出國類別：出席國際會議

參加IPMA-HR第32屆公共人事管理國際研討會出國報告

服務機關：考選部
姓名職稱：部長林嘉誠、主任秘書張瑞弘

派赴國家：南非共和國

出國期間：96年4月15日至21日

報告日期：96年5月30日

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參加IPMA-HR第30屆公共人事管理
國際研討會出國報告

壹、目的

國際公共管理人力資源協會（IPMA-HR）於96年4月15日至18日假南非開普敦市舉行第三十二屆公共人事管理國際研討會，本部以會員身分受邀參與，由林部長嘉誠率同張主任秘書瑞弘出席，林部長並於會中就「公部門的知識管理－台灣經驗」做專題報告。

本次會議計有22個國家及3個國際組織代表50餘人參加，包括巴林、英屬維京群島、加拿大、英國、肯亞、韓國、賴索托、馬拉威、模里西斯、莫三鼻克、烏干達、三毛亞、沙烏地阿拉伯、新加坡、南非、斯理蘭卡、史瓦濟蘭、台灣、坦尚尼亞、泰國、千里達、尚比亞、聯合國、世界銀行、人力資源管理協會國際組織等，參加人員多爲政府人事部門首長或主管。

此行除參加會議外，並順道與南非文官委員會（Public Service Commission）、公共服務及行政部（Department of Public Service and Administration）及法律學會（Law Society of South Africa）相關主管會談，分別就公務人員甄選及律師考試制度與實務交換意見。另經由駐南非代表處之安排亦會晤開普敦市當地政要及國會議員，聯繫兩國情誼。

貳、行程紀要

月	日	星期	紀　　　　要
4	15	日	**18：25**　台灣桃園國際機場搭乘新加坡航空班機出發 **22：50**　抵達新加坡
4	16	一	**01：30**　轉搭新加坡航空班機 **07：35**　抵達開普敦 **09：00**　出席論壇會議 **16：00**　與南非公共服務及行政部相關部門主管會談 **18：30**　與駐開普敦辦事處同仁餐敘
4	17	二	**09：00**　出席論壇會議 **10：15**　林部長專題報告 **13：30**　IPMA-HR Bus Tour **18：30**　開普敦辦事處劉處長晚宴
4	18	三	**10：10**　搭乘南非航空班機 **12：10**　抵達約翰尼斯堡 **15：00**　與南非法律協會相關主管會談 **18：30**　南非代表處石代表晚宴
4	19	四	**09：00**　與代表處同仁座談 **13：00**　參觀種族隔離博物館、人類發源地 **18：30**　與代表處同仁餐敘
4	20	五	**13：15**　約翰尼斯堡機場搭乘新加坡航空班機出發
4	21	六	**05：40**　抵達新加坡 **08：00**　轉搭新加坡航空班機 **12：40**　返抵台灣桃園國際機場

參、參加公共人事管理國際研討會

一、林部長專題報告內容

題目：「公部門的知識管理：台灣經驗」

全文計分三部份：第一，對知識管理的研究發展及意義略加以敘述；第二，探討公部門實施知識管理的必要性及具體作法；第三，以台灣政府部門的知識管理爲例，略作説明。

知識管理的研究發展及意義

學術界對於知識的討論，已有一段時間，例如：Descartes的理性主義及Lock的經驗主義，產生往後的歸納理論及演繹理論。知識管理的興起與組織學習、資訊科技發展有關，在一九八〇年代末期逐漸在企業管理、資訊管理領域發展。知識管理的討論必然觸及何謂知識，以及組織知識管理的必要性及如何有效運作。

何謂知識？知識與資料、資訊、智慧有何不同？或許仁智互見，但綜合多數學説，仍可歸納若干共識。資料係指客觀事實的簡易描述；資訊則是經過處理的資料，對使用者具有意義，有改變使用者認知的潛力；知識則指經過分析、詮釋、推理、關係連結、抽象化的資訊；智慧則指有效地整合、選擇及利用各種不同知識的內隱能力。綜合言之，知識的特質包括：1.知識是人類心智的結果；2.人類心智模式由外在刺激、知覺、篩選、比對、決策，到反應執行；3.知識包含假設、因果關係架構、經驗法則、價值觀與規範、信念；4.知識的特性，隱性、行動取向、動態、複製再利用、無限延長性、不完全競爭性；5.個人知識反映在知覺、了解、認知、洞察力、熟悉度、邏輯推理。

知識管理學者，除了探討知識本質之外，對於個人知識與組識知識的區別，內隱知識與外顯知識的異同，有詳實的分析。知識管理強調組織內部的知識創新、分享、儲存、傳播、擴散，組織由內部成員所組成，除了成員個人知識之外，組織除了吸納成員個人知識，經年累月也能塑造組織知識。個人知識屬於個人，可再利用，較難共享；組織知識有助於創造組織價值，易於與他人共享，例如：組織文化、組織內作業標準程序，相關規則。Nonaka & Takeuchi首先提出內隱知識與外顯知識的概念，內隱知識是個人的，與特別情境有關，同時較難以形式化及溝通。外顯知識則可以形

式化、制度化，語言傳遞的知識。他們兩位以內化、共同化、外化、組合等說明外顯知識、內隱知識的轉換模式。內隱轉換爲內隱，即是共同化；內隱轉換爲外顯是外化；外顯轉換爲外顯是組合；外顯轉換爲內隱是內化。這些過程構成知識螺旋，在組織內創造知識內容。

知識管理先在企業界流行，企業組織爲了提昇存活能力及競爭優勢，對於存在組織內外部的個人、群組或團體內有價值的知識，進行有計畫地獲取、儲存、分享、移轉、利用與評估。人類經濟體系由勞力密集、資本密集轉化爲知識密集，一九九六年，OECD正式宣布知識經濟時代來臨，知識成爲企業重要生產因素，也是企業的資產，知識管理有助開發新產品與服務，降低成本，保持市場占有率，加速產品上市，保存核心能力，增加利潤，改善顧客滿意度。邁入二十一世紀，全球大企業十之八九均在公司之內實施知識管理制度，配合組織策略與願景，掌握所處產業相關知識提昇對顧客需求與市場趨勢的預測能力。Davenport & Prusak認爲企業組織知識管理目的包括：建立組識知識分享文化、建立內隱知識分享環境、衡量知識創造過程、提供顧客額外知識、獲取顧客知識，由既有知識產生新收益。他們分析企業組織的知識市場，提出九項發現：1.知識市場的動能、效率；2.知識市場的買方、賣方；3.知識的仲介者；4.知識市場的價格體系；5.互利主義、聲譽、利他主義、信任；6.知識市場的訊號；7.職位、教育程度、非正式網路、實行團體；8.知識市場的缺失，例如：交易的障礙，如人爲的不當；9.知識市場的周邊效益，例如：提昇職場士氣、強化公司凝聚力、重視人才、豐富知識庫。

企業組織普遍認爲知識管理具有多重功能，因爲知識具有價值競爭，可以形成競爭優勢，知識較難模仿，知識是種綜效而非單一產品，知識能力是長期累積具演化及成長特性，知識產生槓桿作用以支援其他資源，知識可以協調、整合組織各種重要資源。知識管理經過多年的理論及實務累積，探討課題，包括知識的創造，知識的分享與移轉，知識的利用，知識的儲存，科技的運用，成果的評估衡量。至於知識管理成功的要件，包括知識導向的文化，技術與組織的結構、高層主管的支持，具有經濟效益或是產業價值，有吸引力的獎勵措施，某種程度的知識結構。

前已述及，知識管理的發展與資訊科技的進展息息相關，知識管理高度運用科技，尤其資訊科技，外顯知識主要科技工具，例如：文件管理系統、案例推理系統、常見問題答覆系統、工作流程系統、全球資訊網、專家系統、專家網頁。內隱知識主要科技工具，例如：群組軟體、企業內部網路、企業外部網路、電子實務社群，知識地圖、聊天室。知識儲存、利用、分享與移轉，不少借助科技工具，例如：組織內以電腦及線上儲存某

一領域相關知識、經驗、文件及專業技能，一般所稱知識物件，以及具有主題取向、整合性時間差異性、不變動性的資料倉儲，目的在於能快速支援使用者決策。科技之外，組織內部知識分享與移轉，可能透過非正式機制，例如：非正式場所、自主性交流，或正式機制的知識論壇、知識博覽會。

知識管理的衡量重點包括整體組織知識管理投入的程度，整體組織的無形資本價值、知識管理專案投資的成本效益，每個流程之知識單位的價值，知識管理對特定目標達成度，每個流程知識單位的深入程度。知識管理雖然廣泛被企業組織所採用，但是企業必重視有形、無形的利益，因此適度的成果評估不可或缺。

公部門的知識管理

本文所稱公部門係指政府行政機關，不包括政府所投資的國營企業、醫院、財團法人、社福單位、文教機構。公部門與企業兩者性質不同，後者以營利爲目的，前者則制定公共政策，照顧人民福利，確保國家安全。但是公部門與企業組織均是由成員所組成，具有使命、 願景、目標，所實施的策略、方法，有不少相似之處。新公共管理學派提出企業型政府，或許受到批評，但是服務型政府、顧客導向型政府，共識不低。組織理論所探討領導統治、人力資源、組織學習、創新研發、策略發展、資訊化、績效評估、組織文化、組織變革等，均可適用於公部門及企業組織，當然理論或分析方法各有差別。

知識管理首先在企業組織運用，公部門採用時間較晚，但是公部門爲何也逐漸推動知識管理，不言可喻。因爲公部門是一種知識密集服務業，公部門從業人員應是知識工作者。在知識經濟時代，公部門所制定的公共政策，均具有高度知識內涵，例如：經濟政策、金融政策、公共衛生政策、外交政策、財政政策、環保政策、人口政策、社會福利政策等。公部門面對知識社會的公民，一方面要提供更多參與途徑，另一方面要滿足公民需求，均有賴公部門從業人員的知識提昇。處在全球化時代，國家競爭力良否，攸關國家的生存發展，國家競爭力除了私部門努力之外，公部門扮演重要角色，由WEF、IMD每年國家競爭力評比報告即可了解。

公部門知識管理理論及實施方式，不必全部引自企業組織的知識管理模式，但是不少理論及方法，卻可參考。公部門對於人力資源、組織學習、核心能力、內部資訊化、創新研發，均視爲攸關公部門成長的重要因素，這些要件均與知識管理密不可分。以創新研發爲例，公部門通常設置專責

研發部門，並委託大學、私人研發機構進行專案研究，作爲公共政策制定參考。如何使公部門內部成員具有研發創新能力，才是正本清源之道，知識管理、組織學習、人力資源學說，均強調此種觀念。Senge提出五項修練：追求自我超越、改善心智模式、建立共同願景、參與團隊學習、推動系統思考，作爲學習性組織內部成員共同修練項目。知識管理學說對於創新研究不少，部分可適用於公部門，例如：公部門的知識學習，包括做中學、教育與訓練、師徒制、對談、腦力激盪、群組的知識創造。公部門創造知識方式，包括設置專責研發單位、模擬、對外在環境壓力的適應、組織的記憶。公部門知識創造的流程模式，包括員工企圖心、自主性的團隊、差異化的組合、寬鬆的資源。

OECD在2000年首次將知識管理列爲政府改造的重要課題，在2002年針對20個會員國132個中央政府機關進行政府知識管理現況調查，結果顯示，知識管理已成爲大部分政府機關重要管理課題，大部分的中央政府機關已制定相關策略，並致力於改善他們的知識管理實務。由該項調查報告發現，OECD會員國的政府機關逐步擴展知識的創造與流動，中央機關日漸依賴地方政府、大學、專業公司、國際性組織提供必要的資訊和知識，政府組織與私人部門、學術機構、顧問機構、國際性組織之間的知識互動，呈現大幅度的開放。該調查同時指出，雖然政府政策愈來愈開放、透明，資訊建設的投資也逐步擴大，但是推動知識管理產生結構性改變的效益，例如：提昇公務員的競爭力、打破機關本位、減少科層組織結構、建立橫向合作的工作團隊、知識能力提昇、終身學習等，尚待加強。該報告也歸納，機關首長對於知識管理創新計畫的優先支持、健全的知識管理創新計畫及溝通計畫、機關員工的高度參與、建立知識分享的誘因、配置充分的財務資源等，是知識變革的成功因素。這個發現與多數企業組織知識管理成功要件雷同。

公部門包括不少行政機關，雖然政府是一體的，但是除非最高行的機關下令所屬行政機關均採同樣模式的知識管理，否則各行政機關必依內部組織文化、首長的決心等因素，各自推動知識管理。公部門推動知識管理，通常由個別行政機關自行推動，其方式及程序與一般企業組織相似，首先成立推動委員會，設立知識長，推動委員會由高級主管及熱心員工代表組成，負責規劃知識管理策略及重大決策。知識長一般由機關首長自己兼任，或指定副首長擔任，負責知識管理的決策任務。推動委員會下設數位工作人員協助知識長，處理例行業務。設立正式知識社群，是知識管理成功的要素，通常行政機關均有法定職權，核心任務相當清楚，正式知識社群大約依核心任務，區分數個。知識社群不是機關內部的正式單位，也不是任

務編組，知識社群極易與正式單位混淆，因此其成員以跨單位爲原則。知識社群或許由機關同仁自由參加，也可能指定某層級以上同仁必須加入，知識社群有負責人、執行祕書，通常由機關高階人員出任，籌畫該知識社群的運作。每一知識社群成員平時約定時間聚會，針對特定議題交換意見，或提出心得報告，平時也可透過機關內部網站交換意見。每一知識社群依其成立宗旨，收集資料、研議成果，經嚴謹程序審核知識物件，通過審查的知識物件即可列入行政機關內部專設的知識管理平台，經年累月地結合，即可成爲豐富的知識倉儲，供其他同仁使用。爲了使每一知識社群全心全力運作，行政機關內部通常頒行獎勵措施，定期頒獎給某一知識社群或特定成員，例如：個人獎或社群獎。行政機關可以透過考績或實質獎勵促進知識社群或個別成員致力知識創新、累積、傳播、利用的活動。

除了設立正式知識社群之外，利用組織內資訊科技，建立知識管理共通平台，也是行政機關推動知識管理常見的做法，同仁之間利用此平台交換意見，並將個人心得與其他同仁分享。專家網頁、行政機關內部規則、各種與核心任務有關的知識分門別類掛在知識平台，方便同仁參考。美國、英國均強調公部門推動知識管理，必須與推展電子化政府相結合，電子化政府係近十年各國政府努力的目標，利用資訊科技使政府行政效率提昇，服務民眾，強化網路民主。電子化政府包括政府內部網站相連，例如：公文電子交換、線上簽核、電子公告欄，均可提昇機關內部或機關之間的行政效率。在網路發達的社會，多數民眾均有資訊設備，政府網站提供更多資訊，使人民了解政府政策，許多民眾申辦業務，例如：報稅、交通監理、購票、掛號、變更身分證明、申請執照等，均可在家中利用網路申辦。建立跨機關整合服務，提供電子單一窗口、設置政府共通平台，均是強化便民措施。此外，網路民主也是電子化政府目標之一，人民透過網站向政府表達意見，或與政府官員雙向溝通，政府機關網站的民意交流、意見論壇、首長信箱、民意調查，均屬之。電子投票則是網路民主的可能成果之一，有助於直接民治。電子化政府的各種措施，除了行政機關內部網站的發展與知識管理有關之外，全球資訊網也與知識管理有關，行政機關可以輕易取得相關知識，並了解民眾的想法，有助公共政策的制定。

成爲學習性組織，強化行政機關人力資源，提昇成員核心能力，除了設立正式知識社群，建置知識共通平台之外，塑造學習性文化，建立獎勵創新創意制度，提供在職訓練機會，形塑機關成員共同願景與價值觀，克服階層、成員過度保障等不利學習組織因素，累積機關內部個人知識、組織知識以及外部顧客知識，也是公部門知識管理的方法。公部門有的設有專責的研發機關，各機關也有內部研發或企畫單位，它們在公部門知識管

理擔負重要責任，它們除了自行研發成果應用到公部門之外，也扮演吸納外部知識普及到公部門之內的角色。

綜上所言，公部門知識管理的目標包括：透過電子化政府實行知識管理，增進公部門競爭力，分享最佳實務與標竿學習，提供領導及決策支援，保留人力資本培養團體默契，強化策略性政策規劃方法，強化民眾及公務員對政府信心。公部門知識管理仍須有績效衡量，透過同仁評估、執行報告、成功個案、各種評分卡、相關政策民眾滿意度、與機關願景、策略、價值體系配合評估、成員核心能力評估、機關的規畫及執行力等。公部門的知識管理以達成知識型政府爲目標，知識型政府以傾聽民眾聲音，積極學習，有系統地、制度化持續創新；運用及擴大政府外部知識、創意、智慧資本，不斷創新政府組織、管理政策及服務，建立友善知識及創意社會文化，提昇整體策略能力，有效創造公共價值，增進民眾信任。至於知識型政府的具體作法，包括：1.重視研發創新累積智慧資本；2.促進組織知識學習分享文化；3.盤點政府智慧資產，充分發揮知識運用價值；4.增進行政組織分享機制，全面提昇行政效率；5.發揮組織與個人專長潛能，永續經營學習性組織；6.改進政組織内部學習文化；7.結合分享外部資料、增進政府施政品質；8.形塑快速反應組織，簡化流程；9.扁平化組織；10.配合資訊與通訊科技應用於組織設計；11.建立知識管理資訊系統平台。

台灣的經驗

台灣面積不大，又缺乏天然資源，人力資源相形重要，數十年的經濟成長，以及近二十年的民主改革，均受到矚目。台灣資訊科技發達，人民教育普及，處在全球競爭的知識經濟時代，政府特別提出知識經濟發展方案，民間企業於一九九〇年代，開始實施知識管理制度，國營企業及政府設立的財團法人研究機構，也陸續推動知識管理。政府行政機關則於2000年由負責政府政策研究發展與考核的行政院研究發展考核委員會（以下簡稱研考會）首先實施知識管理制度，並於2004年全面推廣到行政院所屬各機關。作者於2000年5月就任研考會主任委員，該會主要任務除了負責政策研究、政府改造、電子化政府規劃、政府各機關政策績效考核、政府出版物及檔案管理之外，對於行政院所屬各部會四年中程計畫、每年施政計畫，有事前審核權。因此爲了加強同仁的核心能力，積極推動知識管理，成立知識管理推動委員會，作者親自擔任知識長，設立五個知識社群：國家安全社群、公共建設社群、國家財經社群、社會福利社群、教育文化社群。由於行政院所屬各部會負責業務，約可分類爲國家安全、公共建設、國家財經、社會福利及教育文化。研考會負責審核各部會中程計畫、每年施政

計畫，並考核各部會政策績效，因此同仁有必要提高相關知識。2000年到2002年，五個知識社群均設定議題，定期討論，提出研究成果，並在研考會建立知識管理平台，連接相關國內外網站，經過審核的知識物件均可上網，並且舉行知識社群競賽，獎勵優良知識社群及個人。

研考會推動知識管理有其優勢，例如：電子化政府的基礎，擁有跨機關協調的能力，負責政府機關創新能力，提昇公共政策決策品質的責任。在公部門實施知識管理，除了高階首長展現決心之外，必須強化同仁知識管理觀念的建立，內部知識盤點建構知識管理系統，加強分享知識的聯繫網絡。經過兩年的實施，同仁已習慣知識管理制度，但是卻遭遇若干困擾，五個知識社群包含整個國家重要政策，同仁以前的訓練，在部分領域顯然不足，即使全力以赴，有關國家安全、國家財經兩部分，業務接觸有限，無法勝任。2002年之後，重新調整知識社群，改以研考會核心任務爲主，區分政府改造、電子化政府、政府績效評估、區域發展、政府資訊五個知識社群。同時，擴大同仁參與層級，強化知識管理認知教育，增強激勵誘因機制，增進團隊分享機制，辦理知識社群成果發表會，鼓勵同仁外部參與及發表成果，加強行政支援。強化資訊系統部分，建置政策知識管理系統，撰寫政策知識管理系統操作手冊，辦理系統使用說明會，建立線上討論機制。研考會確認知識管理執行主要願景及共識包括：成爲國家發展的智庫，行政現代化的推手，政策創新中心，建構知識型政府。知識管理的執行策略，以建立全機關知識分享的組織文化，充分利用科技與業務密切整合，推動知識管理與業務結合，全面進行知識盤點。

研考會經過將近四年推動知識管理經驗，法定職權又有督導行政院所屬各機關研究發展的責任，特別在2004年4月，經行政院核定頒布「加強行政院所屬各機關研發創新實施要點」，要求行政院所屬二級、三級機關，均應推動知識管理。至於地方政府，由於具有高度自治權，行政院無法強制要求比照辦理，由研考會主動協助地方政府建置知識管理平台。研考會同時出版行政機關知識管理推動作業手冊，介紹各機關如何推動知識管理，並舉辦說明會，邀集相關人員加以訓練。依據2006年一份有關公部門實施知識管理調查報告，大多數行政機關均已設置知識管理平台，成立知識管理推動委員會，頒布知識管理推動方案。至於設立知識社群，定期研討機關，比例較低。行政機關的員工對於推動知識管理，有正反意見，支持者認爲知識管理的推動有助於個人處理業務、增進相關知識；反對者則認爲平時工作忙碌，無暇參與知識討論，知識管理推動容易流於形式。行政機關的性質、職位的高低，所需知識涵養或有不同，因此需求有別，但是愈來愈多的公部門成員肯定行政機關推動知識管理。

2004年5月，作者轉任考選部部長，考選部負責包括中央政府與地方政府新進人員及升等考試，以及律師、醫師、建築師、會計師等超過一百類專門技術人員執照考試。爲了保持客觀中立，考選部獨立於行政院之外，非屬行政院管轄。行政院所推動的知識管理並不約束考選部，但是作者推動公部門知識管理多年，要求考選部立即實施知識管理制度。考選部多數同仁開始對知識管理觀念，以及如何推動知識管理，十分陌生，作者除了自兼知識長，並將研考會推動模式移植，成立推動委員會，指定執行秘書，依考選部核心業務及同仁所需核心能力，設立六個知識社群：國際事務社群、法規制度社群、顧客服務社群、資訊化社群、試務革新社群、試題改進社群。國際事務社群研討國外相關公務人員、專技人員考試制度，以及涉外能力的提昇；法規制度社群研討各種類別考試制度、法規，例如：應考資格、應考科目等。顧客服務社群集中研議如何服務考生，考選部每年大約有八十種考試，五十萬考生，回答考生疑義，主動告知考生各種相關考試資料。資訊化社群研討電腦化報名、電腦化測驗、電腦化題庫、網路安全等課題。試務革新社群全面檢討考生報名、資格審核、命題委員延聘、閱卷、公布答案、試題疑義處理程序、考試當天試揚規則、入闈作業程序等流程。試題改進社群負責評估試題的信度效度、題庫的建立、命題的技術等。經過兩年半的推動，考選部同仁對知識管理認知，業務的推動，均有明顯的成效。每年舉辦知識管理成果發表會，不少政府機關與民間企業派人觀摩，所累積的知識物件也廣泛爲同仁所利用，知識管理平台的使用率甚高。

以上僅就台灣公部門推動知識管理的狀況扼要說明，並以作者的實際經驗加以補充，雖然無法代表台灣公部門推動知識管理的全貌，但已反映台灣公部門推動知識管理的縮影。

（英文專題報告講稿如附件1，簡報資料如附件2）

二、討論議題內容

議題一：人力資源管理者在組織策略規劃中扮演之角色

報告人： Peter Reilly, Director, HR Research and Consultancy, Institute for Employment Studies, United Kingdom

參考資料：

1. 人力資源管理對組織策略規劃之重要性：

依據聯合國2005年以「釋放人類潛能以提昇公部門績效」為主題之公部門報告所述，人是組織的活水，組織之效能取決於其人力資本之能量、動機、完整性，以及領導品質。有效的人力資源管理是公部門組織建構之主要基石，最終將影響國家發展之績效，而人力資源管理才是真正決定組織效能之最主要因素。報告指出人力資源管理應該更專業化才能有助於決策過程。此外人力資源管理者在組織結構及決策過程中之地位與影響力應予提昇。因此許多組織正找尋人力資源管理專才擔任執行業務策略及改善人力資源管理效率之夥伴，這些人力資源管理專才在組織中與資深領導者一起從事領導人才管理工作，以確保組織之人力資本需求得以滿足。

