-standard payments to be approved by the senior management.

2.4 Staff Supervision

2.4.1 Monitoring of Staff Attendance

Management

- Put in place a system for recording staff attendance (e.g. attendance register, clocking machine, electronic access control card system).
- Require supervisors at different levels to conduct surprise checks on staff attendance regularly.
- Assign different staff members to keep attendance records and process payments for staff to enhance checks and balances, if resources permit.

Staff

- Sign in/off in the attendance register or through the electronic attendance record system (📖 **Appendix 4**).
- Do not sign in/off duties on behalf of colleagues as this is tantamount to forging records.

Supervisors

- Check daily attendance register, time cards or computer reports on staff attendance.
- Where an attendance register is used:
 - draw a red line beneath the last sign-in entry upon the close of reporting time to prevent false recording of reporting time; and
 - keep the attendance register in a secured place to prevent tampering and unauthorized amendments.

- Produce exception reports on irregularities, such as late attendance or absence from duty, for management information and follow up action.

2.4.2 Monitoring Staff Working Outdoors

Management

- Use electronic tracking devices (e.g. Global Positioning System), where resources permit and as necessary, to monitor attendance of staff working outdoors, especially if the organization has a large mobile workforce.

Supervisors

- Maintain up-to-date work schedules of outdoor staff to facilitate monitoring of attendance.
- Conduct surprise site checks at regular intervals and document the findings.

2.4.3 Policy for Overtime Work

Management

- Lay down and make known to all staff the policy for overtime work, including:
 - maximum hours of overtime work for each staff member in a week or a month;
 - compensation methods (e.g. overtime payment rates or time-off in lieu); and
 - levels of authority for recommending and approving overtime work.
- Put in place a fair and objective mechanism for allocation of overtime work to staff, including the eligibility criteria and the method of allocation (e.g. by rotation).
- Devise a standard form for request and approval of overtime work ( **Appendix 5**).
- Put in place a system for the proper recording of the overtime hours worked by individual staff (e.g. a register or clocking machine).
- Establish a benchmark output for different tasks to facilitate assessment of workload and need for overtime work.

2.4.4 Application for and Allocation of Overtime Work

Staff

- Obtain prior approval for overtime work from the approving authority, specifying the hours of overtime work required and providing justifications (e.g. urgent or large volume of job orders).
- Obtain retrospective approval as soon as practicable in case of the overtime work has been performed urgently.
- Maintain proper records of overtime work, including the date, time and number of hours worked (📖 **Appendix 6**).

Supervisors

- Ascertain the need for the requested overtime work, with reference to the established benchmark (↔ 2.4.3), if available.
- Allocate overtime work to the staff on a fair share basis (e.g. by rotation), with reference to the laid down policy and method (↔ 2.4.3).
- Compile summary reports of overtime work for management information.

Management

- Regularly review the allocation of overtime work to ensure fair allocation.

2.4.5 Supervision and Monitoring of Overtime Work

Supervisors

- Appoint a team leader or foreman to supervise overtime work.
- Conduct surprise site visits to check if the overtime work has actually been carried out, and report any irregularities to the management.

Management

- Regularly review the expenditure on overtime work against the output and benchmark (➡ 2.4.3) to ascertain the need for overtime work.

2.4.6 Verification of and Compensation for Overtime Work**Staff**

- Complete an overtime payment claim form showing the details of the overtime work done (e.g. hours) (📄 Appendix 7).

Supervisors

- Verify the claim against the overtime or attendance records and any adverse site visit records, and certify on the claim form that the overtime work has been duly conducted.
- Ensure proper approval has been obtained for the overtime work and the claim has been properly endorsed by the supervisors concerned.

Accounts Section

- Verify the approval and overtime or attendance records when processing overtime payments.

2.5 Performance Appraisal**Management**

- Pre-determine and make known to all staff the core competencies and performance standards of each rank or post.

Personnel Section

- Devise for each rank or post a standard form covering all relevant core competencies to be assessed.

- 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.
- Form a review panel to moderate the performance ratings of the appraisal reports if a large number of staff at the same level are being appraised and many appraising officers are involved.
- Establish a channel for handling appeal for review lodged by appraisees.

Supervisors

- Record all comments on the performance of an appraisee using a standard performance appraisal form ( **Appendix 3**).
- 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.

2.6 Staff Promotion

Management

- Lay down and make known to all staff the eligibility criteria for promotion.
- Announce the timing of a promotion exercise to the staff concerned.
- 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. three to four years).
- Establish the interview procedures and design an assessment form for use by the board members if a promotion interview is conducted.
- Provide a review channel for unsuccessful candidates.