Robb Van Cleave認為人力資源管理者可就下述領域採取策略途徑以獲致成效：(1)將人力資本策略與組織策略調和一致；(2)改善績效管理；(3)將強人力成本管理；(4)創造組織所需足以因應未來之人力；(5)創造組織之倫理文化；(6)規劃及管理勞工關係。

然而依據國際人力資源公共管理協會最新調查報告顯示，人力資源管理者將大部分時間耗用在傳統人事工作上，只有極少數利用時間參與政策規劃。另一項2006年針對美國公部門調查報告亦顯示受訪者中約半數不認為自己被視為策略伙伴，只有55%表示他們有書面策略計畫。

2. 人力資源管理者扮演組織策略夥伴面臨之挑戰與難題：

(1) 在評價過去與變革需求間取得平衡點並不容易。
(2) 部分人力資源管理者喜歡變革，部分並不喜歡。
(3) 人力資源管理者所扮演之新角色對某些業務主管而言是種威脅。
(4) 業務單位、人力資源單位及員工對人力資源之看法不一。
(5) 部分業務主管未將人員與業務成效相連結，且不了解人力資源部門所扮演之角色。
(6) 許多業務主管厭惡檢查過程。
(7) 多元化並不是一項工作過程，而是人力資源所有面向之其中一環。
(8) 人力資源管理之能力落差不能被忽略。
(9) 整合通才、專家、及服務中心角色相當困難。
(10) 人力資源管理單位內部溝通不良。
(11) 策略計畫常被束諸高閣。

(12)發展一套平衡計分卡並不容易。
(13)將人力資源管理計畫與業務計畫調和一致。
(14)必須留意那些要求立即見效卻只能治標不治本之方案。
(15)在組織內創造專注能量。

3. 人力資源管理者如何在組織策略規劃過程中扮演其應有之角色：

(1) 將人力資源管理者之角色與功能界定清楚，尤其是與業務單位及員工之關係。
(2) 清楚界定人力資源管理活動之主要範圍。
(3) 設計具成本效率之作業模式，經由規模經濟、周延之過程、提供高品質服務，以滿足顧客需求。
(4) 藉由更明確界定人力資源管理者在組織業務所扮演角色之本質，來降低遭致服務隔離及溝通不良之風險。
(5) 加強投資科技有助於工作之標準化、降低成本、提昇服務，但須留意其方式及步伐，避免成爲組織狗只會搖尾巴取寵。
(6) 某項業務選擇以外包方式辦理時，必須具有可明顯降低成本或提高品質之優勢。
(7) 藉由訓練、發展及改進職涯管理等強化職務能力，以克盡現有職責，並提昇因應未來之專業能力。
(8) 確定其職責爲以正當理由來衡量正確的事情，將責任歸諸於那些可爲而不爲者。
(9) 評估所有人員管理政策或創新作爲之執行結果，有助於未來學習之用。

（參考資料如附件3，簡報資料如附件4）

討論結果發現：

1. 與會者認爲組織在人力資源策略規劃上所面臨之主要挑戰包括：人力資源單位在組織之地位不高、權限受限、責任分散、組織採分權制、處理短期議題佔去大部分時間、需要相關訓練、需要建立成長及發展策略、高度流動之人力、與公部門常有之挑戰相關（如薪資低、長期雇用、高轉換率）等。

2. 因應上述挑戰之途徑包括：打響組織招牌成爲值得被選擇之雇主、僱用過程現代化、人力資源單位發展自己的策略計畫並將人力供需短缺之問題提到檯面、提供教育及訓練機會予表現良好之員工。部分與會者提到雖然其組織招牌響亮，並提供相對較高之薪資待遇，

但人員轉換率仍然很高。

3. 至於人力資源單位在組織中是否被視為策略夥伴部分則與會者答案不一，部分與會者報告有參予高層決策過程，部分則提到並未直接向執行長報告，另部分則認為正走在被視為策略夥伴之半途中。總體而言，與會者認為已有進步，但仍需更加努力，以確保人力資源單位之聲音能被聽到。

4. 與會者皆認為其絕大多數辦公時間都在處理日常繁瑣之人事業務，只有極少時間可花在策略規劃上。

5. 在業務委外方面，雖然有部分與會者談到將非核心業務如員工協助方案、訓練、薪資發放、測驗及職務評估等外包，惟大多數並未採行。共同分擔工作已日益普遍，有幾位與會者提到已使用在薪資發放及日常業務過程中。

議題二：不同世代間人力資源相關議題

報告人：David D. Archer, IPMA-CP, Director, Department of Human Resources, Government of the British Virgin Islands

參考資料：

1. 如何管理不同世代間之不同期望及溝通方式：

Dennis Doverspike及Alison O'Malley在其論述「當世代相護撞擊時」一文中指認出四種世代，認為當他們同時存在於職場上時，相較於世代文化，人們其實較容易受到其個人職涯階段影響。四種世代分別為傳統世代（1922-1945出生）、嬰兒潮世代（1946-1964出生）、X世代（1965-1980出生）、Y世代（1980-1988出生）。各個世代因成長之時代環境背景差異而具有不同之文化特質，包括對工作及個人生活觀念、變革及風險接受程度、技術能力、團隊合作精神等。作者亦提出職涯階段理論，將員工劃分為四種類別：嘗試階段（30歲以下）、穩定階段（30-45歲）、維持階段（45-65歲）、退休階段（65歲以上），員工在各階段之學習需求、工作表現、期望各不相同。經兩位作者研究結果認為職涯階段觀點可能較世代觀點來得正確，但重要的是在進行人力資源管理時必須將世代間文化差異因素納入考量。作者亦提出結合上述兩種觀點之第三種觀點「互動者理論」，認為世代會因經由不同工作階段而移動，因此人力資源管理應著重於如何

讓整個群體肆應不同的工作階段。

上述論點對人力資源管理而言具有多種意涵，如職涯階段理論意味著人力資源管理者應考慮各種政策對人力之意涵，而不僅是不同的世代對工作如何反應而已。如在職涯嘗試階段之員工，相較於退休福利，他們較關切訓練及升遷機會。而在穩定階段之員工則關切工作與生活平衡之議題及彈性工作之機會。維持階段之員工在評估新工作時則首重福利。瞭解這些因素之人力資源管理者將對其組織有所貢獻。如當考慮退休及福利計畫時，人力資源管理者需要先對環境進行檢視，發覺這議題對員工之重要性，有多少員工將會受到立即之衝擊，以及變革是否能帶來預期之結果。如刪減健康或退休福利可能會造成鼓勵年長員工另謀新職之意想不到之後果。建立一個對家庭親善之工作環境可能有助於吸引職涯中段之專才。

世代議題不但超越基本人力資源管理政策之訂定，也擴大到每日工作場所。世代差異如同種族或性別在工作場合都可能是問題，如年輕主管與年長員工常缺乏溝通，年輕員工在科技設備使用上較年長員工嫻熟。世代差異亦常導致有意或無意之歧視，美國會計總署2007年2月出刊之報告記載其2006年12月舉行之「雇用及保留年長員工」論壇結論，提到僱用年長員工之主要障礙之一爲對年長員工之技能持負面看法，不重視其豐富之經驗，認爲其工作品質較差等。僱用或留住年長員工之其他障礙亦包括害怕遭受年齡歧視之法律控訴及潛在之健康照顧福利成本。爲強調這些問題，美國會計總署及與會者建議推動一項全國性之活動來改變對年長工作之心理認知。

正如同族群一般，種族及社經多元化能使組織更強壯及更具回應性，在工作場合中同時管理四種不同世代亦有其正面意義，多元世代之員工間可以相互學習，顧客也能因多元員工能回應不同之挑戰而受益。

2. 如何因應最大世代嬰兒潮陸續退休所帶來之衝擊：

在美國現有760萬嬰兒潮勞動人力將於10年內開始退休，其後勞動人力將只剩下400萬，勞動人口大幅減少，對僱主之衝擊將如同海嘯一般嚴重。而事實上不僅只有美國將受影響，幾乎所有國家同樣的都將面臨因人口老化或部份因罹患HIV/AIDS造成一整個世代消失而導致之勞動人口不足之問題，因此，組織如果還沒有規劃因應之道，應立即開始進行。依據Equa Terra IPMA-HR 2007年2月研究調查結果顯示，至少在美國人力資源管理主管或副主管間，此一問題

並未受到太多的關注或行動，在1-5（低度不急-高度緊急）的問卷量表上，填答者之平均值爲3.2，表示組織對人力老化潛在衝擊之思慮尚處於半途中。負責該一調查之Glenn Davidson認爲顯然許多組織（填答者）不但缺乏本身之人力結構資訊，甚至未能將人力老化潛在衝擊資訊與其管理階層分享。如果一個組織完全不知道此議題之存在，則不可能對此一問題加以關切並有積極作爲。其他如甄選、補充職員、承續規劃、保留組織知識等問題之平均排序情形亦相同。

似乎許多組織很單純的認爲科技或退休人員回任即可解決工作人力不足之問題，然而Equa Terra IPMA-HR調查報告提出警告，組織過度仰賴科技將導致重大災難，因爲是事實上尚無法證明科技將可彌補員工不足。同時依據John Lavelle描述世界銀行聘用退休人員之經驗顯示，組織也不能仰賴以退休人員回任來解決問題。假使上述兩種方式皆無法解決組織人力不足之問題，那人力資源管理者還能做什麼呢？這並非一個新問題，爭取人才之戰亦非今日才發生，公部門雇主向來必須與私部門雇主競爭高水準員工，只是情況可能更緊迫些，因爲畢竟工作者將更少，但許多建議解決途徑卻是大家所熟悉的。公部門雇主可以下列途徑吸引候選人：

(1) 做一個可以被選擇的雇主：公部門雇主必須檢視其具有之優勢與劣勢，並突顯優勢，不論是優渥之退休福利或良好的工作環境，利用他們來吸引候選人。
(2) 建立響亮招牌：做一個可以被選擇的雇主並且讓眾人皆知，加強行銷及自我促銷。
(3) 積極甄才：尋找新的管道、新的大學或學校，思考工作者可能在的地方，直接去找他們。
(4) 思考是否某些業務可以跨機關或區域共同分擔：如消防單位經常回應其轄區以外之緊急事故，允許更有效的使用資源，是否有其他業務能以類似方式處理，如技術支援等。
(5) 思考以外包來做爲解決人力短缺之潛在工具。
(6) 研擬計畫：包括人力計畫、承續計畫、領導人培育計畫等。

（議題參考資料如附件5，簡報資料如附件6）

討論結果發現：

1. 與會者認爲目前正在退休中之龐大嬰兒潮所導致之人力不足必須填

補，但因爲受一些國家所推動之志願離退方案及缺乏接續規劃與立法等因素影響，而擔心X與Y世代可能無足夠之專業與技能來接手。其可能之解決途徑包括：提供具有才華之員工快速升遷管道、提高退休年齡、創造年長者就業機會、改善退休金管理、鼓勵員工妥善規劃退休生涯等。

2. 對年輕同仁輕率辭職，視公務人員一職爲訓練場所，造成訓練經費浪費之可能之解決途徑包括：離開前面談找出離職原因、儘量滿足新員工之要求、約定受完訓練之後需留任繼續服務之期限否則應負賠償之責、檢視工作環境以留住人才等。

3. 與會者亦提到面對X與Y世代之挑戰與特質，如對等待升遷缺乏耐心、工作迅速但卻犧牲品質、對立態度及不將服務公職視爲長期之志業。可能之解決途徑包括：在政策制定中給予其更大之發聲權、創造服公職之品牌、提供實習、職務重疊銜接、提供額外福利如健身房會員等。

4. 幾乎所有與會人員都經歷人力短缺之問題，包括醫事專業人員、教師、財務人員、法官及政策制定人員。解決方案包括：給予獎學金、增加訓練機構之訓練能量、利用海外僑民等。另外開創領導人才培育管道也是可行之道包括：師徒計畫、表現傑出員工計畫、及地方與省級政府人才自由流通等。

肆、南非公務人員任用及甄選制度

一、公務人力管理權責區分

南非政府分中央與地方兩個層級，中央政府層級又分部會與省政府（屬schedule 1）、省級機關（屬schedule 2）、組織內部單位（Organization Component，屬schedule 3）。省下分52地區（含6都會區及46地區）。中央設有32部會、9個省，各省分別設10至11部門，公務人員總數約130萬人。公務人力資源管理在中央係分由公共服務及行政部（Department of Public Service and Administration）與文官委員會（Public Service Commission 依憲法規定設立之機關）兩機關掌理，前者負責政策規劃與執行，後者負責監督與績效評估，惟實務運作上兩者常因權責不易區分，而時有扞格，需透過協調解決。中央政府（國防、警政、教育、矯正等四部除外）之人力資源管理受公共服務及行政部之管轄，地方政府部分除俸給受公共服務及行政部規範

約制外，其他則依各地方自治法規辦理。

二、公務人員轉型改革

南非政府於1994年舉行第一次民主大選，選舉結果由黑人領導之非洲民族議會黨（African National Congress, ANC）擊敗白人領導之國民黨（National Party），首次取得執政權，黑人政府隨即針對過去白人政府統治實施種族隔離政策之各項措施進行全面性大幅度的轉型改革，其中又以對政府部門之改革最具革命性，其主要目標爲減少貧窮、彌補歷史不平衡、創造就業、促進經濟成長、建立和平與穩定、讓投資者有信心。政府部門改革之首要爲推動公務人員之改革，1995年11月發布之「公務人員轉型白皮書」明白揭櫫改革願景爲：「經由轉型後的公務人員來持續改善南非人民之生活，轉型後的公務人員應具有代表性、一致性、透明性，講求效率與效果，願意承擔責任，並能回應全民需求。」

1996年訂頒之憲法更進一步將此一目標與予延伸，明確訂出公共行政之基本價值與原則爲：1.推動及維持高標準的專業倫理；2.以經濟有效的方式使用資源；3.公共行政必須以發展爲導向；4.公共服務必須公平、公正、不偏倚；5.民眾需求必須被回應；6.鼓勵民眾參與政策制定；7.負責任的公共行政；8.提供民眾正確、及時資訊以提高透明性；9.培養良好的人力資源管理及職涯發展措施，充分發揮人的潛能；10.雇用及人事管理措施必須基於能力、客觀、公平及彌補過往之不平衡，俾使公共行政能廣泛的代表南非人民。

爲加速轉型過程，政府指定優先施政項目如下：1.經由合理化及重組，以確保統一的、整合的及規模更小之公務人力；2.制度之建立及管理；3.代表性及防止種族及性別歧視之積極行動；4.改革服務之提供以滿足基本需求；5.國家民主化；6.人力資源發展；7.改善就業條件及勞工關係；8.推動專業服務倫理（ethos）；9.資訊科技。

爲推動轉型及改革，公務人員轉型白皮書規定中央各部門及省級機關皆須成立轉型承辦單位，另外並成立國家級及省級轉型協調委員會。國家轉型協調委員會由中央各部門及19個工會代表共同組成，由公共服務及行政部執行長（相當於我國之政務次長）擔任主席。九個省之間則成立省級政府轉型協調委員會。茲就過去10年來南非政府在公務人員轉型方面積極推動之各項措施及成果擇要說明如下：

1. 轉變服務提供方式為「民眾為先」（Batho Pele）：要求中央及省級政

府提出爲民服務計畫，其內容包括服務提供之任務目標、服務保證、服務項目、服務對象、服務費用、服務標準、績效指標、管考機制、人力甄補計畫、將人力及其他資源由行政工作轉移至服務供應特別是對弱勢團體或地區、財務計畫、潛在外部資源、爲民服務發展訓練、品質計畫等。各機關必須依下列原則落實民眾爲先：諮商民眾讓民眾有所選擇、讓民眾了解服務標準、平等獲得服務之機會、注重服務禮貌、提供民眾充足資訊、公開透明、未達服務標準時民眾應獲得補償、讓民眾認爲付出值得。

2. **改變公務人員管理制度，強調四項主要原則**：a.公開僱用制度，所有職務將經由競爭補實，競爭程度由各機關決定；b.分散權力及責任，在一致性的公共服務前提下授與機關最大自治及管理權，以取代過度之中央集權；c.依據新憲法及勞工關係法調整相關措施，將憲法所揭櫫之效率、公平、平等、刻責、透明化原則融入政策中；d.從人事行政轉移至人力資源管理。同時亦重新擬定公務人員訓練及教育計畫白皮書，將教育訓練轉換爲具動態性、需求導向性、主動積極性之工具。

3. **防止種族及性別歧視之積極行動及代表性**：公務人員轉型白皮書訂定目標自1996年起a.4年內所有政府機關之管理階層必須有百分之五十爲黑人；b.4年內新甄補之高階與中階管理人員必須有百分之三十爲女性；c.10年內公務人員中身心障礙人員必須達到百分之二。上述目標僅爲最低指導原則，各機關可依其特殊環境及個別不公平程度做微調。政府每3年評估並重新訂定全國最低目標。

4. **績效管理**：1997年修正之公務人員服務法與新公務人員規則引進一套新的績效管理制度，將個人工作目標與機關組織目標相連結。陞遷及職涯發展依據工作績效，而非年資或學經歷。科長級以上人員皆須與上一級主管簽訂績效契約。

5. **新的酬勞管理制度**：

1999年7月正式實施新的薪級制度，針對舊有制度之種種缺失加以大幅改革，將薪資分爲16等級，每一等級下分3階。設計爲16個等級主要是爲了於滿足低度技術、中度技術、高度技術、督導、管理層級及高階管理層級等6大群組職務之需求，每一個職業類別依據其個別需求使用一特定數字之薪資等級。任新一等級之人員由第一階起薪，之後再視個人之經驗、技能及其他價值屬性給予第二、三階

之薪資，但機關可核給第二、三階之百分比不得超過領取該薪資等級人數之15%、5%。績效卓著及資格較高者可獲得規定數額之現金獎勵。

另配合公務人員法之修正，亦建立俸給編碼表（Codes of Remuneration）將薪資等級與職務權值（job weight）等級相連結。俸給編碼表共分5大冊，2,500多頁，其內容包括建議（advice）各薪資層級職務之一般工作內容、工作產出範例、所須具備之一般能力（包括知識、技能、溝通能力、創造性等）及學習指標（包括正式學歷文憑、訓練、經驗、法定要件等），有效地將1至16等級間升遷所必備之條件加以界定，同時結合國際職業分類標準將各類職務訂定職業編碼，發展出一套全新的酬勞管理制度（俸給編碼表範例如附件7）。

推動此一新的制度具有多重效益：a.能做爲員工規劃其個人職涯發展之路徑圖；b.提供管理者未來職務出缺徵補人才所需具備條件之根據；c.在職業分類上與國際接軌以利統計分析比較；d.能與公務人員教育訓練制度及國家教育評鑑制度（National Qualification Framework）相連結，達到教考訓用合一之效果。

6. **組織員額合理化**：南非政府於1996年與公務人員工會簽訂合約將於裁減公務人力達到適當規模時給予員工相當之補償，相關措施採分階段辦理，包括刪減預算員額空缺、推動志願離退方案等，惟執行結果其成效有好有壞並不一致。

7. **勞工關係**：依1995年勞工關係法成立單一的公務人員談判協調會議，將過去個別談判之教育及警察部門一併納入中央談判機制中。談判範圍涵蓋甚廣，包括與公務人員相關之統一規定、規範、標準等，薪資及工作條件亦包含在內。

本次訪問南非期間即逢公務人員工會正式宣告與政府有所爭端（經向公共服務及行政部遞出請求，五個月未獲解決之後），後續將可能採取合法罷工。工會所提要求包括：a.全面提高薪資12%；b.將現有16等級之薪給制度減少至5等級，並將工作績效與薪資晉級脫鉤；c.將薪資等級1與2併入等級3，以縮小薪資差距；d.補足空缺；e.檢討醫療及住宅福利，提高補助金額；f.調薪自4月1日起算，逐年調整而非3年調整一次等。但政府只同意調薪5.3%及4年調薪一次，其他要求則全部拒絕。

三、南非公務人員任用及甄選制度

南非政府對公務人員之任用係採取分權制度，由各用人機關自行辦理，並無國家考試制度之存在。機關人員之任用、升遷、轉調採相同之甄選作業模式，與我國各機關辦理人員出缺採外補（商調）方式之甄選程序類似，惟其過程經多重篩選較爲嚴謹，作業時程視應徵人數之量與質而定，短則2-3個月，長則半年或1年不等。

1997年修正之公務人員法賦予各機關執行長（Executing authority）具有對內部單位之組織結構、單位間業務移轉、職位設置與裁撤、人員甄補、任用、績效管理、升遷、轉調及免職之權責。該法規定擔任公務人員之基本要件有三：必須是南非國民、品德良好、健康狀況符合規定。辦理職務出缺甄補、升遷、轉調時所有符合資格者皆須納入考慮，而對所有符合資格人員之評估必須基於訓練、技能、能力、知識、對過去歷史上遭受不平衡待遇之彌補（使公務人員能廣泛代表南非人民，包括種族、性別、身心障礙者）。除特殊情形外，經甄補、升遷、轉調之合格人員於任用前必須經過試用，試用期間不得低於12個月，試用合格者方得正式任用，不合格者可延長試用期或予以免職，但須於一個月前以書面通知。轉調人員試用不合格者可調回其原有或相當等級職務。機關執行長之任期一般爲五年，可以延任，但延長期間不得少於12個月或多於5年。

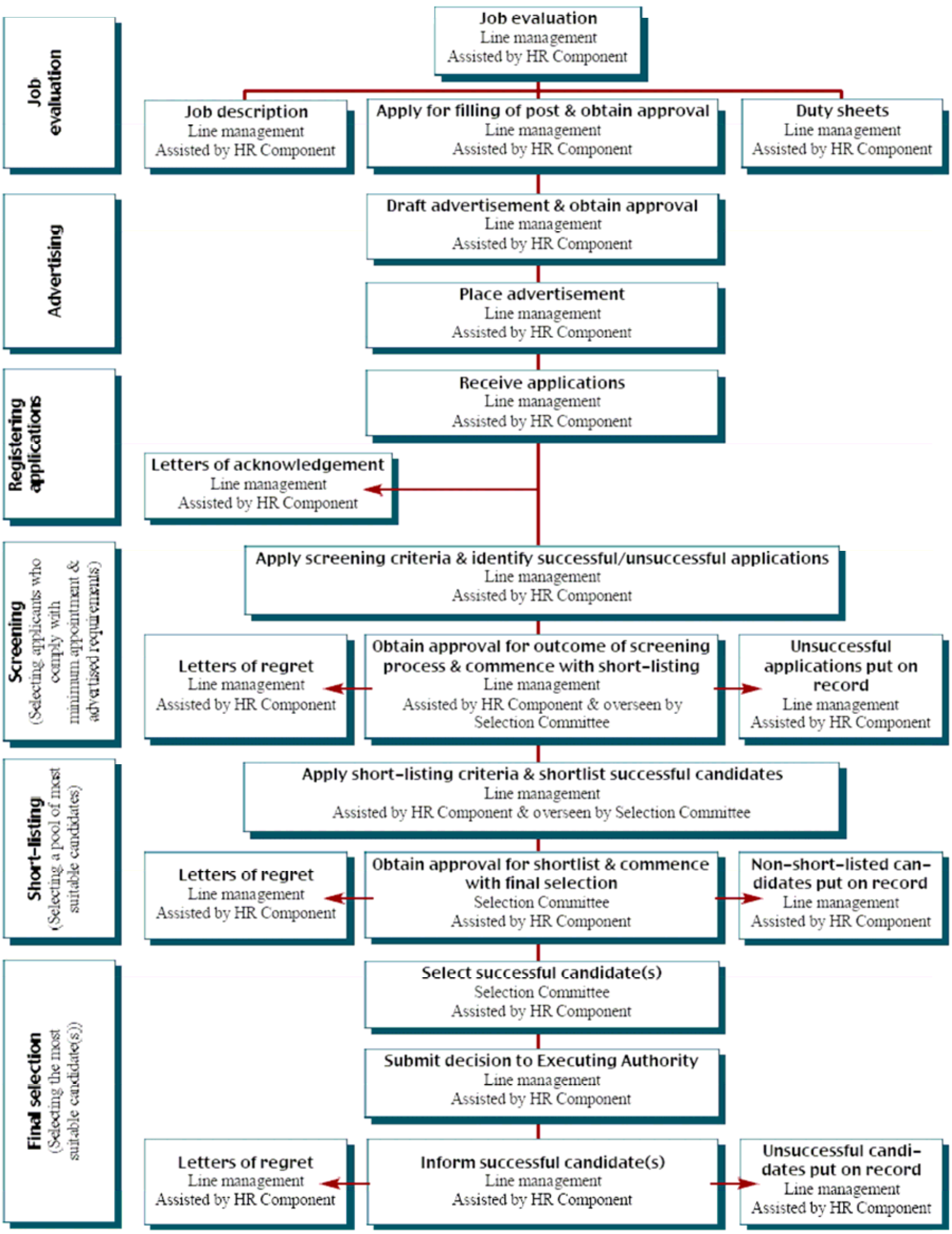
另2001年訂定2006年12月修訂之公務人員施行細則（Public Service Regulation）規定，各機關執行長必須(a)先擬定該機關之策略計畫，其內容包括：核心目標、法律依據、業務職掌、服務提供改進計畫、核心及支援活動、自行辦理及委外辦理項目、中程目標、實施方案、管考及資訊提供等；(b)再依據策略計畫決定（需依規定徵詢部長後）該機關之組織架構、在現有預算及中程預算額度內完成相關業務所需之職位、依職務評量結果提出新職務之等級、依人力資源需求進行人力資源規劃；(c)執行策略計畫，以最經濟有效方式利用資源，如重新分配、簡化、協調工作及刪減不必要之業務，來改進部門業務；(d)自2004年4月起應將過程b執行成果納入策略計畫中。

公務人員施行細則對服務提供改進計畫內容、人力資源規劃作法、新職位增設及職缺之報備、增加人力、單位間業務移轉、職務說明、職稱、俸給編碼、職務評量、薪資等級、相關福利、工作環境、人員任用、試用、升遷、退離…等皆有詳細之規範，其中有關人員甄補方面規定：(1)各機關執行長必須就機關內每一個職位或每一類職位建立對應之職務說明書及職稱，敘明該職位之主要目標、必備之條件、升遷至上一薪資等級所需之條

件，且至少每三年需重新檢視其適切性及正確性；(2)爲協助機關執行長設計能與薪資規模相連結之職務及職涯，部長必須決定職業類別之俸給編碼（CORE）及職業分類系統；(3)對俸給編碼制度中之每一薪資等級，部長必須提供下述事項之建議：a.可能之職務內容；b.踐行該職務所需及欲期之能力；c.能力指標；d.在該職業類別中任用及升遷時所欲期之特質；(4)爲協助分析公務人員之僱用，機關執行長必須將機關所有的職位與相關之俸給編碼及職業分類系統之職業相連結。

甄選作業 - 依公務人員委員會所頒行之甄選工具書（A Toolkit on Recruitment and Selection）規範，南非公務人員任用、升遷、轉調之甄選作業分六階段，各階段辦理事項如圖1：

Figure 1 The Recruitment & Selection Process



HR Component:Human Resources Component

(1) 職務評估：簽請補實、參考俸給編碼表能力指標撰擬職務說明書、職掌表；

(2) 刊登廣告：撰擬廣告文稿並簽陳核定、刊登廣告；
(3) 應徵登記：接受申請、寄出致謝函；
(4) 初步篩選：依據篩選標準挑出初審符合資格及不符合資格者、篩選結果簽奉核可列出初審符合資格者名單、函知不符合資格者、不符合資格者資料錄案；
(5) 複（精）選名單：依據複選標準就初審符合資格名單中精選出一組最合適之名單加以排序使人數減少至可以掌控之數目、複選名單簽陳核定、函知未列入複選名單者、未列入複選名單者資料錄案；
(6) 決選：就複選名單中評定最適合人選、簽陳機關首長核定、通知錄取人員及未錄取人員、未錄取人員資料錄案。

刊登廣告 - 廣告內容必須敘明應徵出缺職務之必要條件、職務名稱及核心業務。機關執行長必須確保廣告能以有效的方式讓潛在之應徵者，特別是歷史上弱勢者，獲得訊息。公共服務及行政部於其全球資訊網站設有徵才通告欄，供各機關刊載。甄選高階公務人員必須刊全國性廣告，至甄選其他職務之廣告則必須至少公告於機關內部或其他機關或公部門以外之全國性或地方性媒體。（徵才廣告範例如附件8）

甄選組織 - 辦理事項中除決選階段由甄選委員會負主辦之責外，其餘各階段皆由用人單位負責主辦，人事單位協助辦理。甄選委員會之成員由機關執行長任命，成員可包括機關內部同仁或非公務部門之適格人員，其中至少要有三位爲機關內部同仁，其職等相當於或高於欲甄補職務之職等。委員會主席由機關內部同仁擔任，其職等必須高於欲甄補職務之職等。若欲甄補之對象爲機關首長，屬國家層級者，委員中至少必須有三位部長，屬省政府或省級機關者，委員中至少必須有三位該省之執行委員會成員。

決選技術 - 用以評量應徵者之知識、技能／專業、經驗、性向／態度／行爲，包括面試（最普遍採用）、心理測量、模擬、筆試、過去成就審查、評鑑中心法、徵信等，應使用那一種技術，並無明文規定，各機關可視實際需要選擇辦理。惟對高階公務人員（SMS）之甄選作業，規定自2007年7月起所有應徵者必須經過政府認可之評鑑中心（Assessment Center， 目前爲4家）施予能力評鑑（Competency-based assessment）。

評選標準 - （如附件9）

(1) 初選階段：採文書作業，包括檢視是否逾收件截止期限、檢附之文件是否完整、形式是否符合要求、國籍、年齡、品德、健康狀

況、是否符合廣告所登載之最低學歷、能力（知識、技能／專業、經驗）要求。（初選表如附件10:Annexure A）

(2) **複選階段** - 採文書作業，包括檢視高於廣告所登載最低學歷及能力要求之程度、學歷及能力與職務之相關性。（複選表如附件11:Annexure C）

(3) **決選階段** - 從知識、技能／專業、經驗、性向／態度／行爲等面向衡量應徵者履行特定範圍工作能力之程度，並就欲衡量之各面向明訂出明確之衡量標準，包括：能力領域（如正式知識、作業知識）、相對應之能力要素（如人力資源管理、勞工關係）、衡量能力要素之能力議題（如是否應徵者獲得正式文憑？）、評分標準（如依學位層級及所學與職務所需知識之關聯性給予不同之得分）如下圖所示。

SCORING MATRIX: Formal Knowledge

Annexure E

Post:	State Admin Officer
Core Competency/Function:	Investigate complaints and produce reports thereon
Competency Area:	Formal Knowledge
Competency Element:	1. Human Resource Management

Competency issue			Scale				Score: Short-listing	Score: Final selection
Competency issue:	1.	Has the applicant acquired a formal qualification?	As required (e.g. BA)	1	Partially relevant Relevant Highly relevant	1 2 3		
			As required plus one level higher (e.g. BAHons)	2	Partially relevant Relevant Highly relevant	1 2 3		
			As required plus two levels higher (e.g. MA)	3	Partially relevant Relevant Highly relevant	1 2 3		
			As required plus three levels higher and more (e.g. DPhil)	4	Partially relevant Relevant Highly relevant	1 2 3	12	12
	2.	Has the applicant acquired informal training?	Equivalent to what is required	1	Partially relevant Relevant Highly relevant	1 2 3		
			Equivalent to what is required plus one level higher	2	Partially relevant Relevant Highly relevant	1 2 3		
			Equivalent to what is required plus two levels higher	3	Partially relevant Relevant Highly relevant	1 2 3		
			Equivalent to what is required plus three levels higher and more	4	Partially relevant Relevant Highly relevant	1 2 3		
			Subtotal: Human Resource Management				**12**	**12**

（面試決選表範例如附件12:Annexure E）

伍、南非律師職業及考試制度

一、律師職業簡介

南非法院體系區分爲憲法法院、最高法院、各省高等法院、簡易法院、其他專業法院（如勞工、土地、特別所得、商業競爭、離婚、公平性、社區法院等）。而所有以從事法律行業爲生計者皆稱爲法律人（lawyers），包括法官（judges）、推事（magistrates）、普通（綜合）律師（attorneys，類似英國之solicitors）、專門（出庭辯護）律師（advocates，類似英國之barristers）、及大學講師（university lecturers）。其中普通（綜合）律師及專門（出庭辯護）律師爲私部門從業人員，總數約25,000人。從事法律這一行業，除了學術要求之外，法律人必須具有下列特殊的人格特質：絕對誠實、果決、對事情講求客觀、有信心、具有解決問題之能力。法律人必須具有處理壓力、解決危機、取得客户及同儕之信任與尊重之能力。由於必須與人持續互動，法律人必須具有卓越的溝通能力，能夠以簡單的名詞解釋困難的法律概念。而最重要的，法律人必須有良好的公平正義感及服務民眾之意願。

(一) 普通（綜合）律師職業：普通律師是人們尋求法律諮商或遭遇法律問題時首先接觸的人，因此必須處於隨時都可備詢狀態，其所提供服務涵蓋廣泛的法律問題領域，服務對象包括個人、一般企業、協會及大公司等，服務領域包括商業及企業法、民事及刑事訴訟、財產交易、稅務、動產規劃、企業及個人諮商等，主要功能爲提供客户一般性的法律建議。隨著社會發展生活型態日趨複雜化結果，普通律師已不再視自己爲一通才，其執業已有朝專業化趨勢，許多普通律師專接商業或刑事案件，其他人則專注於訴訟、動產規劃或稅務相關事務。普通律師是法律案件之管理者，有權決定是否需要專門律師來代表客户出庭。如同專門律師一般，普通律師目前也可以在高等法院出庭，但必須擁有法律學士或其他相當資格,加上3年實務經驗才能出庭。依據1979年訂頒之普通律師法（The Attorney Act），普通律師必須加入當地普通律師公會方能執業。各普通律師公會之全國性組織爲南非法律學會（Law Society of South Africa）。普通律師可以組成法律專業公司，以單獨或合夥方式執業。目前普通律師亦可被指派擔任高等法院及憲法法院之法官。

(二) 專門（出庭辯護）律師職業：不同於普通律師之通才，專門律師需專

精於某類法律，特別是必須在法庭陳述意見之案件，如憲法訴訟、商業訴訟、民事刑事訴訟、人權法訴訟、公司及稅務法、勞工法、競爭法、專利商標法、媒體傳播法、保險法、電腦及通信法、家庭法…等。要獲得專門律師服務，客户必須先接觸普通律師，再由普通律師僱用專門律師代表於法庭中爲客户陳述意見或給予客户必要之建議，換言之，專門律師爲被推介者，不得逕自接受客户案件。專門律師執業必須具有絕不妥協之獨立性，其爲法庭上審訊、請求、上訴、言詞辯論之專家，可以在各種法庭出庭，但必須接受普通律師之指示。專門律師依據1964年訂頒之加入專門律師法（The Admission of Advocates Act）規定習慣上（90%以上）都會加入學會，各專門律師學會之全國性組織爲南非專門律師總會（General Council of the Bar of South Africa）。專門律師以案件方式計酬屬於個人執業，不能合夥。專門律師與普通律師各司其責，兩者不能同時兼職。

二、律師考試制度

(一)成為普通（綜合）律師須具備之資格

1. **個人適合度**：必須經法律協會及高等法院認爲在個人道德完整性、人格特質、誠實度等各方面適合從事律師職業者（是否適合由法律學會高階人員於普通律師候選人登記服務合約前與予面談決定），年滿21歲爲南非國民、或合法具有南非居留權、或曾經爲南非共和國組成部分之他國國民符合某些條件所屬族群者如史瓦濟蘭、辛巴威、那比亞等國國民。

2. **學術資格**：目前所認可之唯一學術資格爲在任何一所南非大學獲得LLB（*baccalaureus legum*） 法學學士（目前南非有16所大學設有法律學系），且其學程不得少於4年。例外情形：(1)假使申請者在南非之大學獲得LLB以外之學位，其就學期間不得低於5年，且滿足成爲LLB法學士之要求；(2)或者是申請者在其他國家如史瓦濟蘭、辛巴威、那比亞獲得與南非LLB法學士相同之學位，並獲得南非大學之承認，且必要時通過追加考試。

3. **在見習契約（contract of articles）或服務契約（service contract）約定下完成見習或服務**：

   a. 必須在見習契約（於私人律師事務所或檢察官辦公室服務）或服

務契約（於法律協助機構做社區服務）約定下見習或服務2年；若已參加全時法律實務學校6個月，則見習或服務之期間只要1年。

b. 如果申請人在南非任何一所大學完成學位，但並不符合LLB學位之要求，或申請者在其他國家如史瓦濟蘭、辛巴威、那比亞獲得與南非LLB法學士相同之學位，並獲得南非大學之承認，則需見習或服務之期間爲3年。

c. 若申請者未獲得學位，但有可免除大學全部學分之入學證明，則需見習或服務之期間爲5年。

d. 假使申請者已經有5年適當經驗則可申請免除契約見習或服務。

4. **完成強制性法律實務訓練**：申請人必須參加南非法律學會所承認之實務訓練，申請人可以在見習或訓練期間或之後參加短期（約5週）訓練課程，亦可參加法律實務學校6個月的全時課程，該校在南非有9個分校。

5. **通過入門考試(Admission Examination)**：通過法律學會舉辦之入門考試，該考試爲實務取向，只有下述人員能夠參加：

a. 普通律師候選人於完成6個月的見習契約服務或法律事務所之社區服務後，或

b. 普通律師候選人參加全時法律實習學校6個月之訓練後。

上述人員可以在契約期間內或社區服務期間內參加一次以上之考試，亦可於契約失效後3年內參加考試。

(二)普通(綜合)律師入門考試

入門考試由南非法律學會所屬考試委員會統籌辦理，每年舉辦2次，分別爲2月及8月，每次爲期2天，每年約有3,000人報考。考試委員會負責考試政策、考試規則之擬定、合格標準之訂定、應考須知（包括考試科目、各科命題範圍、重點、出處、參考書目法規等，如附件13）之擬定及發布、試卷印製、試卷評閱等。其下設有題庫，試題多爲情境式申論題，由該考試委員會聘請資深普通律師命擬，經考試委員審查後確定，閱卷則由執業之普通律師負責，訂有命題及閱卷指南供參考，試畢不公佈參考答案。試務部分則由各省之法律支會分別辦理，包括受理報名（報名表如附件14）、資格審查、編碼、通知應試、試場安排與準備、監場、合格公告與通知…等。

入門考試共考4科目：科目（一）考實務與程序（刑事程序、最高法庭

程序、推事庭程序、機動車輛意外事故索賠)，作答時間3小時15分鐘；科目（二）考遺囑與動產，作答時間2小時15分鐘；科目（三）考普通律師實務、合約及行爲規範，作答時間2小時15分鐘；科目（四）考法務記帳，作答時間2小時15分鐘。及格方式採科別及格制，各科得分50分以上爲及格，得分介於40-49分者必須加考口試(問項採開放式)，以進一步驗證應考人對該科目眞正了解之程度，40分以下爲不及格。及格科目成績可保留3年有效，依南非法律學會相關主管告知，平均及格率在60-70%間。(考試成績網路公布示例如附件15)

(三)申請加入專門(出庭辯護)律師學會須具備之資格

1. **學術資格**：在任何一所南非大學獲得LLB 法學學士（目前南非有16所大學設有法律學系)，且其學程不得少於4年。或3年大學課程加南非大學2年LLB課程。

2. **申請加入專門律師名單**：申請表經專門律師總會簽署後向各省高等法院提出申請加入專門律師名單，申請者必須提出證明具有資格且有能力從事此一職業。

3. **申請見習實務訓練**：

於南非專門律師總會所屬各省專門律師學會（共10個）見習，欲見習者必須是高等法院登記有案之專門律師或至少是已向高等法院提出登記者；欲見習者須先提出申請（申請表如附件16）經見習委員會審查並參加面試通過後才能開始。申請條件之一爲證明個人適合度，除於申請表宣示個人無犯罪紀錄等外，必須提出就讀大學法院院長認定申請者個人在各方面適合從事律師職業之推薦書，且必須年滿21歲、爲南非國民或合法具有南非居留權者、或曾於南非擔任普通律師但自願申請除名者。

見習期間自1月15日起至12月31日止，其期程安排爲1月至8月在監督下見習、出席指導課程、參加專門律師實務演練及練習撰寫書狀，8月見習人員準備專門律師考試，9月參加專門律師考試筆試與口試，11月對通過考試者提供高級實務演練課程，12月繼續見習。

見習由指導員、監督員、協調者、及主講者密切監視與督導。指導者爲會員具執業5年以上之專門律師，由見習委員會於面試時評估見習者之個別需求指派；監督員爲資深專門律師每2個月與見習者

面談1次，確定見習者有無被適切的指導，符合見習之所有要求，包括理論及實務；主講者爲資深成員，負責講授書狀撰擬、法庭實務與程序、職業倫理、犯罪程序與證據、出庭準備等課程。

見習人員與指導者搭配一起出庭，學習如何在法庭工作，並將每天見習狀況詳實記載於日誌，見習期間並接受監督員之邀談工作細節及經驗。見習6個月後，若見習者通過專門律師考試，在指導員同意及監督下可以單獨出庭，但須遵照相關規定，如需預先告知法官、於法庭上表明其爲見習身分、於接訟案時需讓下達指示之普通律師知道其爲見習身分等。部分學會鼓勵見習人員組成讀書會準備考試，並提供考古題供參考。見習目的爲學習經驗，非正式工作，並無酬勞。

4. **通過全國專門律師考試（National Bar Examination）：**專門律師考試由全國專門律師考試理事會（National Bar Examination Board）舉辦，屬見習過程之一部分，以考驗見習人員之實務能力。相關考試方式及內容因本次出國並未有機會訪談南非專門律師總會相關人員且查遍網站亦無相關資料，無法詳加說明，實屬遺憾。

陸、心得與建議

1994年是南非近代歷史上關鍵性的一年，受白人政府拘禁長達27年的黑人領袖Nelson Mandela經由民主選舉成爲第一位全民選出之總統，其所領導的非洲民族議會黨（ANC）正式取得執政權，在經過12年的轉型改革勵精圖治之後，就外交方面，南非政府在脫離過去白人政府因實施種族隔離政策（1948-1991）飽受世界各國聯合制裁時代後，其國際之地位已扶搖直上，儼然成爲第三世界之領導者及非洲各國之龍頭老大。就內政方面，ANC在歷經3次大選及藉由吸收國內其他政黨跨黨成員之後，已取得國會3分之2以上席位成爲最大政黨，坐收一黨獨大之利，且公務人員轉型改革結果，目前政府高階官員中大多數爲黑人或有色人種，白人淪爲少數（居關鍵性技術官僚職務），但南非政府目前仍面臨不少因過去歷史不平衡造成之經濟及社會問題，如高失業率、貧富差距懸殊、治安差等，以及政府輪替之後才浮現之問題如鄰近各國人口移入漸多、白種人逐漸撤離及外資裹足不前等。這些問題錯綜複雜可能仍需假以相當時日方可解決。雖然如此，南非政府制度因係奠基英荷等國，各項措施與作爲仍有其長處可資我國政府相關機關省思與參考，謹臚陳如下：

一、南非政府部門設有人力資源規劃專責單位，且相關法規明定各機關於組織策略規劃時應一併進行人力資源規劃，建議我國應從調整人事單位組織功能及業務執行兩個層面同時改革，以落實各機關人力資源規劃功能：

人力資源是決定組織（包括國家、政府、企業、團體等）發展與成長之重要因素，其規劃之完善與否影響組織之現在與未來。面對21世紀全球人才競爭白熱化及人口日漸老化勞動力不足趨勢，本次會議與會者認爲各國雖已逐漸體認到人力資源規劃之重要性，惟人力資源規劃在大多數政府機關之組織策略規劃中並未受到應有之重視。同樣的在台灣，目前政府機關之人事單位似乎仍忙碌於傳統之行政工作（Transactions即日常之人員任免遷調、銓審、考績、教育訓練、退休保險、福利康樂、勤惰管理等業務），能投入於人力資源規劃作業之時間相當有限。

事實上中央執掌人事管理權責之行政院人事行政局所屬人力規劃處之主要業務爲組織編制（組織改造、審核各機關編制員額合理性）、考試分發、任免派用，並無人力資源規劃一項，而各機關之人事單位職掌亦未列有人力資源規劃業務，另一方面，各機關於進行中長程施政計畫規劃時亦很少要求人事單位積極參與，此或許又與機關人員編

制已被組織法綁住，增加人力不易有關。

反觀南非政府於公共服務及行政部人力資源管理及發展司下設有人力資源規劃科，並於公務人員施行細則中要求各機關執行長依據策略計畫決定該機關之組織架構，完成相關業務所需之職位及職務之等級，並依人力資源需求進行人力資源規劃。雖不知其人力資源規劃之實際內容與執行情形，但從其組織面及執行面皆對人力資源規劃有所設計之情形可以看出該國政府重視之程度，其作法值得我國參考。建議加強各機關人力資源管理應同時調整人事單位之職掌以及規定各機關於進行策略規劃時除財務計畫外，應將必要之人力資源計畫一併納入，方能收到實際之效果。

二、南非政府認為公務人員之能力包括知識、技能、行為及態度，明訂公務人員之甄選作業應就上述範疇加以評量，決選技術多元化，由各機關視實際需要選擇辦理。建議強化我國公務人員考試口試評分量表之設計，以提昇考試之鑑別度：

南非公務人員法對公務人員應有能力（Competency）之定義爲知識、技能、行爲及態度之綜合，我國人事行政局所積極推動建立各級人員之核心能力（Core Competency）與其有點類似，惟前者係經由薪給編碼表（CORE）明訂出每一個職務所須具備之知識、技能、行爲，後者只對一定層級人員做概括性知識、技能之要求，層次上並不相同。考選部爲配合各機關甄選具核心能力人員之需求，亦規劃於公務人員考試筆試時將核心能力相關科目逐步納入考試範圍，但因筆試難以評量出應試者之行爲及態度，故須加考口試以補其所不足。爲評量應徵者之知識、技能、行爲及態度，南非政府之面試決選評分表之設計頗爲週延，明定其衡量標準應包括各項能力領域、與能力領域相對應之各項能力要素、衡量能力要素之各項能力議題、各項能力議題之評分標準等，鑑別精準度頗高，值得參採。

三、為符合國際潮流應研究推動成立非營利性能力評鑑機構（Competency Assessment Authority），支援政府機關或企業辦理高階管理人員甄選作業：

目前許多國家皆有能力評鑑機構（Assessment Authority），有由政府設立者，亦有由私人企業設立者，其規模與運作方式不一。爲與國際接軌，南非政府已要求各機關辦理高階公務人員甄選作業時應要求應甄者至政府認可之評鑑中心進行能力評鑑，目前南非政府認可之評鑑中心已有4家，而在台灣則尚未有類似機構。能力評鑑已逐漸被世界

各國採用，政府應即研議以何種方式來推動設立較佳，如以行政法人或非營利性之財團法人方式設置其可行性如何。相信未來設立後對各機關或企業辦理人員進用或陞遷作業將有所幫助。

柒、附錄

一、林部長英文專題報告講稿

32nd International Symposium
on
Public Personnel Management

Knowledge Management in Public Institutions: The Taiwan Experience

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Cape Town, April 17, 2007

Knowledge Management in Public Institutions: The Taiwan Experience

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This article discusses knowledge management in public institutions and provides an analysis of the experience of Taiwan in this respect. In the first of three sections, the paper addresses the development and significance of knowledge management as a discipline. Section 2 then discusses the necessity of implementing knowledge management in public institutions and describes various concrete scenarios for this. Section 3, finally, discusses the experience of knowledge management implementation in government agencies and institutions in Taiwan.

I. The Development and Significance of Knowledge Management

Knowledge has long been a topic of academic interest, not least since Descartes expounded his rationalism and Locke his empiricism, which philosophies gave impetus to the later development of theories of inductive and deductive reasoning. In a more modern context, developments in organizational learning and information technology have spurred the rise of knowledge management, a topic which began to feature in business administration and information management activities as of the late 1980s. Now, discussion of knowledge management raises inevitably the questions of what in fact can be termed knowledge, what points to the necessity of knowledge management in an organization, and how most efficiently to proceed with this.