Promotion Board

- Require all members of the promotion board to declare and record any conflict of interest, and refrain from participating in the process if a conflict is declared (e.g. the candidate under consideration is a relative or personal friend) ( **Annex 3 of Appendix 1**).
- Prepare a report on the candidates recommended for promotion, in order of priority, for approval by the specified level of authority.
- Announce the promotion results as soon as possible to avoid speculation.

2.7 Disciplinary Action

Management

- Lay down and make known to all staff the circumstances warranting different forms of disciplinary actions and the procedures that will be taken in the case of misconduct or breach of regulations.
- Ensure fairness and consistency in taking disciplinary actions by involving both the senior management of the operational unit concerned and the Personnel Section.

Personnel Section

- Maintain proper records of disciplinary actions taken.

2.8 Handling of Staff Complaints

Management

- Publicize the channels and adopt user-friendly procedures for lodging staff complaints.

- Reassure the complainants that all information given will be handled in strict confidence.
- Assign a staff member, at the appropriate rank and not the subject of the complaint, to investigate the complaint.

Personnel Section

- Record and follow up on all complaints promptly.
- Escalate the investigating authority in case of repeated complaints.
- Maintain a proper record of the investigation details of each complaint.
- Submit an investigation report to a designated authority (e.g. Head of Personnel Section) for consideration and recommendation of disciplinary action, if applicable.
- Endorse by an appropriate level of authority before closure of a complaint case.
- Inform the complainant of the outcome after investigation.

SAMPLE CODE OF CONDUCT

Introduction

1. The (*name of company*) (hereafter referred to as the Company) regards honesty, integrity and fair play as our core values that must be upheld by all directors and staff¹ of the Company at all times. This Code sets out the basic standard of conduct expected of all directors and staff, and the Company's policy on acceptance of advantage and handling of conflict of interest when dealing with the Company's business.

Prevention of Bribery

Prevention of Bribery Ordinance

2. Under the Prevention of Bribery Ordinance (the Ordinance), any director or staff member who, without the permission of his employer or principal (i.e. the Company), solicits or accepts an advantage as a reward or inducement for doing any act or showing favour in relation to the latter's business, commits an offence. The person offering the advantage also commits an offence.

(The relevant provisions of Section 9 of the Ordinance and the definition of "advantage" are detailed at **Annex 1**.)

Acceptance of Advantage

3. It is the Company's policy that directors and staff, in their private capacity, should not solicit or accept an advantage from any person, company or organization having business dealings with the Company, except that they may accept (but not solicit) the following advantages when offered on a voluntary basis:

- (a) advertising or promotional gifts or souvenirs of a nominal value; or
- (b) gifts given on festive or special occasions, subject to a maximum limit of \$_____ in value; or
- (c) discounts or other special offers given by any person or company to them as customers, on terms and conditions equally applicable to other customers in general; or

¹"Staff" cover full-time, part-time and temporary staff, except where specified.

- (d) gifts or souvenirs of nominal value presented to them in official functions.

No director or staff member should, in his/her private capacity, accept any advantage from a subordinate, except those mentioned in paragraphs (a) and (b) above.

4. Gifts or souvenirs described in paragraph 3(d) above are deemed as offers to the Company. The directors and staff members concerned should report the acceptance to the Company and seek direction as to how to handle the gifts or souvenirs from the approving authority² using Form A (**Annex 2**). If a director or staff member wishes to accept any advantage not covered in paragraph 3, he/she should also seek permission from the approving authority using Form A.

5. However, a director or staff member should decline an offer of advantage if acceptance could affect his/her objectivity in conducting the Company's business or induce him/her to act against the interest of the Company, or acceptance will likely lead to perception or allegation of impropriety.

6. If a director or staff member has to act on behalf of a client in the course of carrying out the Company's business, he/she should also comply with any additional restrictions on acceptance of advantage that may be set by the client.

Offer of Advantage

7. Directors and staff are prohibited from offering advantages to any director or staff of another company or organization, for the purpose of influencing such person or company in any dealings, or any public official, whether directly or indirectly through a third party, when conducting the Company's business.

Entertainment

8. As defined in Section 2 of the Ordinance, "entertainment" refers to food or drink provided for immediate consumption on the occasion, and any other entertainment provided at the same time. Although entertainment is an acceptable form of business and social behaviour, a director or staff member should avoid accepting overly lavish or frequent entertainment from persons with whom the Company has business dealings (e.g. suppliers or contractors) or from his/her subordinates to avoid placing himself/herself in a position of obligation.

² Specify the post of the approving authority in the Code and the Form.