So what is knowledge? In what ways does knowledge differ from data, from information, from wisdom? Viewpoints will of course differ on such questions, but a review of the field can yield certain points of consensus. Briefly put, data are a simple telling of objective fact; information is data that have been processed in some way that gives it significance in the eyes of the user and has the potential to change the user's understanding. Knowledge, for its part, is information that has been subjected to processes of analysis, interpretation, reasoning, linkage and abstraction, while wisdom represents the effective integration, selection and utilization of the latent potential of various elements of knowledge.

In summary, there are various characteristics of knowledge we can observe. These include that: 1. Knowledge is the product of human mental models; 2. Mental models proceed from external stimuli to perceptions, selections, comparisons and strategizing to reactions; 3. Knowledge comprises hypotheses, the structures of cause-effect relations, empirical rules and values, as well as norms and convictions; 4. Knowledge displays attributes, such as invisibility, orientation of action, dynamism, duplicability and re-usability and boundless extendibility, and is not wholly competitive; 5. Personal or individual knowledge is reflected in intuition, understanding, cognition, insight, familiarity and logical reasoning.

In addition to their explorations of the nature of knowledge *per se*, researchers in knowledge management produce detailed analyses of the distinctions between personal and organizational knowledge, and of the differences between tacit and explicit knowledge. Knowledge management stresses knowledge innovation within an organization, as well as its sharing, storage, transmission and diffusion. Individual members of an organization each possess personal knowledge, but the organization does more than just absorb this from each individual - it shapes over the years a body of organizational knowledge. Personal knowledge belongs to the individual and is reusable, but rather difficult to share. Organizational knowledge, on the other hand, helps to create organizational values and can easily be shared with others in the form, for example, of an organizational culture, standardized procedures for internal operations, pertinent regulations, etc. Here, the concepts of tacit knowledge and explicit knowledge are important. As first expounded by Nonaka & Takeuchi, the former is described as personal, context-specific and difficult to formalize and communicate, while the latter lends itself easily to being codified and systematized, and transmitted through language. The authors applied specific terms to transformation models for these two types of knowledge, calling tacit-to-tacit transformation '*socialization*', tacit-to-explicit transformation '*externalization*', explicit-to-explicit transformation '*combination*', and explicit-to-tacit transformation '*internalization*'. These processes working in tandem constitute a knowledge spiral that creates knowledge content within an organization.

Knowledge management first gained currency in the business world as companies sought to improve their competitive advantages and survivability through programs for the collection, storage, sharing, transfer, utilization and evaluation of the various forms of personal, group and corporate knowledge existing within their organizations. That human economic systems have moved from labor-intensive and capital-intensive models to a knowledge-intensive one is a fact underlined in 1996 when the OECD declared the advent of the knowledge economy. For corporations, knowledge has become an important factor of production as well as an asset, and knowledge management furthers the development of new products and services while reducing costs, helping to maintain company market share and accelerating the movement of products to markets. Knowledge management also helps preserve core competencies, contribute to higher profits and improve customer satisfaction rates. The overwhelming majority of transnational corporations at the beginning of the new century have internal knowledge management systems in place and, matching these with organizational strategies and long-term vision, employ the knowledge proper to their area of activity to improve their forecasting abilities with respect to customer demands and market trends. Authors Tom Davenport and Larry Prusak have stated that the objectives of organizational knowledge management are to foster a culture that shares organizational knowledge, create environments conducive to the sharing of tacit knowledge, assess procedures for knowledge creation, provide customers with extra knowledge, and obtain knowledge from customers. In this way, new benefits are derived from existing knowledge. Their analysis of the corporate knowledge market revealed nine features to be observed: 1. kinetic energy and efficiency of the knowledge market; 2. buyers and sellers on this market; 3. knowledge brokers; 4. pricing mechanisms; 5. mutual benefit, reputations, altruism, trust; 6. market signals; 7. workplace ranks, levels of education, informal networks, executive groups; 8. knowledge market failings, such as transaction impediments, inappropriate human actions; 9. peripheral benefits such as improved workplace morale, greater company cohesiveness, enriched knowledge banks, personnel who are valued.

Corporate organizations generally view knowledge management as fulfilling multiple functions: knowledge has competition value, and can shape a competitive advantage; knowledge is difficult to copy and is more a type of synergy than a single product; knowledge competency is accumulated over time and is characterized by a propensity to grow and evolve; knowledge produces leverage that can be used in support of other resources. Finally, knowledge can be employed to coordinate and integrate all the various important resources of an organization.

Knowledge management now benefits from many years of theoretical and practical aggregation and the field is well-defined with respect to the creation, sharing, transfer, utilization and storage of knowledge, as well as technology inputs and outcome assessment. Achieving success in knowledge management involves promotion of a knowledge-oriented culture, introducing technical and organizational structures supported at the executive level, demonstrating economic benefits for industry, introducing attractive incentive measures and developing a certain level of knowledge structuring.

As noted earlier, the development of knowledge management and of information technology have been closely related. Knowledge management uses technology to a high degree, particularly the data processing tools which are instrumental in the management of explicit knowledge and which include document management systems, case-based reasoning systems, FAQ (frequently-asked questions) systems, workflow systems, the worldwide web, expert systems and specialist webpages. With respect to accessing tacit knowledge, meanwhile, the principal technological tools available include collaborative software or groupware, corporate internal and external networks, electronic communities of practice and chat rooms. Technology dominates in the storage, utilization, sharing and transfer of knowledge, as can be seen in organizations that use computers and online networks for storing the knowledge, experience, documents and skills – those items commonly referred to as 'knowledge objects' – pertinent to particular fields. Subject-oriented, integrated, time-variant and nonvolatile data warehousing strategies are also employed in the aim of ensuring swift support to users involved in decision-making. Sharing and transfer of knowledge within organizations also occur through informal mechanisms which are not technology-based, such as in non-official sites or through self-directed exchanges, or through formal mechanisms such as knowledge-oriented seminars, exhibitions, etc.

The principal measures of knowledge management include the degree of investment in knowledge management throughout the whole organization, the value of the organization's intangible capital and cost-effectiveness of its investment in knowledge management projects, the value of the knowledge units in each process, the degree to which knowledge management reaches specific stated objectives, and the penetration depth of knowledge units in each process. It is worth noting that even though knowledge management has been widely adopted by corporate organizations, companies must attach importance to both the tangible and intangible benefits that may accrue, and a system for outcome evaluation is thus indispensable.

II. Knowledge Management in Public Institutions

What this paper refers to as public institutions or the public sector are government administrative agencies, and does not include state-owned enterprises, hospitals, juridical persons, social welfare agencies or cultural institutions in which the government may hold investments. By nature, public institutions differ from enterprises. While these latter are profit-oriented, the former serve to shape and execute public policies, address public welfare and ensure national security. Like enterprises, however, public institutions are organizations made up of members, and similarly have missions, visions, objectives, strategies and approaches that they implement. While the 'corporate government' model proposed by a new breed of scholars in public administration may well have been widely criticized, there is no lack of consensus around such concepts as service-oriented or customer-oriented government. The various areas explored in organization theory – which include leadership and governance, human resources, organizational learning, innovative R&D, strategic development, informatization, performance evaluation, organizational culture, organizational change, etc. – are all as equally applicable to public institutions as to the corporate field, although there are of course differences in theory and in analytical methods.

Knowledge management did indeed make it into the public sphere later than to the corporate, but there is no need to explain its eventual adoption – public institutions constitute a knowledge-intensive service industry, and their employees are by definition knowledge-workers. In the age of the knowledge economy, the public policies determined by public institutions – be these economic, financial, diplomatic, environmental, demographic or related to public health, social welfare, etc. – all feature high knowledge content. In their dealings with the citizens of a knowledge society, public institutions aim on the one hand to provide a greater number of channels to participation and on the other to satisfy public needs. In both cases, there is reliance on upgrading the knowledge of government employees. Meanwhile, the relative competitiveness of a country in the global age bears directly on its development and survival, and without disregarding the efforts of the private sector in this regard, the public sector plays an important role in this competitiveness. The Global Competitiveness Report and the Global Competitiveness Yearbook, produced by the WEF and the IMD respectively, demonstrate this clearly.

The theory and practice of public sector knowledge management need not entirely emulate the corporate model, but reference can be made to it in many respects. Such areas as human resources, organizational learning, core competencies, internal informatization and innovative research and development can all be seen as important factors in the growth of a public institution, and each of these is inseparable from knowledge management. With respect to innovative R&D, for example, governments often establish a specialized R&D agency which in turn commissions universities and private research bodies to conduct particular projects that produce the reference background for determinations of public policy.

A decisive issue in this context, as is stressed as much in knowledge management as in human resources theory, is how to endow public-sector workers with competencies in research and innovation. In his book *The Fifth Discipline*, Peter Senge set out five disciplines for members of a learning organization to pursue together - *personal mastery, mental models, building shared vision*, *team learning* and *systems thinking*. Indeed, there is no lack of knowledge management theories pertaining to innovation research and some of these are applicable to the public sector. In the area of knowledge learning, for example, they may include "learning by doing", education and training, mentoring, brainstorming, dialogue and group knowledge creation. Knowledge creation methods in the public sector may include the establishment of dedicated R&D facilities, simulation exercises, adapting to environmental pressures and building organizational memory. Knowledge creation processes, meanwhile, may include employee ambition, autonomous teams, differentiated associations and access to ample resources.

In 2000, the OECD for the first time listed knowledge management as an important issue in government restructuring, and a 2002 survey of the status of knowledge management that addressed 132 government agencies in 20 member countries showed that it had become a topic of significant management interest. Most of the agencies reported that strategies had been drawn up and practical efforts were under way to improve their knowledge management operations. The survey found that OECD member states were progressively increasing the creation and flow of knowledge in government agencies, and that central government bodies were increasingly dependent upon local governments, universities, specialized corporations and international organizations as sources of information and knowledge. Meanwhile, the extent of knowledge interaction among public and private sector bodies, as well as academic institutions, consultancies and international organizations had been significantly liberalized. The report also showed that even though government policies are increasingly open and transparent, and investment in information and communication infrastructure is growing in step, a number of the benefits to be derived from the structural changes brought about through the promotion of knowledge management will still require a certain time to be fully realized. These include enhancing the competitive profile of civil servants, overcoming institutional departmentalism, reducing the number of levels in bureaucratic hierarchies, putting in place horizontally-oriented collaborative working groups, enhancing knowledge competency, promoting lifelong learning, et cetera. The report also concluded that critical factors in the success of implementing knowledge change were priority support given by agency heads, sound knowledge innovation plans and communication plans, high participation rates of agency staff, the promotion of incentives to knowledge sharing and the allocation of sufficient resources to achieve these goals. These findings are consistent with the features of knowledge management success in a great number of private sector enterprises.

The public sector includes a great number of administrative agencies, and even though the government is a single body, unless a top-flight ministry has specifically mandated that its affiliates adopt an identical model for knowledge management, each of these will inevitably implement a scheme that reflects its own internal culture, as well as the determination of its head. Implementation of knowledge management in the public sector is generally an initiative of the individual agency itself, with the methods and processes involved being in large part similar to those that apply in private companies – in the first stage, a steering committee is formed that includes a mix of responsible higher executives and enthusiasts from the ranks who together plan a strategy and make the major decisions. In general, the Chief Knowledge Officer, responsible for making knowledge management decisions, will be the agency chief in person or a direct subordinate, and will have a small staff to assist with routine affairs, appointed by the steering committee.

The establishment of formal knowledge communities is a key factor in the success of knowledge management. As administrative agencies generally have duties prescribed in law, their core operations are quite clear and these knowledge communities can be set up more or less to reflect the agency's principal areas of operation. Knowledge communities are not a formal constituent department of the agency, nor are they a form of ad hoc task force, and as they can easily be confused with formal administrative units, it is best that their membership be drawn from across departmental structures. Knowledge communities may be made up of staff members who join of their own volition, or there may be a stipulation that staff above a certain rank are required to join. Each community has a leader and an executive secretary, both generally chosen from the high ranks of the organization, who plan the community's activities.

The members of each community schedule meetings at which they exchange views on specified topics or present reports. As a rule, members can also exchange information at any time over the institution's internal network. Each community collects information and discusses outcomes according to its stated objectives, and examines knowledge objects according to a strict procedure, after which these objects can be posted to the institution's internal knowledge platform. Over time, this process builds up a capacious knowledge repository available to all agency staff. To encourage dedicated and enthusiastic participation in knowledge community activities, the agency can introduce incentive measures featuring, for example, awards to community groups or individuals that have made a significant contribution. Administrative agencies have the option of giving awards in the form of performance rating points or material benefits to encourage enthusiastic participation in the processes of knowledge creation, accumulation, diffusion or utilization.

In addition to setting up knowledge communities proper, it is common that agencies also draw on their internal IT resources to set up a common knowledge management platform that staff can use for information and opinion exchange and for sharing individual outcomes with fellow staff members. Specialist webpages, the regulations of the agency and knowledge of all sorts that relates to the agency's core operations can be categorized and posted on the platform for general reference. It is generally emphasized in Western countries that the promotion of knowledge management in the public sector should be associated with implementation of e-government, a common government objective for some ten years that aims to utilize information technology to boost government efficiency, improve public services and enhance Internet democracy. E-government includes, for example, internal inter-linkage of all government websites to facilitate the exchange of official documents, on-line review and authorizations, electronic bulletin and messaging services, etc., all of which contribute to improved administrative efficiency. In societies where Internet use is prevalent and most citizens have access facilities, government websites can not only provide a great deal of information that helps citizens understand policy, but also provide the facilities for citizens to carry out civil procedures such as pay taxes or vehicle fees, purchase tickets, register for services, update ID cards, apply for drivers' licenses, etc.

Such measures as setting up integrated cross-agency services accessible through a 'single-window' portal and putting in place common, pan-governmental platforms also serve to improve services to the public. In addition, with Internet democracy being a further objective of e-government, such features as facilities for the direct expression of citizens' opinions to government offices, interactive communication with government officials, opinion exchange on government websites, forums, 'minister's mailboxes', opinion surveys, etc. contribute directly to this. Another possible outcome of Internet democracy could be electronic voting, which would favor direct democracy. Beyond measures associated with e-government such as developing agency intranets and knowledge management platforms, meanwhile, the Internet also has a bearing on knowledge management as it allows government bodies easily to access and obtain pertinent knowledge as well as to survey public opinion with respect to aiding in the formulation of policy.

The methods and approaches of public sector knowledge management are many and varied, and extend beyond setting up knowledge communities and putting in place knowledge platforms. Becoming a learning organization, strengthening agency human resources and building staff core competencies shapes a learning culture, while instituting mechanisms to reward innovation and creativity, and providing in-service training opportunities, can help to shape a common vision and set of values. Such initiatives, while helping to overcome hierarchical barriers and over-protectiveness with regard to members, which are factors inimical to a learning organization, also contribute to the accumulation of internal personal knowledge, organizational knowledge and external customer knowledge. Some public sector entities have created dedicated research and development agencies, while all have at least internal units of this type or planning departments, and together these have important responsibilities in public sector knowledge management. For in addition to producing research outcomes that are applicable in the public sector context, these R&D units also play a role in the intake of external knowledge and its diffusion within the pertinent areas of the public sector.

In brief, the objectives of knowledge management in public institutions are: to implement knowledge management through e-government, to increase the competitive profile of the public sector, to share best practices and benchmarking, to support leadership and decision-making, to preserve human capital and foster team spirit, to strengthen strategic policy planning approaches, to strengthen the trust in government of citizens and of civil servants. Performance measurement in this respect is still needed, and can be achieved through peer evaluations, implementation reports, success stories, various types of scorecard, assessment of citizen satisfaction with pertinent government policies, evaluations of compliance with the vision, strategies and value systems of the agency in question, and evaluations of staff core competencies, agency planning and execution, etc.

Knowledge management in the public sector aims to achieve knowledge-based government, which in turn aims for systematic and sustained innovativeness through such approaches as listening carefully to its citizens and proactive learning. This involves using and building external forms of knowledge, innovation and intellectual capital to innovate government organizations, policies and services, to put in place a knowledge-friendly and creative social culture and to improve overall strategic capabilities, effectively creating public value and promoting public trust in the whole. Concrete actions by a knowledge-based government may include:

1. highlighting research, development and innovation so as to accumulate intellectual capital;
2. promoting a learning and sharing culture for organizational knowledge;
3. taking due inventory of the government's intellectual assets so as to bring knowledge value fully into play;
4. improving the sharing mechanisms of administrative organizations so as to boost efficiency overall;
5. bringing into play the expertise potential of the organization and of the individual to achieve sustainability in the operation of a learning organization;
6. improving the internal learning culture of governmental bodies;
7. compiling and sharing external resources so as to improve quality of governance;
8. fostering swift responsiveness in institutions, and simplifying procedures;
9. promoting 'flat organizations';
10. matching IT and communication technology applications to the design of the organization;
11. putting in place platforms for knowledge management information systems.

III. THE TAIWAN EXPERIENCE

As a small country lacking in natural resources, Taiwan views its human resources with no little importance, and decades of economic growth and twenty years of democratic reforms have attracted to the island no little attention. Taiwan can boast a high degree of IT infrastructure development, a highly-educated population and a government that has, in the global context of a competitive knowledge economy, produced a viable development plan for its knowledge economy.

As private-sector businesses began to implement knowledge management systems in the 1990s, they were quickly followed on this path by state-owned enterprises and government research institutions. Knowledge management in government was introduced on an initiative of the Research, Development and Evaluation Commission (RDEC) in 2000 and extended to all central government agencies in 2004. This Commission is responsible for policy research, government restructuring, e-government planning, departmental performance evaluation and government publications and archives, and also handles oversight and approval of the mid-term and annual plans of affiliates of the Executive Yuan. The author was appointed Minister of the Commission in May, 2000 and established at that time a knowledge management steering committee in the aim of boosting staff core competencies and implementing knowledge management procedures throughout the organization.

As the Commission's Chief Knowledge Officer, the author established five knowledge communities addressing, respectively, national security, public infrastructure, national finance, social welfare, and education and culture. These communities reflected the main areas of responsibility of affiliates of the Executive Yuan. In view of the Commission's responsibilities to oversee mid-term planning, policy reporting and performance of the various ministries and other bodies of the central government, it was essential that staff have a firm grasp of the requisite knowledge. Between 2000 and 2002, the five knowledge communities set their agendas, met regularly, presented their research findings and set up a knowledge management platform that provided interlinkage for the various agency intranets and websites, hosted approved knowledge objects, and organized motivating knowledge contests with an award incentive scheme for outstanding communities and individuals.

The knowledge management scheme put in place by the RDEC proved to be of advantage in several areas. It laid a foundation for later efforts in e-government and provided a coordinating forum for interagency communication, while focusing agency innovation capabilities and enhancing the quality of decision-making in public policy. Implementing knowledge management in a public institution in this way proved to require, in addition to resolve on the part of senior managers, strong implantation of the necessary concepts among staff, as well as creation of structures for internal knowledge inventories and management, and strong networks for knowledge sharing. After some two years of operation, staff had become used to the knowledge management system, but still experienced various difficulties. While the five knowledge communities addressed the nation's most important policies, it became clear that staff background in certain areas was clearly inadequate and that even when the greatest efforts were made, there were limits to the amount of genuine input and effectiveness they could achieve. This was particularly true in the areas of national security and finance.

After 2002, the five knowledge communities were thus reorganized to focus on the core duties of the Commission itself, to wit, government restructuring, e-government, government performance evaluation, regional development and government information technology. At the same time, an effort was made to expand the levels of staff participation and improve in-house education with respect to knowledge management, while improving incentive and team-sharing mechanisms. Presentations were arranged to highlight the accomplishments of the in-house and various invited external communities as a means of encouraging administrative support. In the context of boosting the capabilities of available information systems, requirements included putting in place policy-linked knowledge management systems, writing up user manuals for these, organizing system-user seminars and setting up online discussion forums. The RDEC came to identify the principal objectives of its knowledge management program as including that it constituted a think-tank for national development, a motivator for administrative modernization, a center for policy innovation, and the framework for knowledge-based government. With respect to strategic implementation, meanwhile, key goals were to foster an agency-wide culture of knowledge-sharing, to integrate and make best use of technology in agency operations, to incorporate knowledge management into these operations, and to undertake comprehensive knowledge inventories.

After four years of in-house experience with knowledge management, the Research, Development and Evaluation Commission – whose legal mandate includes responsibility for research and development programs in agencies subordinate to the Executive Yuan – moved to implement an April, 2004 decision by the Executive Yuan to promote R&D activities in its affiliates by requiring all such secondary and tertiary agencies to introduce knowledge management in their operations. With respect to local government, however, as this is a highly autonomous level of government in Taiwan, the Executive Yuan has no means to compel the adoption of particular programs. The RDEC has nonetheless provided assistance on its own initiative to local government agencies to set up knowledge management platforms. The Commission has also published an executive manual for administrative bodies that offers guidance on introducing KM initiatives, and has organized seminars and training opportunities for pertinent operatives.

A 2006 report that surveyed the introduction of knowledge management in public institutions showed that the great majority of administrative agencies had set up KM platforms, formed KM steering committees and announced formal projects to implement KM. A rather lower proportion of these agencies had taken the further steps of forming knowledge communities and holding regular meetings. Staff involved in these programs had varying opinions, with those in support arguing that KM was of value in their jobs and in increasing the availability of pertinent knowledge, while those opposed claimed that they were busy enough in their work as it was and had little time to participate in discussions of knowledge. For these people, knowledge management was easily dismissed as a formality. Needs, of course, vary according to the nature of an agency's responsibilities, user rank and the types of knowledge in question, but at present more and more public sector workers are in favour of knowledge management programs.

In May, 2004, the author left the RDEC to take up his current post as Minister of Examination. This Ministry is responsible for the competitive recruitment to and promotion within Taiwan's civil service, as well as for developing and administering certification examinations for more than one hundred professions and technical occupations, from lawyers, physicians, accountants, etc. to architects, engineers, and technical specialists of all stripes. In the interest of maintaining the objective neutrality necessary to its functions, the Ministry of Examination is constitutionally separated from the executive branches of government and is not subject to the jurisdiction of the Executive Yuan. The knowledge management initiatives promoted by the Executive Yuan do not compel the Ministry of Examination in any way, but in view of my many years of involvement in public sector knowledge management, I began to put in place a KM system at the Ministry as of my appointment.

At the outset, many Ministry of Examination employees were thoroughly unfamiliar with the concepts and methods of knowledge management, and as the new Chief Knowledge Officer, I imported the models we had developed at the RDEC - set up a committee, appointed an executive secretary and formed six knowledge communities in keeping with the core functions of the Ministry and the core competencies required of its staff. The designated groups addressed external affairs, laws and regulations, client services, informatization, examination reform and examination question reform, respectively. The External Affairs unit was tasked with researching civil service practices and the certification procedures for the professions and technical occupations abroad, as well as upgrading Ministry capabilities in respect of communication with other countries. The Laws and Regulations group surveyed the variety of examination systems that exist and the regulations governing these, particularly with regard to candidate eligibility requirements and subjects tested in various categories. The Customer Services group addressed candidate services - the Ministry administers some 80 examinations every year that involve upwards of a half-million examinees, so responding to their needs and providing the information they need in a proactive way is of importance to us. The Informatization group addressed the issues of online registration, computer-based testing, electronic question banks, Internet security and related topics. The Examination Reform unit reviewed the entire process of candidate registration, qualifications review, hire of question drafters, examination paper marking, publication of answers, management of disputes, examination site regulations, procedures for examination preparation, etc. Meanwhile, the Examination Question Reform group undertook assessment of the reliability and effectiveness of examination questions, the establishment of question banks and developing techniques for question formulation.

Some two and a half years after the initiation of this project, the results are entirely positive as Ministry staff have acquired a clear understanding of knowledge management and its role in Ministry activities. The Ministry hosts a knowledge management 'festival' every year which is attended by a great number of outside organizations from both the public and private sectors. Meanwhile, the knowledge objects accumulated are made available for the use of all Ministry staff, and the knowledge platforms we have put in place register very high rates of usage.

The preceding has been a brief survey of the implementation of knowledge management in Taiwan's public sector, supplemented by insights from the author's personal experience in this area. Although it does not amount to a comprehensive account of knowledge management penetration of the nation's public institutions, it does offer a glimpse of the programs and procedures we have put in place in the name of efficient and proactive government participation in today's knowledge economy, and may in some ways be of reference value for others engaged in knowledge management in the public sector.

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二、林部長英文專題報告簡報資料

Knowledge Management in Public Institutions: The Taiwan Experience

32nd International Symposium on Public Personnel Management
Cape Town, South Africa
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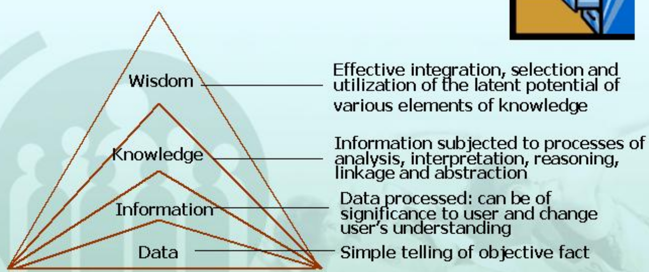
Overview

1. The Development and Significance of Knowledge Management
2. Knowledge Management in Public Institutions
3. The Taiwan Experience

1.1 The Relationship among Data, Information, Knowledge and Wisdom



1.2 Characteristics of Knowledge

- The product of human mental models
- These proceed from external stimuli (perceptions, selections, comparisons, strategizing) to reactions
- Knowledge comprises hypotheses, the structures of cause-effect relations, empirical rules and values, as well as norms and convictions
- Attributes include invisibility, orientation of action, dynamism, duplicability, re-usability and boundless extendibility. Knowledge is not wholly competitive
- Personal knowledge is reflected in intuition, understanding, cognition, insight, familiarity and logical reasoning

4

1.3 Knowledge Management

- Definition: Submitting knowledge, information technology, organizational workflows and 'corporate spirit' to processes of integration
- Stresses knowledge innovation within an organization, as well as its sharing, storage, transmission and diffusion

5

1.4 Tacit vs. Explicit Knowledge

- Tacit knowledge – personal, context-specific and difficult to formalize and communicate
- Explicit knowledge – easily codified and systematized, and transmitted through language

6

1.5 Personal vs. Organizational Knowledge

– Personal knowledge belongs to the individual and is reusable, but rather difficult to share

– Individual members of an organization each possess personal knowledge. The organization does more than just absorb this from each individual - it shapes over the years a body of organizational knowledge

– Organizational knowledge helps to create organizational values and can easily be shared with others

7

1.6 KM in the Private Sector

– **Knowledge management first took hold in the business world as companies sought to improve competitive advantages and survivability through programs for collecting, storing, sharing, transferring, utilizing and evaluating the various forms of personal, group and corporate knowledge within their organizations**

– **Human economic systems have moved from labor-intensive and capital-intensive models to a knowledge-intensive model**

– **In 1996, the OECD declares the advent of the knowledge economy. Knowledge has become an important factor of production as well as an asset**

8

1.7 Objectives of Organizational KM

- (Tom Davenport and Larry Prusak)
  – To foster a culture that shares organizational knowledge
  – To create environments conducive to the sharing of tacit knowledge
  – To assess procedures for knowledge creation
  – To provide customers with extra knowledge
  – To obtain knowledge from customers
  – To obtain new benefits from existing knowledge

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1.8 Functions of KM

- Knowledge has competition value, and can shape a competitive advantage
- Knowledge is difficult to copy and is more a type of synergy than a single product
- Knowledge competency is accumulated over time and is characterized by a propensity to grow and evolve
- Knowledge produces leverage that can be used in support of other resources
- Knowledge can be employed to coordinate and integrate all the various important resources of an organization

10

1.9 Enhancing Synergy through Knowledge Sharing

Technology (+) Sharing

$$KM=(P+K)^S$$

People Knowledge

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1.10 Technological Tools for KM

Knowledge type	Tools
Explicit knowledge	Document management systems Case-based reasoning systems FAQ systems Workflow systems Worldwide web Expert systems Specialist webpage
Tacit knowledge	Collaborative software or groupware Corporate internal and external networks Electronic communities of practice Chat rooms

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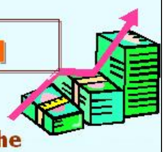
1.11 Principal Measures for KM



- The degree of investment in KM throughout the whole organization
- The value of the organization's intangible capital and cost-effectiveness of its investment in KM projects
- The value of the knowledge units in each process
- The degree to which KM reaches specific stated objectives
- The penetration depth of knowledge units in each process

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2.1 Why Do Public Institutions Need KM?

- The public sector constitutes a knowledge-intensive service industry, and its employees are knowledge-workers
  - In the age of the knowledge economy, policies determined by public institutions all feature high knowledge content
  - In dealing with the citizens of a knowledge society, public institutions must not only provide more channels to participation, but also satisfy public needs
  - In both cases, there is reliance on upgrading the knowledge of government employees
- The relative competitiveness of a country in the global age bears directly on its development and survival. The public sector plays an important role in this competitiveness

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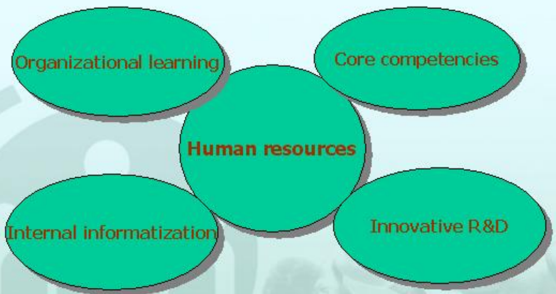
2.2 Important Factors for Growth in Public Institutions



Each of these factors is inseparable from KM

15

2.3 KM Objectives for Public Institutions

- To implement knowledge management through e-government
- To increase the competitive profile of the public sector
- To share best practices and benchmarking
- To support leadership and decision-making
- To preserve human capital and foster team spirit
- To strengthen strategic policy planning approaches
- To build trust in government among citizens and civil servants
- To achieve knowledge-based government

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2.4 Concrete Actions for Building a Knowledge-based Government

1. Highlight research, development and innovation
2. Promote a learning and sharing culture
3. Take inventory of government intellectual assets
4. Improve sharing mechanisms of administrative organizations
5. Exploit the expertise potential of the organization and of the individual
6. Improve internal learning cultures
7. Compile and share external resources
8. Foster swift responsiveness, simplify procedures
9. Promote 'flat organizations'
10. Match IT and communication technology applications to the design of the organization
11. Build platforms for knowledge management information systems

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2.5 KM and the OECD

- In 2000, the OECD listed KM as an important issue in government restructuring
- Findings of a 2002 survey of KM status
  - Member states were progressively increasing the creation and flow of knowledge in government agencies
  - Central governments were increasingly dependent upon local governments, universities, specialized corporations and international organizations as sources of information and knowledge
  - The extent of knowledge interaction had been significantly liberalized
  - Benefits of structural changes brought about through promotion of KM require a certain time to be fully realized

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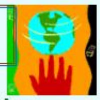
2.5 KM and the OECD (Cont)



- Critical factors in the success of implementing knowledge change
  - Priority support given by agency heads to knowledge innovation planning
  - Sound planning for knowledge innovation and communication
  - High participation rates by agency staff
  - Promotion of incentives to knowledge sharing
  - Allocation of sufficient resources to achieve these goals

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3.1 The Research, Development and Evaluation Commission of the Executive Yuan (RDEC) - Responsibilities and Duties

- Policy research
- Government restructuring
- E-government planning
- Departmental performance evaluation
- Government publications and archives
- Oversight and approval of the mid-term and annual plans of affiliates of the Executive Yuan.

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3.2 KM in the RDEC - Advantages

- Organizational advantages to promoting KM

  - Lays the foundations for e-government
  - Builds ability in coordinating interagency issues
  - Improves agency innovation capabilities
  - Enhances the quality of decision-making in public policy

- KM in the Taiwan government was introduced on an initiative of the RDEC in 2000 and extended to all central government agencies in 2004

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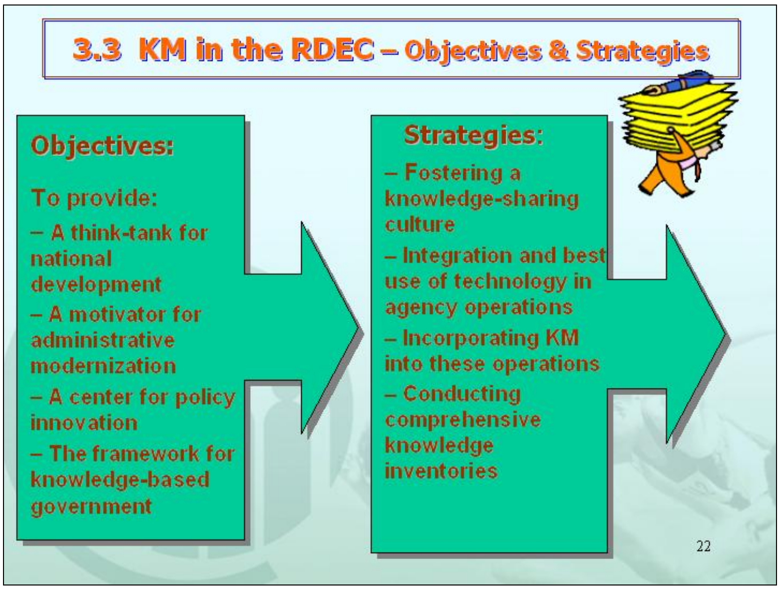
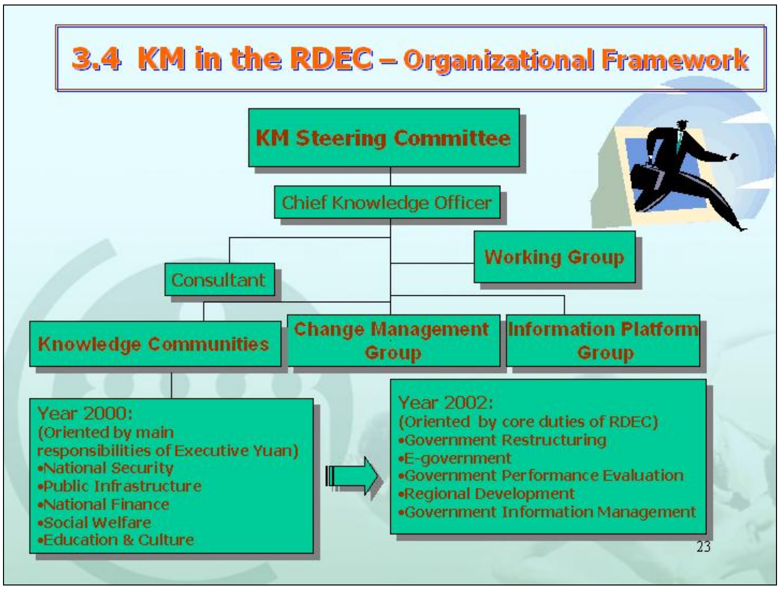
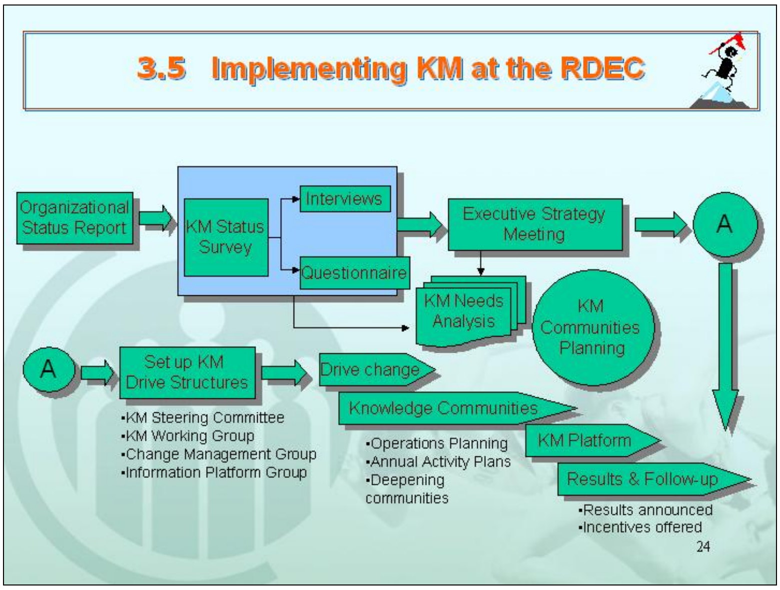

3.3 KM in the RDEC – Objectives & Strategies
Objectives:
To provide:
– A think-tank for national development
– A motivator for administrative modernization
– A center for policy innovation
– The framework for knowledge-based government
Strategies:
– Fostering a knowledge-sharing culture
– Integration and best use of technology in agency operations
– Incorporating KM into these operations
– Conducting comprehensive knowledge inventories
22


3.4 KM in the RDEC – Organizational Framework
KM Steering Committee
Chief Knowledge Officer
Working Group
Consultant
Knowledge Communities
Change Management Group
Information Platform Group
Year 2000:
(Oriented by main responsibilities of Executive Yuan)
•National Security
•Public Infrastructure
•National Finance
•Social Welfare
•Education & Culture
Year 2002:
(Oriented by core duties of RDEC)
•Government Restructuring
•E-government
•Government Performance Evaluation
•Regional Development
•Government Information Management
23


3.5 Implementing KM at the RDEC
Organizational Status Report
KM Status Survey
Interviews
Questionnaire
Executive Strategy Meeting
A
KM Needs Analysis
KM Communities Planning
A
Set up KM Drive Structures
•KM Steering Committee
•KM Working Group
•Change Management Group
•Information Platform Group
Drive change
Knowledge Communities
•Operations Planning
•Annual Activity Plans
•Deepening communities
KM Platform
Results & Follow-up
•Results announced
•Incentives offered
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3.6 Promoting KM to Central Government Agencies – RDEC efforts

April, 2004: RDEC acts on a decision by the Executive Yuan to promote R&D activities in its affiliates by requiring all secondary and tertiary agencies to introduce knowledge management in their operations:

- **Provides assistance to local government agencies to set up knowledge management platforms**
- **Publishes an executive manual for administrative bodies that offers guidance on introducing KM initiatives**
- **Organizes seminars and training opportunities for pertinent operatives**

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3.7 Promoting KM to Central Government Agencies – Results

- **A 2006 survey report showed**
  - **A great majority of administrative agencies had set up KM platforms, formed KM steering committees and announced formal projects to implement KM**
  - **A rather lower proportion of these agencies had formed knowledge communities and held regular meetings**
  - **Staff opinions varied**
    - **Pro: KM was of value in their jobs and in increasing the availability of pertinent knowledge**
    - **Con: claimed that they were too busy to participate in discussions of knowledge**
  - **Needs vary according to the nature of an agency's responsibilities, user rank and the types of knowledge in question**
  - **More and more public sector workers are in favor of KM programs**

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3.8 Ministry of Examination (MOEX)- Responsibilities

- **Responsibilities of Ministry of Examination**
  - Competitive recruitment to and promotion within Taiwan's civil service
  - Developing and administering certification examinations for more than one hundred professions and technical occupations, from lawyers, physicians, accountants, etc. to architects, engineers, and technical specialists of all types
- Administers some 80 examinations every year that involve upwards of a half-million examinees

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3.9 Replanting KM to the MOEX – Knowledge Map

6 Knowledge Communities

External Affairs	Laws & Regulations	Client Services	Informatization	Examination Reform	Examination Question Reform
Personnel of world-class standard	Systems for setting & monitoring exams	Marketing the Ministry	Admini-stration	Candidate registration	Question formats
Inter-national exchanges	Civil Service exam systems	Marketing exams	Exam affairs	Qualifications review	Question drafting techniques
Inter-national services	Professional / Technical exam systems	Minister's Mailbox	Security	Hire of question drafters	Question analysis
Professional licensing systems	Examination & recruitment technologies	Client opinion feedback	Learning	Examination paper marking	Question databases
	Organizational restructuring	Internet services	Public service	Publication of answers	
		Applications		Management of disputes	

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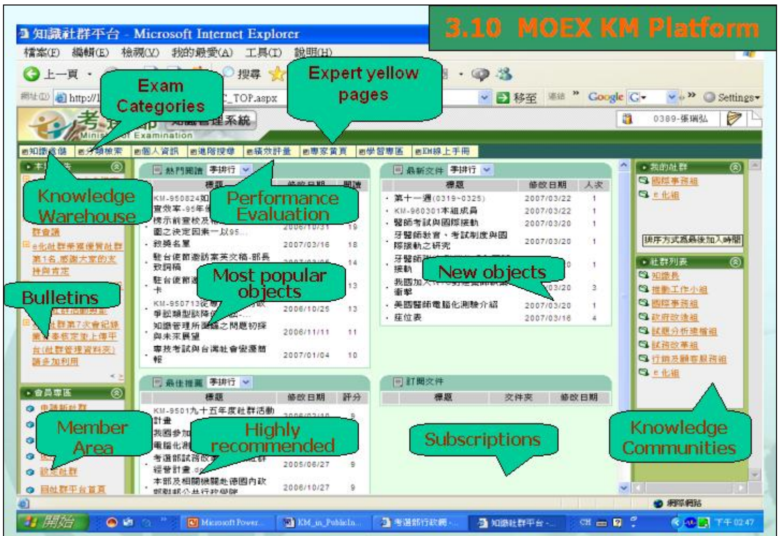
3.10 MOEX KM Platform



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For more information

0389@mail.moex.gov.tw

Thank you

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三、討論議題－參考資料

The Role of HR in Organizational Strategic Planning

There is growing recognition of the importance of the human resource management profession and the crucial role that employees play if organizations are to succeed. Senior leaders understand that their employees are their most valuable assets. Human resource professionals should be the ones most responsible for ensuring the hiring, developing, managing, and retaining of the human capital needed to achieve organizational success. In recognition of the growing importance of human resource management, Money Magazine rated it the fourth best profession in the United States.

With this heightened role, human resource managers need to recognize the importance of being more strategic and focusing on adding value to their organizations. Organizations are looking for human resource professionals to become partners in executing business strategy and improving the efficiency of human resource management. They need to move to leading the talent management effort within their organizations by working with senior leaders to ensure that the human capital needs of the organizations are met.

The importance of human resource management was acknowledged in the 2005 United Nation's World Public Sector Report entitled, "Unlocking the Human Potential for Public Sector Performance." The main objective of the report is to discuss the critical role of people and human resource management in effective public administration, with a particular focus on developing countries and transition economies. The report recognizes that people are the lifeblood of organizations.

According to the authors of the United Nations report, organizational effectiveness is determined by the capacity, motivation and integrity of the human capital and the quality of leadership. Effective human resource management is a key building block for institution building in the public sector, which ultimately impacts national development performance.

The United Nations believed that evidence suggests that human resource management is not simply connected with organizational effectiveness, but is actually causing it. The report recommends that human resource management should be professionalized so that staff has real input into strategic decisions. The status and influence of human resources managers in organizational structures and decision-making processes should be upgraded.

Human capital management is also where organizations compete, say Peter Reilly and Tony Williams in their book, *Strategic HR: Building the Capability to Deliver*. Because services and products are easy to copy, the difference between organizations comes down to the intangible assets, say the authors.

Reilly and Williams also argue that the role of HR is changing and is in some ways bound by the past. Human resources have traditionally been focused on transactions, administration and resolving employee complaints and disputes.

And, recent research by the IPMA-HR benchmarking survey on recruitment and selection showed that HR spends most of its time on traditional HR work such as delivering HR services and training and in performing routine transactions and recordkeeping. Very few spend much time on strategic partnering.

Thirty-five percent of survey respondents said they spend no time on strategic partnering, thirty percent said they spend between 5 and 10 percent of their time on this function while 33 percent said they spend more than 15 percent of their time on this function. Very few HR directors or deputy directors reported spending a significant amount of time on this function.

That HR remains focused on traditional service delivery is also backed up by the results of the IPMA-HR/EquaTerra research series survey, which was conducted in 2006. In the report, "Human Resources Transformation in Public Sector Organizations," 48 percent of respondents said they do not believe they are viewed as a strategic partner. Only 55 percent of respondents said they have a written strategic plan. Survey respondents are IPMA-HR members and are at the senior level, HR directors and deputy directors in U.S. municipalities.

Reilly and Williams, while arguing that the HR role is changing to become more strategic also say, "…[T]here is a strong argument to say that delivering HR services will remain the core activity of the function. This is not just in the transactional area…. but also in designing HR processes and executing people management tasks." So perhaps the continued attention to transactions and service delivery is not a negative, but simply part of HR management's evolution.

In 1996, the National Academy of Public

Administration (NAPA) issued a report, "A Guide for Effective Strategic Management of Human Resources." The NAPA report describes five "forces" that have led to organizations adopting strategic human resources management, which it defines as the merger of human resources management and strategic planning:

1. Increased potential for accomplishing their mission
2. The belief that people are their most important asset
3. The existence of perpetually turbulent times
4. The changing nature of work
5. Changes in workers

The NAPA report expands on the five factors. In a study of 700 publicly held firms, Mark Huselid of Rutgers University found a link between progressive HRM policies and superior financial performance. Examples of progressive HRM policies include flexible and compressed work schedules and longer customer service hours.

In the article, *Strategic Human Resource Management*, Robb Van Cleave, IPMA-CP, SPHR, Director of Employee and Administrative Services for Wasco County, Oregon, says there are six areas where an HR team can make a difference by taking a strategic approach: (1) by aligning organizational and human capital strategies, (2) improving performance management, (3) managing costs, (4) creating a future-ready workforce, (5) creating an ethical culture, and (6) planning for and managing labor relations.

At first blush, these seem like simple propositions yet, upon further reflection, these six categories encompass a great deal. Aligning organizational and human capital strategies, as defined by Van Cleave, is something most HR organizations are likely already doing. One example he gives is staffing a citywide call center and the need to recruit, retain, and adequately train the staff. This could be considered both traditional human resources work and strategic. The strategy piece likely comes in when HR is included in the discussion on which direction to take by offering advice and input on what type of staff is needed and the feasibility of providing that staff.

Improving performance management is listed as number two above and Van Cleave says that there is no one-size-fits-all approach and then lists 12 different factors that must be in any performance management system, they are too detailed for this paper but include the goals of most effective performance management systems: that they integrate the values and beliefs important to the organization, that appropriate measures are used, that those measures distinguish between good and bad performers and that managers be trained effectively to use the system.

Managing Costs is number three and Van Cleave says this is an area where HR can make a real difference and points to controlling the cost of health care and similar benefits. He also suggests that HR should look to other ways to control costs such as outsourcing. The September 2006 IPMA-HR EquaTerra research series survey on "Trends in Outsourcing and Shared Services" conducted in 2006 revealed that outsourcing is an often-overlooked tool for improvement and transformation in the public sector but that shared services is more common and is also effective.

Reilly and Williams caution against outsourcing core services and advise organizations to fully consider which functions to outsource and the impact of those decisions. The U.N. World Public Sector Report refers to outsourcing as a "double-edged sword." The report cautions against attributing the success of outsourcing to the wrong causes, especially where savings are primarily due to less favorable pay and working conditions for private sector workers compared to their public sector counterparts.

Number four, creating a future ready workforce, is probably most easily recognized as a strategic function. Much has been written about the aging workforce, with some 78 million baby boomers approaching retirement age in the U.S. and only about 40 million in the generation behind them, staffing shortages and the consequent knowledge loss are likely to occur.

The IPMA-HR EquaTerra Survey on the Aging Workforce, released in February 2007, found that the impact on public sector employers is likely to be great. "Sixty-nine percent of organizations report that between 1 and 25 percent of the workforce is currently eligible for retirement and 26 percent report that between 26 and 50 percent of the workforce is currently eligible," said the report. "Clearly, these ranges are broad and will have a different impact according to the size of the organization and where eligible employees work within the organization. However, both figures demonstrate a sizable portion of the public sector workforce that is eligible to retire."

Strategic planning for the workforce of the future is not limited to the aging workforce. The issues go beyond mere staffing shortages and include the loss of institutional knowledge, a lack of leadership and the need for succession planning to fill leadership gaps, the need to increase the skill levels of entry level workers and addressing increased diversity in the workforce.

The final two areas identified by Van Cleave are creating an ethical workforce and planning for and managing labor relations. HR has an important role in creating an ethical workforce says Van Cleave because one instance of unethical behavior can ruin the organization's reputation and erode public confidence.

Van Cleave argues that HR can create a culture in which integrity is a priority. Labor relations, always an important function of HR is highlighted by Van Cleave because of the relatively high level of unionization in some countries.

Is it enough to be strategic? Reilly and Williams argue that HR must not only have a seat at the table but that they must also work to improve the quality of the strategic process. This is because organizational strategy making is not always rational and it is not always done well. Further, Reilly and Williams argue that HR must also be active in the political and informal arena or they risk not being part of the inner circle. Often times decisions are made on an informal basis and HR must work to form alliances and partnerships within the organization that allow them to have a real impact.