Records, Accounts and Other Documents

9. Directors and staff should ensure that all records, receipts, accounts or other documents they submit to the Company, give a true representation of the events or business transactions as shown in the documents. Intentional use of documents containing false information to deceive or mislead the Company, regardless of whether there is any gain or advantage involved, may constitute an offence under the Ordinance.

Compliance with Laws of Hong Kong and in Other Jurisdictions

10. Directors or staff must comply with all local laws and regulations when conducting the Company's business, and also those in other jurisdictions when conducting business there.

Conflict of Interest

11. Directors and staff should avoid any conflict of interest situation (i.e. situation where their private interest conflicts with the interest of the Company) or the perception of such conflicts. They should not misuse their position or authority in the Company to pursue their own private interests which include both financial or personal interests and those of their family members, relatives or close personal friends. When actual or potential conflict of interest arises, the director or staff member should make a declaration to the management through the reporting channel using Form B (**Annex 3**).

12. Some common examples of conflict of interest are described below but they are by no means exhaustive:

- (a) A staff member involved in a procurement exercise is closely related to or has financial interest in the business of a supplier who is being considered for selection by the Company.
- (b) One of the candidates under consideration in a recruitment or promotion exercise is a family member, a relative or a close personal friend of the staff member involved in the process.
- (c) A director of the Company has financial interest in a company whose quotation or tender is under consideration by the Board.
- (d) A staff member (full-time or part-time) undertaking part-time work with a contractor whom he is responsible for monitoring.

Use of Company Assets

13. Directors and staff in charge of or having access to any Company assets, including funds, property, information, and intellectual property, should use them solely for the purpose of conducting the Company's business. Unauthorized use, such as misuse for personal gain, is strictly prohibited.

Confidentiality of Information

14. Directors and staff should not disclose any classified information of the Company without authorization or misuse any Company information (e.g. unauthorized sale of the information). Those who have access to or are in control of such information, including information in the Company's computer system, should at all times protect the information from unauthorized disclosure or misuse. Special care should also be taken in the use of any personal data, including directors', staff's and customers' personal data, to ensure compliance with the Personal Data (Privacy) Ordinance (Cap. 486).

Outside Employment

15. Any full-time staff who wish to take up employment outside the Company, must seek the prior written approval of the approving authority. The approving authority should consider whether the outside employment would give rise to a conflict of interest with the staff's duties or the interest of the Company.

Relationship with Suppliers, Contractors and Customers

Gambling

16. Directors and staff are advised not to engage in frequent gambling activities (e.g. mahjong) with persons having business dealings with the Company.

Loans

17. Directors and staff should not accept any loan from, or through the assistance of, any individual or organization having business dealings with the Company. There is however no restriction on borrowing from licensed banks or financial institutions.

[The Company may wish to include other guidelines on the conduct required of directors and staff in their dealings with suppliers, contractors, customers, and other business partners as appropriate to specific trades.]

Compliance with the Code

18. It is the responsibility of every director and staff member of the Company to understand and comply with this Code, whether performing his company duties in or outside Hong Kong. Managers and supervisors should also ensure that the staff under their supervision understand well and comply with this Code.

19. Any director or staff member in breach of this Code will be subject to disciplinary action, including termination of appointment. In cases of suspected corruption or other criminal offences, a report will be made to the ICAC or the appropriate authority.

20. Any enquiries about this Code or reports of possible breaches of this Code should be made to (post of designated senior staff).

(Name of Company)

Date :

Extracts from the Prevention of Bribery Ordinance

Section 9

- (1) Any agent who, without lawful authority or reasonable excuse, solicits or accepts any advantage as an inducement to or reward for or otherwise on account of his –
 - (a) doing or forbearing to do, or having done or forborne to do, any act in relation to his principal's affairs or business; or
 - (b) showing or forbearing to show, or having shown or forborne to show, favour or disfavour to any person in relation to his principal's affairs or business,shall be guilty of an offence.

- (2) Any person, who, without lawful authority or reasonable excuse, offers any advantage to any agent as an inducement to or reward for or otherwise on account of the agent's –
 - (a) doing or forbearing to do, or having done or forborne to do, any act in relation to his principal's affairs or business; or
 - (b) showing or forbearing to show, or having shown or forborne to show, favour or disfavour to any person in relation to his principal's affairs or business,shall be guilty of an offence.

- (3) Any agent who, with intent to deceive his principal, uses any receipt, account or other document –
 - (a) in respect of which the principal is interested; and
 - (b) which contains any statement which is false or erroneous or defective in any material particular; and
 - (c) which to his knowledge is intended to mislead the principal,shall be guilty of an offence.