BARRIERS TO STRATEGIC PARTNERING

Once it is agreed that HR has a role in organizational strategic planning the question becomes how to get there. If it were easy, every HR department would be functioning strategically, cooperating with other line departments and senior leadership to accomplish organizational goals.

As mentioned above, research by IPMA-HR and EquaTerra reveals that nearly half of top level HR practitioners in the IPMA-HR membership do not believe they are viewed as strategic partners and many do not have any type of written strategic plan.

David Ulrich, in *Human Resource Champions*, identifies five challenges to overcome in becoming a strategic partner:

1. Avoid Strategic Plans on Top Shelf
2. Create a Balanced Score Card
3. Align HR Plans to Business Plans
4. Watch out for Quick Fixes
5. Create a Capability Focus within the Firm.

Ralph Christensen, author of *Roadmap to Strategic HR* (2006), identifies 10:

1. It is hard to balance valuing the past with the need to change
2. Some within HR will love the changes, and some will hate them
3. The new role of HR can be threatening to some line managers
4. Line, HR and employees do not share a common view of human resources
5. Some managers don't make the connection between people and business results and are unclear about the role of the HR department
6. Many line managers are averse to examining process
7. Diversity is not a work process but rather a subset of all aspects of human resources
8. HR skill gaps cannot be ignored
9. The integration of generalist, specialist, and service center roles is very difficult
10. Communication within HR is often weak

And Flozenia Pieterson, an industrial psychology master's student from Stellenbosch University, in a 2002 article published in Workinfo.com, adds one from the perspective of South African companies. That ambiguity in the role of human resources managers can result in line managers and executives taking over some of the people management functions. She notes that this encroachment is only a problem when HR lacks the skills or credibility to perform their duties competently.

Ulrich's first barrier, not putting strategic plans on the top shelf, really encompasses many of Christensen's barriers, because putting the plan on the top shelf is what happens when people resist change and feel threatened. "Becoming a strategic partner," says Ulrich, "means turning strategic statements into a set of organizational actions."

Christensen's barriers also include the evidence turned up by the IPMA-HR, EquaTerra survey results – that HR is not always viewed as a strategic partner. For instance, if line managers are threatened, if line managers and HR do not share a common view of human resources and if line managers are averse to examining process, then HR may remain locked into a transactional, administrative role and not be provided the opportunity to perform the strategic function.

BECOMING STRATEGIC

What can HR professionals and departments do in order to have a role in organizational strategic planning? Given that surveys show HR is not always seen in this light, it appears that at least one part of the effort is a public relations campaign to show that HR can and will contribute to the success of the overall organization.

On an individual level, HR practitioners can show they have the necessary human resources and business skills to succeed in a top management role. This can be done through certification and continuing professional development.

IPMA-HR recognized the need for individual professional development and created the Competency Model which outlines the roles of an HR professional: a change agent, a business partner, leader and HR expert and provides training in these areas. The IPMA-HR certification program is further designed to provide public sector HR professionals with knowledge and recognizable credentials.

On an organizational level, if HR is going to be perceived as strategic and indeed make a strategic contribution then it cannot wait for a mandate from line managers and senior executives who may not perceive their value. Instead, HR professionals must begin to act in a strategic manner by creating strategic plans and addressing issues that are clearly within the realm of HR such as workforce planning.

An article, "A Guide to Strategic Human Resource Planning," on the website, Workinfo.com is very useful and the authors provide some basic advice for beginning the process. "The HR strategy will need to show that careful planning of the people issues will make it substantially easier for the organization to achieve its wider strategic and operational goals." The authors suggest that HR look for the right opportunity to present a case for developing an HR strategy and that giving the strategy a strong practical slant may help gain management support. The authors suggest that it is important to build "early, or quick wins" into the plan.

Opportunities to present a strategic plan could arise when there is a major new internal or external initiative and sometimes even negative news, for example dissatisfaction with a program or service, could provide the opportunity to present a strategic plan, suggests the report.

In the Guide for Effective Strategic Management of HR by NAPA, the report suggests that the planning cycle should be short and simple. Individuals from all levels within the organization should be included because those at lower levels are often the most aware of the "icebergs" that management needs to take into consideration.

And, the process must involve individuals from all departments, HR cannot do it alone and on the other hand if HR is left out a critical piece of the puzzle will be missing. The report revealed that the greatest obstacle to major change is the belief that company-wide program sponsored by one office, such as HR can make it happen.

Strategic human resource planning should also be short-term, with efforts measured in days and weeks, not months. If the planning process takes too long, the environment can change, making action even more difficult, says Ralph Christensen in *Roadmap to Strategic HR* (2006). Leaders should recognize that there is no perfect solution and err on the side of action.

And, NAPA recommends that the plan be simple with no more than five or six key objectives and each one only a single sentence that clearly states what needs to be accomplished in quantitative or qualitative terms. And, the report cautions readers to remember that it is not a one-time effort but a continuous one.

In their conclusion, Reilly and Williams identify nine areas where HR teams in organizations should concentrate in order to be a strategic business contributor. Those areas are:

1. Better defining the role of the function and, in particular, in its relationships with line management and employees
2. Being clearer on the key areas of HR activity
3. Designing an operating model that combines cost efficiency, through obtaining economies of scale and working with well-constructed processes, and providing a quality service, which meets customers' needs
4. Limiting the risks of service segregation and poor communication, by more clearly specifying the nature of the key roles within the function the relationships between them
5. Taking care to invest in technology where it supports helpful standardization, cuts costs and improves service, but not in such a way or at such a pace that it becomes a case of the tail wagging the organizational dog
6. Choosing to outsource when there is a clear cost or quality advantage
7. Building up functional capability through training, development and improved career management in order to fulfill existing roles and build up expertise for the future
8. Making sure that the function is measuring the right things for the right reasons, attributing responsibility to those that can make a difference
9. Evaluating the results of any people management policy or practice initiatives to aid future learning

A Case Study: Fairfax County Virginia

Fairfax County, Virginia is located near Washington, D.C. and is a large and growing county of nearly one million people. In 2003, the county executive mandated that all agency heads develop a strategic plan. HR created a leadership team of 15 individuals, including management and non-management. Sub groups were formed to:

1. Develop economic scenarios,
2. Meet with agency leaders to assess their priorities and expectations for HR
3. Research best practices; and
4. Recommend structural changes within the HR department to align the priorities of the department with those articulated by their customers.

The department of human resources (DHR) began the process by conducting training and informational sessions for its employees. Next they oriented employees to the county's mission and vision statements and used these as a guide throughout the process. They reviewed the organizations core values and behaviors, conducted an environmental scan and determined outcomes, strategies and action plans and established time frames.

The four identified outcomes are:

1. DHR operating as a strategic partner with its customers.
   a. Strategy: Balance DHR's competing roles as a regulator and a service provider
   b. Strategy: Expand DHR's knowledge and understanding of our customers' business to better meet their needs
2. Develop and support a high performance workforce.
   a. Strategy: Collaborate with our partners in developing and promoting programs, products, services and systems to support a high performance organization.
3. Being a key communicator, to our customers, partners and the community at large.
   a. Develop a communication plan to facilitate information exchange with our customers and partners.
4. Embracing continuous improvement
   a. Strategy: Continually evaluate programs, products, services, and systems to improve efficiency and discontinue those that add minimal value.
   b. Strategy: Leverage new and exiting technology to meet our customers' needs.
   c. Strategy: Develop and promote an organizational culture and structure that unifies the department improves customer service.

Each strategy is supplemented by several initiatives that were then included as part of an Action Plan Sheet Timeline with dates for completion. HR Director, Peter Schroth, said that the program had a three year time frame and that most of the initiatives were completed by June 2003, or still in progress. In 2005 and 2006 the HR strategy team met with senior leadership to discuss and update the strategic plan. New initiatives were identified, including items such as succession planning and workforce planning.

In the area of succession planning the county worked with an interdepartmental team to develop and implement succession-planning models in five pilot agencies. Revisions were made based on the pilot and software is being purchased to expand the program to other departments. The county plans to implement the succession-planning model countywide in 2007 and 2008.

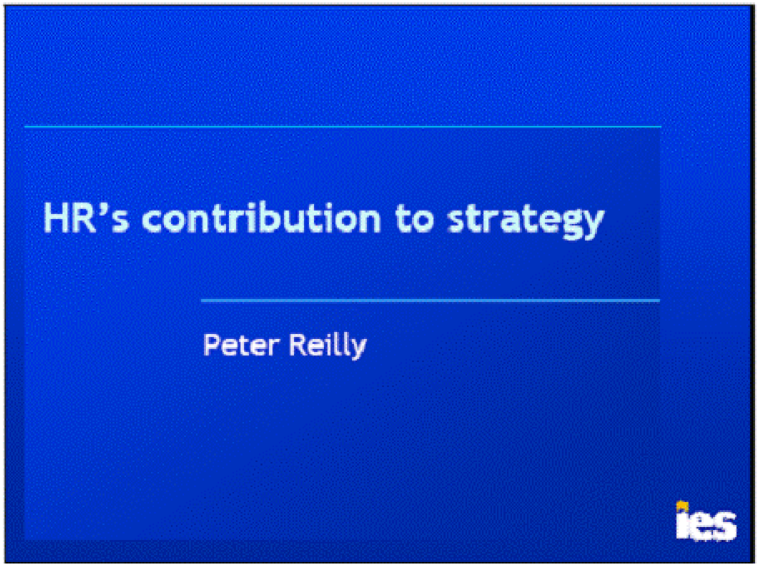
In the area of workforce planning, the county in 2005 and 2006 conducted and supported comprehensive review of a number of class series such as Trades Group classes, Information Officers, Engineers and others, and supported reorganization efforts at various levels of the organization, supported pilot language stipend program and modification of administrative assistant series to provide greater upward mobility. For the coming two years the DHR plans to review the current workforce planning process and implement major studies in the areas of engineering and financial.

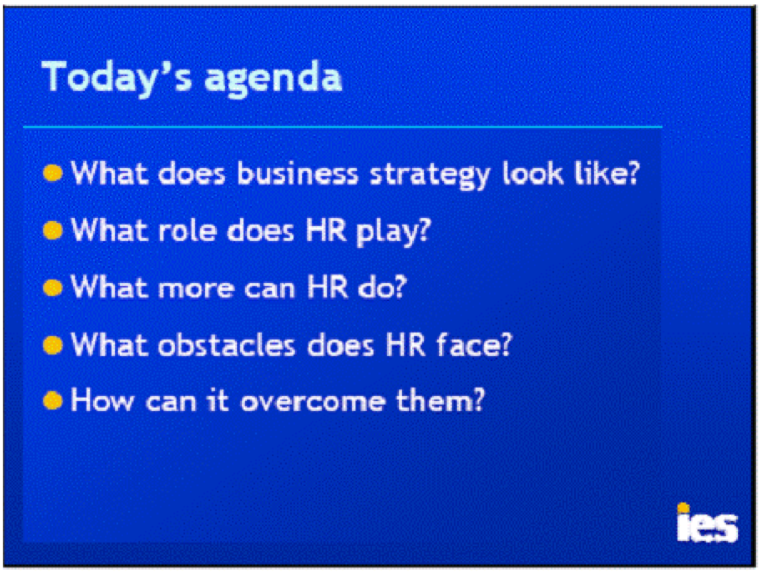
The county is working on five other initiatives in the areas of employment (recruitment/training), compensation, training and organizational development, other HR initiatives and HR technology. Peter Schroth said, "All in all it's been an exciting, focused and extremely productive engagement, and the positive feedback from our customers has been motivating and invigorating."

Questions:

1. What are the key strategic HR challenges facing your organizations and how are you addressing them?
2. Is the HR department viewed as a strategic partner within your organization? What barriers have you experienced?
3. Does the HR department within your organization focus primarily on transactions or HR strategy? What percent of time is devoted to transactional work as compared to HR strategy?
4. Have you outsourced any HR functions or moved to a shared services delivery model? If so, why did you do this and which functions are you including? What have the results been?

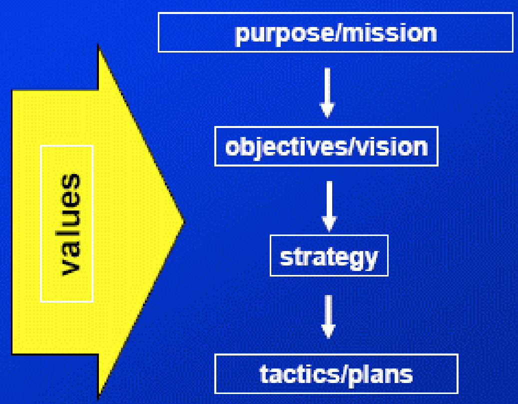
四、討論議題－引言報告簡報資料





Theories on strategy making

Textbook strategy making



Textbook *intended* strategies

- a deliberate and purposive approach
- based on analytical understanding
- weighing up the options
- based on a rational appraisal of the environment
- action follows strategy
- in a linear process
- driven from the top

Emergent strategies

- occur unintentionally
- through small incremental steps
- as organisation “feels” its way
- post hoc rationalisation of objectives
- strategic actions as likely at operational level as from top
- implementation loops round to affect direction

ies

Political strategies

- are product of ideologies of individuals or groups
- decision making informal & characterised by bargaining
- power & authority important to outcome
- change requires cultural shifts

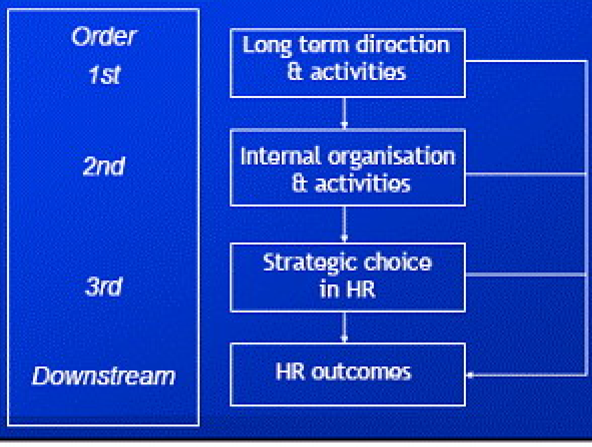
ies

How does HR contribute?

- Third order involvement

ies

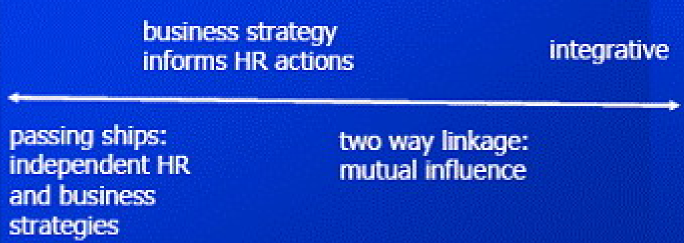
The Purcell/Ahstrand view



How does HR contribute?

- Third order involvement
- Operationalises business strategy
- Provides separate people thrust
  - Connected with organisational aims
  - Disconnected: HR best practice model
- Is an integral part of business strategy

Types of linkage between business and HR strategy



Different models of strategic alignment

Strategies can be seen in terms of:

- Organisational complexity
- Stage of organisational development
- Organisational core competencies
- Organisational purpose
- Organisational business positioning

Linking business & HR strategy

Factors that affect this linkage:

- planning process
  - Formal/informal
  - Deliberative/emergent
- degree and timing of HR involvement
- extent of challenge permitted
- legitimate areas for HR input

Characteristics of strategic HR

- A planning approach to resources
- A philosophy underpinning HR policies
- Seeing people as a competitive resource:
  - a Human Capital view of people management
- HR's alignment with
  - high level business positioning
  - core competencies
  - organisational structure

The desired outcome

- people management is a high organisational priority
- business strategy informs HR policies
- HR policies are internally consistent
- resources are planned & allocated in line with business need
- line managers take responsibility for people
- HR facilitates management decisions
- HR acts to prevent managers damaging the organisation

ies

Making the case: what HR can deliver

- Improved utilisation of talent
- Higher productivity
- Reduced costs
- Better service delivery
- Organisational integration
- Aligned culture and organisational values
- Greater employee engagement
- Stronger employee proposition

etc.

ies

Problem areas

- Human capital not recognised as a source of advantage
- weak organisational leadership
- poor people management skills
- business strategy poorly defined
- there is little forward planning
- people resources assumed to be unlimited, free or fully trained
- resources are hoarded & not shared

ies

HR's own problem areas

Obstacles to success:

- Time
- Capacity
- Focus
- Capability
- Positioning
- Organisation
- Relationships. Devolution not working. The villains:
  - HR - not letting go
  - the line - not taking it up
  - senior mgt - sending wrong signals

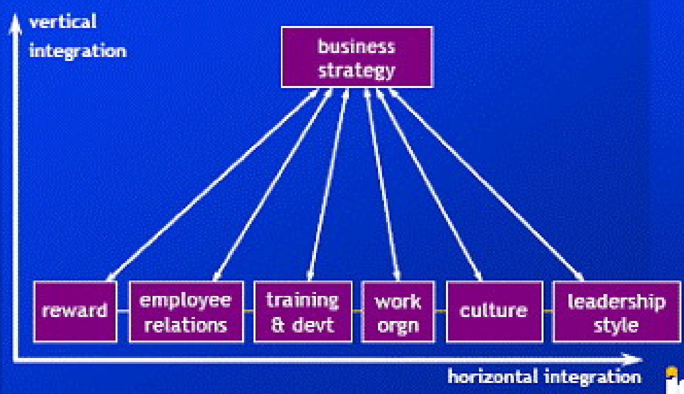
Results

- inadequate HR service performance
- concentrating on low value tasks
- HR policies are disjoined & inconsistent
- they serve functional not organisational needs
- weak functional leadership
- poor internal reputation
- Human capital not exploited, developed

Solutions for HR

- Demonstrate the value of people
- Get involved in the business planning process
- Ensure the HR strategy is derived from or integrated with the business plan
- Look at HR policies horizontally as well as vertically

HR strategic integration



Solutions for HR

- Demonstrate the value of people
- Get involved in the business planning process
- Ensure the HR strategy is derived from or integrated with the business plan
- Look at HR policies horizontally as well as vertically
- Ensure people management policies address real business needs

Solutions cont.

- Develop an achievable workforce plan that takes account of:
  - skills as well numbers
  - internal & external challenges
  - operates over a reasonable period
- Encourage a sense of corporacy - prizes for working for common good
- Work out an effective devolution deal
- Clarify HR's role & monitor functional effectiveness

Multi dimensional measurement: HR and PM

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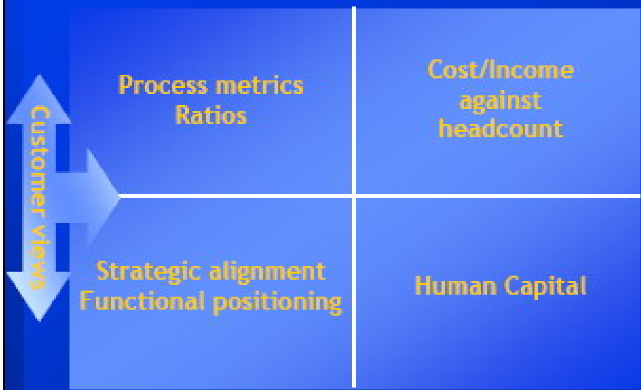
Multi dimensional measurement: HR and PM



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Measuring performance (1)

- Cost efficiency (against budget/ target)
  - payroll
  - department
  - headcount (incl.... ratios)
  - productivity (& quality)

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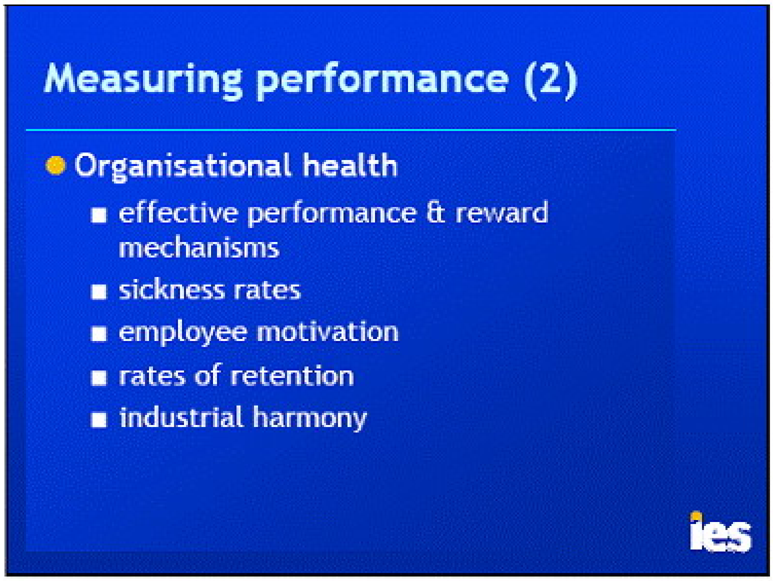
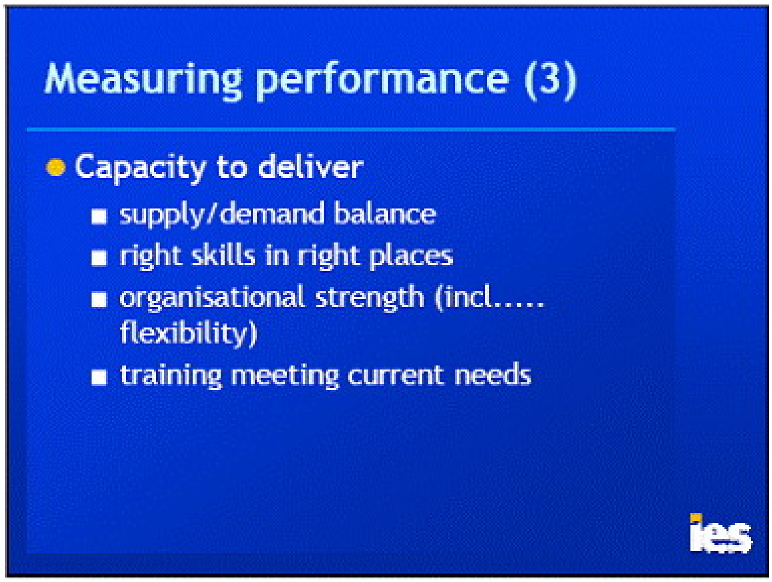
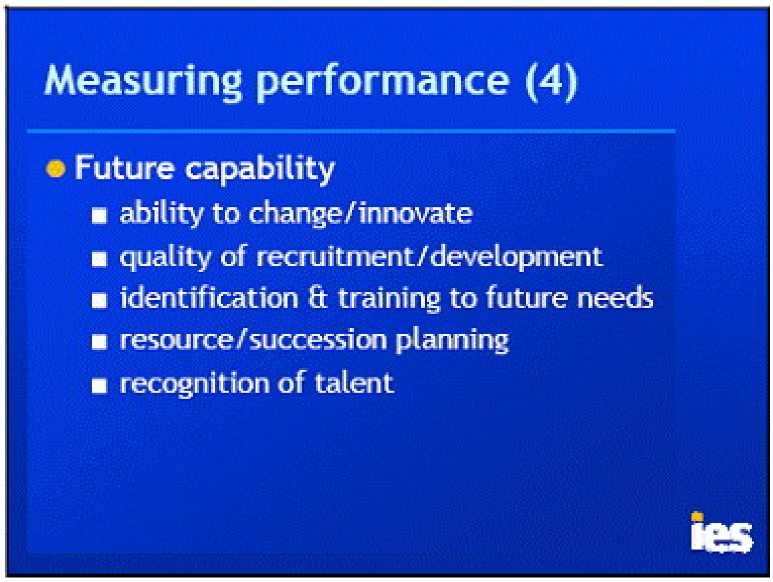

Measuring performance (2)
Organisational health
effective performance & reward mechanisms
sickness rates
employee motivation
rates of retention
industrial harmony
ies


Measuring performance (3)
Capacity to deliver
supply/demand balance
right skills in right places
organisational strength (incl….. flexibility)
training meeting current needs
ies


Measuring performance (4)
Future capability
ability to change/innovate
quality of recruitment/development
identification & training to future needs
resource/succession planning
recognition of talent
ies


Further information:
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Further contact:
peter.reilly@employment-studies.co.uk
.....thank you
ies

五、討論議題二參考資料

Generational HR Issues

The fact that as many as four generations occupy the workforce has broad implications for human resources professionals. In the short-term, the question is how to manage the different expectations and communication styles of such a diverse group. For the long-term, HR and senior management must address the looming retirement of the largest generation – the baby boomers.

Dennis Doverspike, Ph.D. ABPP, a professor of psychology at the University of Akron, Ohio, and Alison O'Malley, a graduate student at the University, in their article *When Generations Collide,* identify the four generations and argue that when it comes to the workplace, people are more likely to be influenced by their career stage than by their generational culture.

The four generational cultures are:

1) Traditionalists, born between 1922 and 1943, the youngest are now over 60 and most lived through the Great Depression and World War II, various articles and reports describe this group, also called the silents, as loyal, highly dedicated and risk averse.
2) Baby Boomers, born between 1946 and 1964, they lived through the Vietnam War and the U.S. Civil Rights movement and tend to be optimistic and success-oriented; they will begin retiring in large numbers in 2008. Other reports describe this group as open to change and valuing work over personal life while still being responsible for the "me generation" and showing a sense of entitlement in the workplace.
3) GenXers born between 1965 and 1980 grew up during a time of decreased wealth in the U.S. and tend to be focused more on individual growth than with employer loyalty. Several articles describe this group as the slacker generation, questioning authority and being independent. This group also has strong technical skills.
4) 9/11s (generation Y, generation next) born between 1980 and 1988 were in school during the terrorist attacks of 9/11 and are seen as having greater technological savvy than prior generations. They are also described as team-centric having come of age in a time when group activities were emphasized while boomer parents worked.

Doverspike cautions that individuals often do not fit neatly into categories. Some people belong in a different generational culture than their birthday suggests. Others will have grown up with different experiences, perhaps in another country, and will not identify with the descriptions above. The categories are most useful as a way of thinking about the different groups in the workplace.

Another approach to generations in the workplace, suggest Doverspike and O'Malley, is the career-stage theory which divides workers into the following four categories: (1) Trial (under age 30) where workers are looking for a good career fit and learning about their own skills and abilities, high emphasis on leisure and self-reliance; (2) Stabilization (30-45), workers are concerned with career advancement and home life, (3) Maintenance (45-65), workers seek to maintain status will be working at maximum performance levels and begin considering other careers and retirement, (4) Retirement (65 and older), workers are planning their retirement from their main career.

Doverspike and O'Malley say that their research suggests that the career stage perspective is probably more accurate than the generational perspective but that it is important to take cultural generational differences into account. Yet a third perspective, proposed in the article is an "Interactionist" theory that combines the two described above and refers to the movement of generations through the work stages, and proposes that the critical feature is how the group as a whole addresses the different stages.

Doverspike and O'Malley end their article with a discussion of age, and what it means to be old. When we talk about generations in the workplace Doverspike cautions that while we know the demographics now, they may change depending upon advances in science and medicine that keep older workers active longer. Moreover, the impact of immigration may change the workforce as well as our opinions of aging and what it means to be old. All of these have implications for the workforce of the future.

The implications of Doverspike's and O'Malley's articles for HR are many. For instance, the career stages theory means that HR should consider the implications of various policies on the workforce, not just how different generations react to work.

For instance, those in the trial stage of their career are more likely to be concerned with training opportunities and advancement than retirement benefits. Those in stabilization stage might be concerned with work-life balance issues and the opportunity to work a flexible schedule. The maintenance workers might look first to benefits when assessing a new job.

Human resource practitioners who are aware of these factors can contribute a great deal to their organizations. For instance, when considering pension and benefit plans, HR might want to conduct an environmental scan to find out how important this issue will be to workers, how many workers will be immediately impacted and whether or not a change will have the desired result. For instance, cutting back on health or pension benefits might have the unintended consequence of encouraging older workers to find jobs elsewhere. Creating a family-friendly work environment might help attract mid-career professionals.

Generational issues transcend basic HR policy making though and expand into the everyday workplace. Differences between generations can be as problematic in the workplace as ethnic or gender differences. In an article on the American Management Association's website, *Building Bridges Across the Generation Gap*, issues relating to younger supervisors and older workers are discussed.

One of the most difficult aspects of managing older workers, says the report, is the ability of the younger supervisor to gain respect. Older workers tend to believe that the younger generation has a lax work ethic, reports Robert Wendover, managing director of the Center for Generational Studies in Aurora, Colorado, who is quoted in the article.

Wendover says one generational difference is that baby boomers tend to socialize more in the office; having worked in an era when socializing was an expected part of the job. A younger manager might not take the time to talk, leaving the older worker feeling that his experience and words of wisdom are not valued. Wendover suggests that younger managers take time to listen to older workers and not to view chatting as a waste of time. Valuable experience and insights can be shared in these conversations.

Another difference is in technology. The younger the worker, the more likely he or she is to be technologically savvy, having gone to school with computers and gadgets that older workers did not. Wendover also points out that resentment is the third reason cited by survey respondents when addressing older worker/younger supervisor issues. Wendover suggests that younger supervisors try to empathize more and that older workers try to utilize their knowledge by conducting training and mentoring.

In addition to communication and supervisory issues, generational differences in the workplace can lead to discrimination, intentional or not. The U.S. Government Accountability Office (GAO) issued a report in February 2007 on a forum "Engaging and Retaining Older Workers."

The report, which describes the outcomes of a December 2006 forum on the topic, stated that one of key obstacles to employing older workers is the negative perception of older workers' skills and abilities. Forum participants said that many organizations do not value the experience of older workers and often fail to realize that much of the organization's institutional knowledge resides with these individuals.

Forum participants elaborated on the negative perceptions: employers believe older workers will produce lower quality work; they will be less productive because of declining health and may be less flexible. Other barriers to engaging and retaining older workers might be based on the fear of age discrimination lawsuits and the potential cost involved with health care benefits.

In order to address these concerns, GAO and forum participants recommend a national campaign to change the mindset about working at older ages. Participants also recommended a national discussion about what it means to be old.

In terms of actual discrimination, the U.S. passed the Age Discrimination in Employment Act (ADEA) in 1967 and routinely fields roughly 16,000 charges of age discrimination per year. The ADEA protects workers aged 40 and over.

Having described some of the negative aspects of managing four generations in the workplace, it may seem that there are no positives. But, just as ethnic, racial and socioeconomic diversity may make an organization stronger and more responsive, so too might the generationally-diverse workforce where individuals can learn from each other. Customers too may benefit by having a diverse group of workers who can respond to different challenges.

No discussion of generational issues would be complete without a discussion of the impact of generations on the future workforce. Seventy-six million baby boomers in the U.S. are expected to start retiring later this decade. With only about 40 million workers behind them, the impact on employers is expected to be huge – a tsunami – in the words of David Walker, Comptroller General of the U.S.

And it is not only the U.S. that will be affected. The U.N. World Public Sector Report: Unlocking the Human Potential for Public Sector Performance contains a chapter on Socio-Economic challenges facing HRM and describes the problem. "While in 1950 roughly half of the world population was older than 23 years, it is projected that by 2050, half of the population will be concentrated above 36 years."

In places such as China and Europe, improved health care has led to greater longevity while at the same time, declining birth rates means a shrinking workforce. In some developing nations, says the report, such as India, increased longevity is combined with an increased birth rate, so the working population continues to grow.

Still another factor affecting the age of the workforce is HIV/AIDS. The U.N. report says this disease is the fourth most common cause of death in the world and the first in sub-Saharan Africa. Because the disease affects younger workers in the most productive years, many sub-Saharan countries are dealing with worker shortages now and in the near term, instead of later. For instance, by 2020, the report predicts that the workforce in the eight countries most affected by HIV/AIDS will be 20 percent smaller than it would be without the disease.

Because nearly all countries will have to address worker shortages caused by the aging population, or in some cases the absence of an entire generation lost to HIV/AIDS, organizations should begin planning now, if they have not done so already.

A February 2007 EquaTerra IPMA-HR research study on the aging workforce, showed that there is not a great deal of concern or action in this area, at least among HR directors and deputy directors in the U.S. "Respondents were asked to rank management's concern on the potential impact of the aging workforce on the organization's ability to achieve overall mission. On a scale of one to five (1 being low/not urgent concern and 5 being high/urgent concern) the average response rank was 3.2. Organizations are about the middle of the road when considering the potential impact of the aging workforce."

"It's apparent that many organizations either lack information about their own workforce or, worse yet, are not sharing it with their own management. It is difficult to be concerned and proactive about a problem if an organization is largely unaware of the issue," notes Glenn Davidson, Managing Director of Public Sector for EquaTerra. When asked about concern for additional areas such as recruiting, staffing, succession planning and the capture of institutional knowledge average rankings were almost the same.

It appears that many organizations are simply hoping that technology or the return of retirees to the workforce will take care of the problem. However, the IPMA-HR/EquaTerra Survey cautions that an over reliance on technology could lead to disaster because there is little basis in fact to show that it will compensate for the worker shortage.

And, don't count on retirees returning to the workforce either, cautions John Lavelle in his article, Working Beyond Retirement: A Cassandra Viewpoint. Lavelle describes the experience of the World Bank in its efforts to hire retirees as contractors. A number of years ago the World Bank undertook a significant employment redesign that hinged on recently retired workers returning as consultants. At first, all was fine and about 75 percent of recent retirees returned following retirement. But, then a strange thing happened. Four years later, the number of retiree consultants had dwindled to just 5 percent. Why did this happen?

Lavelle sets out five propositions. First, he suggests that retirees have a much narrower field of marketable expertise than originally believed. Organizations propel workers into other areas, such as project leadership and management, and these skills are not necessarily valuable in the post-organization life. A second reason may be that the shelf life of these skills is short because they are no longer with the organization and are not included in new ways of doing things.

The more time passes, the more changes occur between the way the retiree and the organization conduct business. Third, the social contacts and networks within the organization disappear rapidly, isolating the retiree from necessary contacts. Some retirees also fail to manage the transition from worker to consultant because the skill sets are not the same.

Consultants must be very organized and manage their own time, without benefit of a schedule, an office and assistants. And, on a final note, Lavelle cautions that these difficulties may be exacerbated once GenXers take over leadership roles, leaving baby boomers in the unpleasant position of reporting to former subordinates.

If technology and re-hiring retirees is not going to solve the coming workforce shortage, what can HR do?

This is not a new problem. The war for talent is not new. Public employers have always had to compete with private employers for top-notch employees. The situation may be more dire, because overall there will be fewer workers but many of the proposed solutions are familiar.

Public employers must attract candidates. This can be done in a variety of ways and probably should be approached in a variety ways in order to find the best possible solution.

- Become an employer of choice. Public sector employers must examine their strengths and weaknesses and highlight those factors, be they generous retirement benefits or a good working environment and use these to attract new candidates. In the discussion above relating to the needs of different generations of workers, many of those HR policies can be used to attract candidates.
- Branding. Become the employer of choice and

then let everyone know. Public sector is often behind the private sector when it comes to marketing and self promotion.

- Be aggressive in recruitment efforts; look for new avenues, new universities and schools. Think of places where workers might be and go to them.
- Consider whether or not certain functions can be shared across agencies or even municipalities. Fire departments often respond to emergencies outside their jurisdiction, allowing for effective use of resources. Can any functions be performed in a similar way, for instance technical support?
- Consider outsourcing as a potential tool to address a workforce shortage.
- Plan

A workforce plan that includes an environmental scan of current talent, a gap analysis to determine what types of work will need to be done in the future and whether or not the human capital exists to do it, followed by focused suggestions on how to obtain that human capital is a critical first step in addressing the potential workforce shortage.

Succession planning is another crucial piece to the puzzle. Institutional knowledge may be lost when senior employees leave an organization. How to transfer that knowledge to younger workers and train new leaders will be a key challenge for human resource professionals going forward.

As part of a 2005 research study jointly sponsored by IPMA-HR and CPS Human Resource services, an integrated approach to developing a leadership pipeline was recommended. The integrated approach addresses long-term developmental needs of workers at many levels and across the employee lifecycle.

The study identified three consistent priorities in terms of future leaders' developmental needs: 1) knowledge and understanding outside the employee's own department or functional area, 2) knowledge and understanding at the enterprise level, and 3) a broad network of relationships.

Case studies included in the report showed that the developmental needs are being met through action learning and other projects, using rotational and/or developmental assignments, utilizing data-driven development based on assessments, feedback and other sources, and involving senior leaders.

The study offered the following eight recommendations for those organizations that want to build their leadership pipeline:

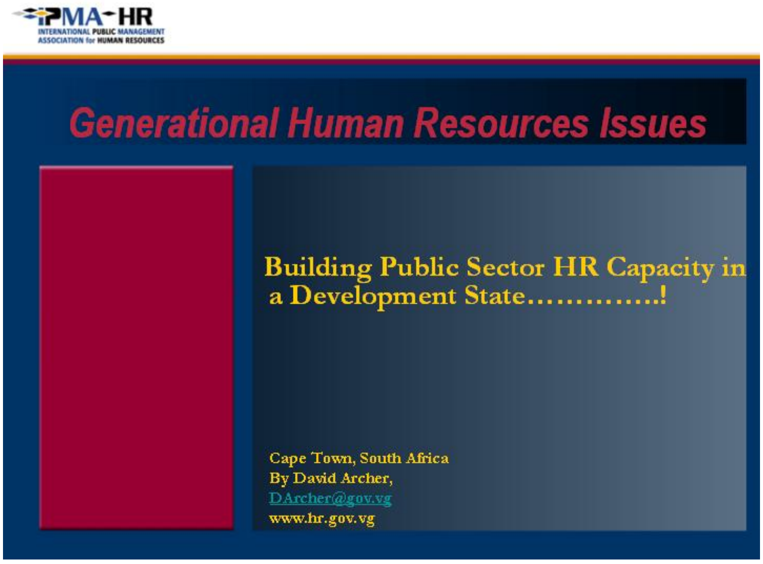
1. Make workforce planning the foundation
2. Engage senior leaders
3. Identify competencies leaders will need
4. Assess developmental needs
5. Create a leadership development strategy
6. Institutionalize the process of Individual Development Plans
7. Tap into the talent pool of retirement-eligible employees and retirees
8. Do not let cost concerns keep your organization from building the leadership pipeline

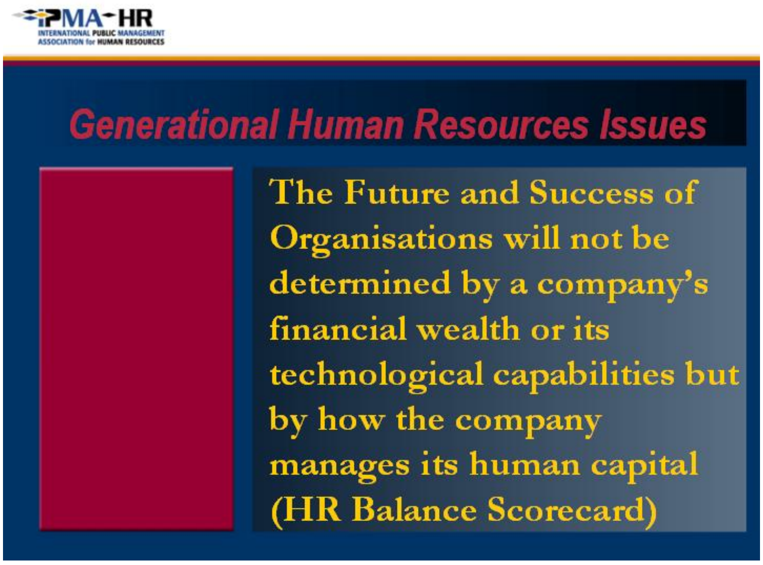
As John Lavelle points out in his article, no one knows yet whether or not the retirement wave will come at once or in ripples, but either way, it will pay to be prepared.

Questions:

1. What generational issues have you experienced in your workplace?
2. How have you addressed them?
3. Do you anticipate a workforce shortage? If so, in what occupations and what strategies will you use to address them?
4. Do you have an aging workforce? If so, are you taking any steps to retain current employees or to rehire retirees?
5. Has your organization developed a leadership pipeline? If so, what components are included and what have been the results?

六、討論議題二引言報告簡報資料





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Generational Human Resources Issues

OPPORTUNITIES!

1. Human Resources Professionals to promote people as the key resource towards organizational success.

2. Human Resources Professionals to continue being strategic business partners.

3. Our Organizations to compete, excel and lead through Strategic Human Resources Management.

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Generational Human Resources Issues

Valuing Human Resources as the most critical component to organizational success requires organizations to understand how to get the best out of its people.

(Creating a Strategic Human Resources Organization)

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Generational Human Resources Issues

Whose job is it to ensure that people are recognized as valuable contributors to the organization?

HUMAN RESOURCES PROFESSIONALS!

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Discussion Outcomes

1. Generation Cultures.
2. Generational Issues.
3. Role of HR as a Strategic Business Partner.
4. Generational Issues Affects on Recruitment, Retention, Salary and Incentives, Retirement.
5. Key to Success within a diverse generational workforce

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Generational Cultures

Traditionalists

- Born between 1892 and 1943
- Strong traditional values
- Loyal, highly dedicated
- High moral standards
- World War II

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Generational Cultures

Baby Boomers

- Born between 1946 and 1964
- Optimistic, success oriented
- Challenge traditional values and moral standards
- Flexible, Open to Change
- Value work over personal life

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Generational Cultures

Generation X

- Born between 1965 and 1980
- More focus on individual growth than employer loyalty
- Independent
- Educated
- Interested in multiple career choices

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Generational Cultures

Generation Y

- Born between 1980 and 1988
- Team-Centric
- Technologically savvy
- Educated
- Use to instant gratification
- More likely to have multiple professions and careers

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Generational Cultures

Traditionalists	*Baby Boomers*	*Generation X*	*Generation Y*
Born between 1992 and 1943	Born between 1946 and 1964	Born between 1965 and 1980	Born between 1980 and 1988
Strong traditional values	Challenge traditional values and moral standards	More focus on individual growth than employer loyalty	Team-Centric
Loyal, highly dedicated	Optimistic, success oriented	Interested in multiple career choices	More likely to have multiple careers

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Generational Culture or Career Stage?

When it comes to the workplace, people are more likely to be influenced by their career stage.

(Dennis Doverspike, Ph.D. & Allison O'Malley.

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Career Stages

1. Trial (under 30)looking for good career fit and learning about personal competencies
2. Stabilization (30-45) career oriented through advancement
3. Maintenance (45-65) Maintaining status and working at maximum potential
4. Retirement (65 and up) Retirement from main career.

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Old Verses Young Workforce

- ✓ Organizations tend to group workers in two broad categories, old and young.
- ✓ The perceptions between the two categories can damage the success of the Organization.

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Generational Human Resources Issues

- ✓ The composition of all workforces change daily based on social, cultural and economic circumstances.
- ✓ Globalisation has led to a change in workforces throughout the world.
- ✓ Organizations that do not plan around changes in the workforce; differences in generational needs, differences in career stages, will eventually lose their competitive advantage.

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HR as a Strategic Business Partner

- ✓ HR Professionals must study trends within the internal and external environment.
- ✓ HR Professionals must be able to make a qualitative and quantitative arguments for managing people well.
- ✓ HR Professionals must be equipped with solutions based on the changing workforce to ensure the continuation of organizational success.

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Recruitment

- Recruitment Strategies must be flexible and adaptable to the changing working environment and professional make-up.
- Where, When and How to Recruit?
- Electronic Media, Job Fairs, Career Drives, Succession Planning?

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Benefits and Salaries

- HR Professionals must be excellent Organizational Chefs- offering a variety of benefits and salary incentives geared to attract and retain varying needs of employees.
- Sign on Bonuses, Performance Pay, Team Rewards, Medical Insurance Coverage, Varying Allowances.

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Retirement

John Lavelle, in his article on working beyond retirement was pointed, real and deserving of close attention.

- Can we rely on retirees to provide continued support in an environment that is rapidly changing, requiring additional and continuous upgrading of skills?
- What do our retirement or pension system promote? Longevity? Loyalty?

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Retirement

- Does it discriminate?
- Is the Organization preparing persons to leave or embracing their continuation?
- What effect does the retiring population have on the sustainability, growth and success of the organization?

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Retention

- An Organization's Plan for Retention can only be effective if the plan was motivated by its employees.
- Promoting a culture of open dialogue, staff involvement in decision making and success through people creates the best chance for adaptability and resiliency (retention)

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HR Plan for the Diverse and Changing Workforce

1. Promote Communication; Listen, and Respond
2. Promote Strategic HR Planning
3. Institutionalize Succession Planning
4. Institutionalize Workforce Planning-the right number of people, with the right skills at the right time
5. Reward and Promote Creativity, Team Work, Office Camaraderie

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HR Plan for the Diverse and Changing Workforce

6. Continuously Conduct SWOT Analyses
7. Monitor Employment Trends
8. Develop Competencies Standards
9. Promote good management but celebrate excellent leadership
10. Link Training and Develop to Individual and Organizational Needs.

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HR Plan for the Diverse and Changing Workforce

11. Design systems that are flexible, adaptability and relevant to the organization's employees
12. Encourage sharing and learning through teams
13. Build a continuous measurable case for Human Resources as the most valuable resource to the organization

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Discussion Outcomes

1. *Generation Cultures.*
2. *Generational Issues.*
3. *Role of HR as a Strategic Business Partner.*
4. *Generational Issues Affects on Recruitment, Retention, Salary and Incentives, Retirement.*
5. *Key to Success within a diverse generational workforce*

IPMA-HR INTERNATIONAL PUBLIC MANAGEMENT ASSOCIATION for HUMAN RESOURCES

Generational Human Resources Issues

Building Public Sector HR Capacity in a Development State…………..!

Cape Town, South Africa
By David Archer,
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七、政府徵才廣告範例

ANNEXURE F

OFFICE OF THE PUBLIC SERVICE COMMISSION

The Office of the Public Service Commission is an equal opportunity, representative employer. It is the intention to promote representivity (race, gender and disability) in the Public Service through the filling of positions. Candidates whose appointment/transfer/promotion will promote representivity will therefore receive preference. An indication by applicants in this regard will expedite the processing of applications.

APPLICATIONS	:	Forward your application, stating the relevant reference number, to: The Director-General, Office of the Public Service Commission, Private Bag X121, Pretoria, 0001.
FOR ATTENTION	:	Ms A Steenkamp
CLOSING DATE	:	25 May 2007
NOTE	:	Applications must be submitted, on form Z83, obtainable from any Public Service department, and should be accompanied by a comprehensive CV and *certified* copies of qualifications. Correspondence will be limited to successful candidates only. If you have not been contacted within 3 months of the closing date of this advertisement, please accept that your application was unsuccessful. The successful candidate may be required to undergo a security clearance.

MANAGEMENT ECHELON

POST 18/17	:	**REGIONAL DIRECTOR**
SALARY	:	R502 725 per annum The possible all-inclusive package includes a 13th cheque, pension fund, medical aid and leave.
CENTRE	:	Limpopo Province
REQUIREMENTS	:	An experienced person with an appropriate recognised Bachelor's degree or equivalent qualification in the fields of Human Resource or Public Sector Management/Legal/Administration/Social Sciences. Knowledge of Public Service regulatory framework that pertains to Senior Management Service. Proven experience in research. Ability to analyse and summarise complex debates. Ability to plan and co-ordinate activities at executive level. Good writing and communication skills. Ability to prepare concise, accurate reports. Presentations skills. Empathy, sensitivity, confidentiality. Sufficient computer skills in the Microsoft Office Suite, eg Excel, Word and PowerPoint. Ability to travel. Proven managerial potential.
DUTIES	:	Carry out monitoring, evaluation and investigation in areas of service delivery, human resource practices and other areas of Public Administration. Promote a high standard of professional ethics in the Public Service. Investigate grievances and make recommendations to the Commission and advise the Commission on any matter regarding the performance of the above functions. Provide a corporate support service in the Regional Office. Liaise with Head Office and provincial departments on line function activities. Support the resident Commissioner in carrying out the roles and functions of the PSC in the Province. Submit reports on the work of the Public Service Commission in the Regional Office including inputs towards the Annual Report.
ENQUIRIES	:	Dr D Mamphiswana, tel. (012) 352-1205
NOTE	:	The successful candidate may be required to undergo a security clearance.