- (4) If an agent solicits or accepts an advantage with the permission of his principal, being permission which complies with subsection (5), neither he nor the person who offered the advantage shall be guilty of an offence under subsection (1) or (2).

- (5) For the purpose of subsection (4) permission shall –
- (a) be given before the advantage is offered, solicited or accepted; or
 - (b) in any case where an advantage has been offered or accepted without prior permission, be applied for and given as soon as reasonably possible after such offer or acceptance,

and for such permission to be effective for the purpose of subsection (4), the principal shall, before giving such permission, have regard to the circumstances in which it is sought.

Section 2

'Advantage' means :

- (a) any gift, loan, fee, reward or commission consisting of money or of any valuable security or of other property or interest in property of any description;
- (b) any office, employment or contract;
- (c) any payment, release, discharge or liquidation of any loan, obligation or other liability, whether in whole or in part;
- (d) any other service, or favour (other than entertainment), including protection from any penalty or disability incurred or apprehended or from any action or proceedings of a disciplinary, civil or criminal nature, whether or not already instituted;
- (e) the exercise or forbearance from the exercise of any right or any power or duty; and
- (f) any offer, undertaking or promise, whether conditional or unconditional, of any advantage within the meaning of any of the preceding paragraphs (a), (b), (c), (d) and (e),

but does not include an election donation within the meaning of the Elections (Corrupt and Illegal Conduct) Ordinance (Cap. 554), particulars of which are included in an election return in accordance with that Ordinance.

'Entertainment' means :

The provision of food or drink, for consumption on the occasion when it is provided, and of any other entertainment connected with, or provided at the same time as, such provisions.

Section 19

In any proceedings for an offence under this Ordinance, it shall not be a defence to show that any such advantage as is mentioned in this Ordinance is customary in any profession, trade, vocation or calling.

Form A

(Company Name)

REPORT ON GIFTS RECEIVED**Part A – To be completed by Receiving Staff**

To : (Approving Authority)

Description of Offeror :

Name & Title of Offeror : _____

Company : _____

Relationship (Business / Personal) : _____

Occasion on which the Gift was / is to be Received : _____

Description & (Assessed) Value of the Gift : _____

Suggested Method of Disposal :**Remark** Retain by the Receiving Staff _____ Retain for Display / as a Souvenir in the Office _____ Share among the Office _____ Reserve as Lucky Draw Prize at Staff Function _____ Donate to a Charitable Organization _____ Return to the Offeror _____ Others (please specify) : __________
(Name of Receiving Staff)

(Date)

(Title)

Part B – To be completed by Approving Authority

To : (Name of Receiving Staff)

The recommended method of disposal is ***approved / not approved**.

*The gift(s) concerned should be disposed of by way of : _____

(Name of Approving Authority)

(Date)

(Title)

* Please delete as appropriate

Form B

(Company Name)

Declaration of Conflict of Interest**Part A – Declaration** *(To be completed by Declaring Staff)*To : *(Approving Authority)* via *(Supervisor of Declaring Staff)*

I would like to report the following actual/potential* conflict of interest situation arising during the discharge of my official duties :-

Persons/companies with whom/which I have official dealings
My relationship with the persons/companies (e.g. relative)
Relationship of the persons/companies with our Company (e.g. supplier)
Brief description of my duties which involved the persons/companies (e.g. handling of tender exercise)

(Date)

(Name of Declaring Staff)

(Title / Department)

Part B – Acknowledgement *(To be completed by Approving Authority)*To : *(Declaring Staff)* via *(Supervisor of Declaring Staff)***Acknowledgement of Declaration**The information contained in your declaration form of (Date) is noted. It has been decided that :-

- You should refrain from performing or getting involved in performing the work, as described in Part A, which may give rise to a conflict.
- You may continue to handle the work as described in Part A, provided that there is no change in the information declared above, and you must uphold the Company's interest without being influenced by your private interest.
- Others (please specify) : _____

(Date)

(Name of Approving Authority)

(Title / Department)

* Please delete as appropriate

Name of candidate: _____

Date and time of interview: _____

Aspect of assessment	Score
1. Common sense (10%)	
2. Interpersonal skills (10%)	
3. Communication skills (10%)	
4. Motivation (10%)	
5. Self-confidence (10%)	
6. Supervisory ability (10%)	
7. Work knowledge (10%)	
8. Special skills (10%)	
9. Integrity (10%)	
10. Language proficiency (10%)	
Total score (100%):	

Additional remarks:**Recommendation:**
 Suitable for appointment

 Not suitable for appointment

 (Signature & Name of Assessment Panel Member)

SAMPLE PERFORMANCE APPRAISAL FORM

Part 1 Personal Particulars

Name of Appraisee			
Staff Number (if any)			
Post			
Section			
Date of Employment	/	/	(dd/mm/yyyy)
Period under Review	From /	/	(dd/mm/yyyy)
	To /	/	

Part 2 Record of Assessment/Review

	Appraisee	Appraising Officer	Appraising Officer's Supervisor (Counter-signing Officer)
Name			
Signature			
Post			
Date (dd/mm/yyyy)			

Part 3 Performance Assessment

	Rating (✓)				
Attendance	5 ()	4 ()	3 ()	2 ()	1 ()
Job knowledge and skills	5 ()	4 ()	3 ()	2 ()	1 ()
Quality of work	5 ()	4 ()	3 ()	2 ()	1 ()
Initiative and motivation	5 ()	4 ()	3 ()	2 ()	1 ()
Team work	5 ()	4 ()	3 ()	2 ()	1 ()
General conduct	5 ()	4 ()	3 ()	2 ()	1 ()
Discipline	5 ()	4 ()	3 ()	2 ()	1 ()

Overall Performance Rating

Substantially exceeds job requirements	Exceeds job requirements	Meets job requirements	Partially meets job requirements	Does not meet most job requirements
5 ()	4 ()	3 ()	2 ()	1 ()

Please indicate whether the appraisee has taken up any special task or obtained any award/commendation (to be filled by the appraising officer).

Overall comments on performance (to be filled by the appraising officer and/or counter-signing officer).

Assessment Areas	Rating (√)
1. Attendance	5 = No late and absence record, willing to replace contingent duty 4 = No late and absence record 3 = Less than 3 times of late or absence record 2 = 3 times of late or absence record 1 = More than 3 times of late or absence record
2. Job knowledge and skills	5 = Substantially exceeds job requirements
3. Quality of work	4 = Exceeds job requirements
4. Initiative and motivation	3 = Meets job requirements
5. Team work	2 = Partially meets job requirements
6. General conduct	1 = Does not meet most job requirements
7. Discipline	5 = No disciplinary record, always follow supervisor's and working instructions 4 = No disciplinary record 3 = Less than 3 times of disciplinary record 2 = 3 times of disciplinary record 1 = More than 3 times of disciplinary record

SAMPLE ATTENDANCE REGISTER

Section: _____

Date: _____

Supervisor: _____ Signature: _____

	Name of Staff	Time of Arrival	Signature	Time of Departure	Signature
1					
2					
3					
4					
5					
6					
7					
8					
9					
10					
11					
12					
13					
14					
15					

Part I *(to be completed by the requesting staff)*

1. I wish to seek approval for the overtime (OT) work. Details are as follows:

- (a) Purpose/nature of OT work:
- (b) Consequences of not working OT:
- (c) Staff involved:

Name	Post	Section	Date of OT work	Estimated number of hours	Location

- (d) Staff responsible for supervising/checking the OT work:

2. I certify that the above mentioned OT work is strictly essential and cannot be avoided or reduced. I will ensure that such work is properly recorded.

Signature : _____

Name : _____

Post : _____

Section : _____

Date : _____

Part II *(to be completed by the approving staff)*

The application in Part I above is *approved/not approved.

Signature : _____

Name : _____

Post : _____

Section : _____

Date : _____

* Please delete as appropriate

SAMPLE FORM FOR RECORDING OVERTIME WORK

Part I *(to be completed by the staff)*

I confirm that I have worked overtime. Details are as follows:

Date	Time	Location	Purpose
------	------	----------	---------

I have performed a total of _____ hours of overtime work.

Signature : _____

Name : _____

Post : _____

Section : _____

Date : _____

Part II *(to be completed by the supervisor)*

I certify that the information in Part I above is correct.

Signature : _____

Name : _____

Post : _____

Section : _____

Date : _____

SAMPLE CLAIM FORM FOR OVERTIME PAYMENT

Part I *(to be completed by the requesting staff)*

I wish to apply for overtime payment arising from the following overtime work:

Date	Time	Actual number of hours of overtime work	Overtime payment (\$)
------	------	--	-----------------------

Signature : _____

Name : _____

Post : _____

Section : _____

Date : _____

Part II *(to be completed by the Accounts Section)*

The application in Part I above *is/is not approved.

Signature : _____

Name : _____

Post : _____

Date : _____

* Please delete as appropriate



Corruption Prevention Department

Independent Commission Against Corruption

303 Java Road, North Point, Hong Kong