八、俸給編碼表範例

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SALARY RANGE 13

PRESCRIPTS					GUIDELINES	
JOB WEIGHT RANGE	SALARY RANGE	SALARY CODE	OCCUPATIONAL CLASSIFICATION		CATEGORY	PAGE
			CODE	OCCUPATION		
695-790	13	80013 50013D	C6010200	Senior management	• Professionals and Managers	1(124)
			C3050100	Occupational Therapy	• Professionals and Managers	1(124)
			C3050200	Physiotherapy	• Professionals and Managers	1(124)
			C3050300	Oral Hygiene	• Professionals and Managers	1(124)
			C3050400	Radiography	• Professionals and Managers	1(124)
			C3050500	Speech Therapy and Audiology	• Professionals and Managers	1(124)
			C3050600	Dental Therapy	• Professionals and Managers	1(124)
			C3060100	Dieticians and Nutritionists	• Professionals and Managers	1(124)

1heassb/core/mg

-1(122)-

-1(124)-

GUIDELINES			
JOB PROFILE		COMPETENCY PROFILE	
Generic job content	Examples of job outputs	Key Competencies	Learning indicators
(a)	(b)	(c)	(d)
Level 13: Professionals and Managers **UTILISATION CAPACITY** * Manage and Co-ordinate the functioning of a larger component **AUTONOMY** * Senior Management tasks such as policy development and the determination of direction/ strategy.	**Senior management** * Organise all activities in such a way that all organisational goals are achieved in the most effective manner including redirecting resources if necessary * Determine all types of policy in the organisation within his/her power of authority * Liaise with other institutions and individuals and execute commitments with regard to public appearance * Execute advisory commitments * Formulate strategic policies which will enable department/ provincial administration to successfully fulfill its role in delivering a service to the community/clients * Determine the most effective work procedures and methods to achieve organisational goals * Compile budget and manage personnel activities responsible for but within budget constraints * Exercise control over all functions and personnel under his/her supervision, in order to determine if organisational goals are achieved and doing corrective actions if deemed necessary * The effective provisioning and utilisation of personnel by means of effective resource utilisation and the application of fair labour practices in order to achieve organisational goals * Represent the department/provincial administration in high level committees	**KNOWLEDGE** (Also see Annexure A) Very deep knowledge of a wide range of activities are required such as: * Training (category D) * HR matters (category C/D) * Finance (category C/D) * Planning and organising(category D) * Technical standards/procedures * Needs and priorities of stakeholders * Managerial functions * Computer (category B) **SKILLS** Advanced skills such as: * Analytical thinking * Research * Computer utilisation * Policy formulation * Financial Management * Management to ensure that performance standards remains adequate and that responsibilities are adhered to within budget limits * Adaptability during changes to meet the goals * Change and diversity management	**QUALIFICATION** * Tertiary qualification in management or other where management practices were included in the curriculum. **EXPERIENCE** * More than ten years **STATUTORY REQUIREMENTS** * Registration with appropriate council depending on the discipline in which the post holder is required to deliver a service

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GUIDELINES			
JOB PROFILE		COMPETENCY PROFILE	
Generic job content	Examples of job outputs	Key Competencies	Learning indicators
(a)	(b)	(c)	(d)
FINANCIAL RESOURCES: * Complex financial management responsibilities. **USAGE OF EQUIPMENT AND MACHINERY:** * Overall responsibility for a wide variety of equipment/ machinery. **INVOLVEMENT WITH STORES:** * Overall responsibility for stores carrying a wide variety of supplies. **LAND AND BUILDINGS:** * Overall responsibility for land and buildings which require effective property management. **ADVICE:** * The advice is highly specialised/ complex and is normally available from only a few resources within the Department/Provincial administration **JOB INFORMATION:** * Spectrum of job information will be complex and wide ranging	* Set budget levels * Major budget planning * Analyse financial data * Service * Office * Computer * Technical * Medical supplies * Hospitals * Laundries * Households * Departmental/Provincial administration policy/strategy * Public Service policy/strategy * Public relations * Technical/policy matters * Technical/professional * Department/Provincial Administration policy/strategy	**COMMUNICATION** * Provide/obtain sensitive information requiring tact and diplomacy * Public appearances and debating * Complex notes/memos/letters * Sensitive press releases *Complex legal documents * Cabinet Memoranda * Negotiations **CREATIVITY** * Exceptional creativity is required to develop completely new methods/policies/ understanding	

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GUIDELINES			
JOB PROFILE		COMPETENCY PROFILE	
Generic job content	Examples of job outputs	Key Competencies	Learning indicators
(a)	(b)	(c)	(d)
PROBLEM SOLVING * Conclusion on broad policy are reached by normally having to evaluate alternative options which are very often totally new or unprecedented **PLANNING** * Plan the work of the component and often influence the planning to be done in other Departments/Provincial Administration **DECISION MAKING** * Resolve job related problems referred to by others * Authorise actions * Recommend/decide on issues that will impact on a public service * Control projects * Recommend actions requiring major resource commitment by others * Amend existing practices and procedures for their work area	* Resource allocation * Projects * Statistical forecasting * Application of policy or procedures * Significant financial planning * Contribution to Departmental/Provincial Administration strategic planning		

GUIDELINES			
JOB PROFILE		COMPETENCY PROFILE	
Generic job content	Examples of job outputs	Key Competencies	Learning indicators
(a)	(b)	(c)	(d)
INTERACTION WITH CLIENTS/ STAFF: * Contact can be made with various people and institutions which will have an impact on the ability to deliver a quality service.	- Co-workers - Management - Senior Management - Legal Practitioners - Other departments/provincial administration - Minister/Premier/MEC - Patients - Private Sector Organisations - General Public - Academic Institutions - Media - International organisations		
CONTENT OF COMMUNICATION: * Highly specialised information which requires a high degree of conceptualisation	* Departmental/Provincial administration policy/ strategy * Technical/ professional * Public Service policy/ strategy		
SUPERVISORY/MANAGEMENT OF PERSONNEL: * Supervise/manage personnel of which the composition might vary from Elementary Occupations up to even professional * As part of managing components, various advice will be given, discipline will be maintained and control and planning will be exercised.			

九、公務人員評選標準

SCREENING
[Paper exercise]

Criterion 1:

Closing date for applications should be met.

Criterion 2:

Certain conditions should be met in relation to the **format** and **content** of -

- application forms,
- Curricula Vitae (CV's); and
- all other relevant documentation.

Criterion 3:

Basic appointment requirements should be met in terms of -

- citizenship;
- age;
- character;
- security clearance[21]; and
- health[21].

21 In so far as requirements may be prescribed.

Criterion 4:

Minimum **advertised** requirements should be met in terms of -

- qualifications; and
- competencies (knowledge, skills, and where required, experience).

SHORT–LISTING
[Paper exercise]

Criterion 1:

Successful **screening** of candidates.

*[Note: Candidates who were unsuccessfully screened (i.e. candidates who do not meet the minimum appointment and advertised requirements) may still be considered for short-listing purposes on the merits of such cases, as discussed under **Criterion 4** of the Screening Process on page 24.]*

Criterion 2:

The **level** of qualifications and competencies (knowledge, skills and, where required, experience).

[A *higher level* may be viewed as a more favourable consideration.]

Criterion 3:

The **relevancy** of qualifications and competencies (knowledge, skills and, where required, experience).

[A *higher relevancy* may be viewed as a more favourable consideration.]

FINAL SELECTION
[Interviewing, etc]

Criterion 1:

Successful **short-listing** of candidates.

*[Note: Candidates who were unsuccessfully short-listed (i.e. candidates who do not meet the minimum appointment and advertised requirements) may still be considered for the final selection on the merits of such cases, as discussed under **Criterion 4** of the Screening Process on page 24. It should, however, be emphasized that the merits of the case should be based on special considerations (see **Criterion 1** of short-listing on page 32).]*

Criterion 2:

An applicant's **level** of **functioning**

The level of functioning should be determined, as demonstrated by the applicant with regard to a *specific area of work*, in respect of the following competency areas:

- Knowledge
- Skills/ expertise
- Experience, if required
- Aptitude/ attitude/ behaviour.

十、初選表

SCREENING

Annexure A

Fill in the post particulars (**A**) and the closing date for applications (**C**), make a copy for each applicant who needs to be screened and complete for each applicant.

Screening of the following applicant:

Surname:... Initials:...

Screening is normally limited to complying with -

- the closing date for applications
- preset conditions as far as the submission of documentation is concerned
- minimum appointment requirements as specified in section 10 of the PSA, 1994
- minimum advertised requirements in terms of competencies

A. POST PARTICULARS

Component: .... Post designation: ....

Post level: .... Post No: ....

Advertisement No: ....

B. PERSONAL PARTICULARS OF APPLICANT

Date of birth: ..../........../........... Field of expertise: ....

Citizenship: ....

Qualifications: ....

....

Skills:..

....

C. GENERAL REQUIREMENTS

Closing date for applications: ..../........../.........	Received on or before closing date?	Yes ☐	No ☐
Completion of application form:	Legible?	Yes ☐	No ☐
	Completed?	Yes ☐	No ☐
	Signed?	Yes ☐	No ☐
	Dated?	Yes ☐	No ☐
CV:	Attached?	Yes ☐	No ☐
	Legible?	Yes ☐	No ☐
	Sufficiently detailed?	Yes ☐	No ☐

D. POST & PERSON REQUIREMENTS

	1	**Appointment requirements:** (in terms of the PSA, 1994, as amended)	Does the applicant meet the age requirement?	Yes ☐	No ☐	
			Does the applicant meet the citizenship requirement?	Yes ☐	No ☐	N/A ☐
			Does the applicant meet security clearance requirements as prescribed?	Yes ☐	No ☐	N/A ☐
			Does the applicant meet the health requirements as prescribed?	Yes ☐	No ☐	N/A ☐
AS ADVERTISED	2	**Qualifications required:**	Does the applicant meet the qualification requirements as advertised?	Yes ☐	No ☐	
	3	**Operational knowledge required:**	Does the applicant meet the operational knowledge requirements as advertised?	Yes ☐	No ☐	
	4	**Skills/expertise required:**	Does the applicant meet the skills/expertise requirements as advertised?	Yes ☐	No ☐	
	5	**Experience/exposure required:**	Does the applicant meet the experience/exposure requirements as advertised?	Yes ☐	No ☐	
	6	**Representativeness required:** Yes ☐ No ☐	Does the applicant meet representativeness requirements?	Yes ☐	No ☐	N/A ☐

E. OUTCOME OF SCREENING PROCESS

Applicant successfully screened?

Summary of reasons for unsuccessful screening of applicant: ....

....

....

....

Name of screener	Rank	Date

- If screening is unsuccessful, a letter of regret must be forwarded to the applicant and a copy of the letter, together with the outcome of the screening process, copy of the advertisement, application form, certificates and CV must be put on record
- If screening is successful, short-listing should commence

十一、複選表

SHORT-LISTING SCORE:

Annexure C

Name:.. Initials:....................

A. The extent to which the candidate meets the requirements as advertised

AS ADVERTISED

Competency area		Competency element	Score
Formal knowledge	1		
	2		
	3		
	4		
	5		
	6		
		Score: Formal knowledge	
Operational knowledge	1		
	2		
	3		
	4		
	5		
	6		
		Score: Operational knowledge	
Skills/expertise	1		
	2		
	3		
	4		
	5		
	6		
		Score: Skills/expertise	
Experience[14]/exposure	1		
	2		
	3		
	4		
14 If required	5		
	6		
		Score: Experience/exposure	
		TOTAL SCORE:	

Cut-off point (value) for short-listing purposes:

B. Outcome of short-listing process

Applicant short-listed? Yes ☐ No ☐

Summarise reasons for applicant not being short-listed by utilising the framework on page 80.

Name of short-lister Rank Date

- If short-listing is unsuccessful, a letter of regret must be forwarded to the applicant as soon as a nomination is made and the letter, together with the outcome of the screening as well as the short-listing process, a copy of the advertisement, application form, certificates and CV must be put on record
- If short-listing is successful, selection of the most suitable candidate should commence

Name:.. Initials:....................

Motivate successfulness/unsuccessfulness

AS ADVERTISED

Summary: **Formal knowledge**

Summary: **Operational knowledge**

Summary: **Skills/expertise**

Summary: **Experience[15]/exposure**

Combined Summary:

Name of short-lister Rank Date

15 If required

十二、面試決選表範例

FRAMEWORK: The Final Selection Phase

Annexure D

The final selection phase is normally limited to an assessment of -

- those applicants short-listed; and
- applicants' level of functioning based on the level and extent of -
  - knowledge[16];
  - skills/ expertise;
  - experience/exposure, if required; and
  - aptitude/ attitude/ behaviour -

demonstrated with regard to a specific area of work.

Note: The executing authority must verify that the nominee qualifies in all respects for the post and that the nominee's claims in his or her application for the post have been verified.

(Regulation VII D.8 of Chapter 1 of the PSR,2001)

A. Choose a selection technique or a combination of techniques:

Selection techniques are normally comprised of one or more of the following:

- Interviews
- In-basket simulations
- Written tests
- Review of past accomplishments
- Assessment centres
- Reference-checking.

B. Develop a SCORING MATRIX (See examples at Annexure E on pages 87 to 93)

Core competency or Function:

- Identify the main **competencies** or **functions** of the post. From a practical point of view, it should be a manageable size.
- Each core competency or function needs to be broken down into competency **elements**.
- Each competency element needs to be broken down into competency **issues**.

Competency areas	Analysis			
	Competency elements	Competency issues	Scale	Score
The main competency **areas** are: • Knowledge • Skills/ expertise • Experience/exposure • Aptitude/ attitude/ behaviour	Each competency **element** needs to be evaluated in terms of each competency **area**.	Each competency **issue** needs to be evaluated in terms of each competency **element**. [Develop carefully designed questions based on what is required in respect of each competency issue.]	A **scale** needs to be identified against which each competency **issue** can be assessed.	Each competency **issue** needs to be **scored**. [When totaled, it will provide a score in terms of each competency **area** and also an overall score for an applicant.]

C. Identify the level at which an applicant is functioning:

After having scored each competency area, an overall score, together with the level at which an applicant is functioning, should be determined to form an overall picture of the applicant's suitability for the post.

Beginner	Possesses the required knowledge/ skills/ attitude/ behaviour, but will require **intensive** guidance and assistance to apply these in the work area
Semi-competent	Possesses the required knowledge/ skills/ experience/ attitude/ behaviour, but will **occasionally** require guidance and assistance to apply these in the work area
Competent	Possesses the required knowledge/ skills/ experience/ aptitude/ attitude/ behaviour, will be able to function **independently** and will only require guidance and assistance in **exceptional** cases
Semi-expert	Possesses the required knowledge/ skills/ experience/ aptitude/ attitude/ behaviour, will be able to function **independently** and will be able to **advise** others on subject matter with **little need** for assistance and guidance
Expert	Possesses the required knowledge/ skills/ experience/ aptitude/ attitude/ behaviour, will be able to function **independently** and will be able to also **independently** provide **advice** to others and guidance to subordinates

16 Includes operational knowledge

Component: .... Reference No: ....
Circular No: ....
Post level: .... Advertisement No: ....
Surname: .... Initials: ....

Post:

Core competence/function: (a)

Competency Area: (b)

Competency Element: (c)

Competency issues: (d)

(e) Scale				(f) Score	
				Short-listing	Final selection
	1		1 2 3		
	2		1 2 3		
	3		1 2 3		
	4		1 2 3		

Competency Element: (c)

Competency issues: (d)

	1		1 2 3		
	2		1 2 3		
	3		1 2 3		
	4		1 2 3		

Total score		

(g) Final selection rating		Comments:
Level	Scale	
Beginner		
Semi-competent		
Competent		
Semi-expert		
Expert		

FINAL SELECTION SCORE

Annexure D

Surname:.. Initials:...................

A. The extent to which the candidate meets the requirements as advertised

AS ADVERTISED

Competency area		Competency element	Score
Formal knowledge	1		
	2		
	3		
	4		
	5		
	6		
		Score: Formal knowledge	
Operational knowledge	1		
	2		
	3		
	4		
	5		
	6		
		Score: Operational knowledge	
Skills/expertise	1		
	2		
	3		
	4		
	5		
	6		
		Score: Skills/expertise	
Experience[17]/exposure	1		
	2		
	3		
	4		
17 If required	5		
	6		
		Score: Experience/exposure	
Aptitude/attitude/ behaviour	1		
	2		
	3		
	4		
	5		
	6		
		Score: Aptitude/attitude/behaviour	
		TOTAL SCORE:	

B. Outcome of final selection process

Applicant finally selected? Yes ☐ No ☐

Summarise reasons for applicant not finally being selected by utilising the framework on page 86.

Chairperson of Selection Committee   Rank   Date

- If final selection is unsuccessful, a letter of regret must be forwarded to the applicant as soon as a nomination is made and the letter together with the outcome of the screening, short-listing as well as the final selection process, a copy of the advertisement, application form, certificates and CV must be put on record
- If final selection is successful, the candidate must be notified accordingly

Annexure D

FINAL SELECTION SUMMARY

Surname:.. Initials:...................

Motivate successfulness/unsuccessfulness

A S A D V E R T I S E D

Summary: Formal knowledge

Summary: Operational knowledge

Summary: Skills/expertise

Summary: Experience[18]/exposure

Summary: Aptitude/attitude/behaviour

Combined Summary:

18 If required

SCORING MATRIX: Formal Knowledge

Annexure E

Post:	State Admin Officer
Core Competency/Function:	Investigate complaints and produce reports thereon
Competency Area:	Formal Knowledge

Competency Element: 1. Human Resource Management

Competency issue	Scale				Score: Short-listing	Score: Final selection
1. Has the applicant acquired a formal qualification?	As required (e.g. BA)	1	Partially relevant Relevant Highly relevant	1 2 3		
	As required plus one level higher (e.g. BAHons)	2	Partially relevant Relevant Highly relevant	1 2 3		
	As required plus two levels higher (e.g. MA)	3	Partially relevant Relevant Highly relevant	1 2 3		
	As required plus three levels higher and more (e.g. DPhil)	4	Partially relevant Relevant Highly relevant	1 2 3	12	12
2. Has the applicant acquired informal training?	Equivalent to what is required	1	Partially relevant Relevant Highly relevant	1 2 3		
	Equivalent to what is required plus one level higher	2	Partially relevant Relevant Highly relevant	1 2 3		
	Equivalent to what is required plus two levels higher	3	Partially relevant Relevant Highly relevant	1 2 3		
	Equivalent to what is required plus three levels higher and more	4	Partially relevant Relevant Highly relevant	1 2 3		
	Subtotal: Human Resource Management				**12**	**12**

Competency Element: 2. Labour Relations

Competency issue	Scale				Score: Short-listing	Score: Final selection
1. Has the applicant acquired a formal qualification?	As required (e.g. BA)	1	Partially relevant Relevant Highly relevant	1 2 3		
	As required plus one level higher (e.g. BAHons)	2	Partially relevant Relevant Highly relevant	1 2 3		
	As required plus two levels higher (e.g. MA)	3	Partially relevant Relevant Highly relevant	1 2 3		
	As required plus three levels higher and more (e.g. DPhil)	4	Partially relevant Relevant Highly relevant	1 2 3		
2. Has the applicant acquired informal training?	Equivalent to what is required	1	Partially relevant Relevant Highly relevant	1 2 3		
	Equivalent to what is required plus one level higher	2	Partially relevant Relevant Highly relevant	1 2 3	4	4
	Equivalent to what is required plus two levels higher	3	Partially relevant Relevant Highly relevant	1 2 3		
	Equivalent to what is required plus three levels higher and more	4	Partially relevant Relevant Highly relevant	1 2 3		
	Subtotal: Human Resource Management				**4**	**4**
	Total: Formal knowledge				**16**	**16**

Final selection rating

Level	Scale
Beginner	0 - 2
Semi-competent	3 - 4
Competent	5 - 12
Semi-expert	13 - 18
Expert	> 18

Comments:

Annexure E

SCORING MATRIX: Operational Knowledge

Post: State Admin Officer

Competency Area/Function: Investigate complaints and produce reports thereon

Competency Area: Operational Knowledge

Competency Element: 1. Research

			Scale		Short-listing	Final selection
Competency issue:	1.	At what level has the applicant conducted research?	Grade 12 + 1 year	1		
			Grade 12 + 2 year	2		
			Grade 12 + 3 year	3		
			Grade 12 + 4 year	4	4	4
			Grade 12 + 5 year	5		
			Grade 12 + 6 year	6		
			Subtotal: Research		**4**	**4**

Competency Element: 2. Data management

			Scale		Short-listing	Final selection
Competency issue:	2.	How many courses/ seminars has the applicant attended.	Introduction none	1		
			Introduction one	2		
			Introduction more than one	3	3	3
			Advanced none	4		
			Advanced one	5		
			Advanced more than one	6		
	3.	Can the applicant list the most important steps in data collection?	Unsatisfactory	1		
			Satisfactory	2		2
			Above average	3		
			Exceptional	4		
	4.	Can the applicant list and describe any computer software that can assist in the processing of data?	Unsatisfactory	1		
			Satisfactory	2		
			Above average	3		3
			Exceptional	4		
			Subtotal: Data Management		**3**	**8**

Competency Element: 3. Report-writing

			Scale		Short-listing	Final selection
Competency issue:	1.	How many courses/ seminars on report-writing has the applicant attended?	None	1		
			One	2		
			More than one	3	3	3
	2.	Can the applicant provide a layout of a typical report format?	Unsatisfactory	1		
			Satisfactory	2		
			Above average	3		3
			Exceptional	4		
	3.	Can the applicant list the most important principles underlying a good report?	Unsatisfactory	1		
			Satisfactory	2		2
			Above average	3		
			Exceptional	4		
			Subtotal: Report-writing		**3**	**8**
			Total: Operational Knowledge		**10**	**20**

Final selection rating

Level	Scale
Beginner	0 - 7
Semi-competent	8 - 12
Competent	13 - 16
Semi-expert	17 - 21
Expert	> 21

Comments:

SCORING MATRIX: Skills/Expertise

Annexure E

Post: State Admin Officer

Core Competency/Function: Investigate complaints and produce reports thereon

Competency Area: Skills/Expertise

Competency Element: 1. Research

Competency issue	Scale		Short-listing	Final selection
1. Can the applicant mention any research skills/ expertise generally required for conducting investigations into complaints?	Unsatisfactory	1		
	Satisfactory	2		
	Above average	3		3
	Exceptional	4		
2. How many of the above-mentioned research skills/expertise has the applicant acquired? How, and can sufficient proof be provided?	Unsatisfactory	1		
	Satisfactory	2		2
	Above average	3		
	Exceptional	4		
	Subtotal: Research		**0**	**5**

Competency Element: 2. Data Management

Competency issue	Scale		Short-listing	Final selection
1. Can the applicant mention any data management skills/expertise generally required for conducting investigations into complaints?	Unsatisfactory	1		
	Satisfactory	2		2
	Above average	3		
	Exceptional	4		
2. How many of the above-mentioned data management skills/expertise has the applicant acquired? How, and can proof be provided?	Unsatisfactory	1		
	Satisfactory	2		
	Above average	3		
	Exceptional	4		4
	Subtotal: Data Management		**0**	**6**

Competency Element: 3. Report-writing

Competency issue	Scale		Short-listing	Final selection
1. Can the applicant mention any report-writing skills/expertise generally required for conducting investigations into complaints?	Unsatisfactory	1		
	Satisfactory	2		2
	Above average	3		
	Exceptional	4		
2. How many of the above-mentioned report-writing skills/expertise has the applicant acquired? How, and can sufficient proof be provided?	Unsatisfactory	1		
	Satisfactory	2		
	Above average	3		3
	Exceptional	4		
	Subtotal: Report-writing		**0**	**5**

	Short-listing	Final selection
Total: Skills/Expertise	**0**	**16**

Final selection rating

Level	Scale
Beginner	0 - 6
Semi-competent	7 - 10
Competent	11 - 17
Semi-expert	18 - 21
Expert	> 22

Comments:

Annexure E

SCORING MATRIX: Experience/Exposure

Post:	State Admin Officer
Core Competency/Function:	Investigate complaints and produce reports thereon
Competency Area:	Experience/Exposure

Competency Element: 1. Research

Competency issue	Scale		Shortlisting	Final selection
1. How many years experience/ how much exposure does the applicant have in conducting research in general, of which sufficient proof can be provided?	None	1		
	1 to 5 years/ equivalent	2		
	5 to 10 years/ equivalent	3	3	3
	>10 years/ equivalent	4		
2. How many years experience/ how much exposure does the applicant have in conducting research as far as HRM is concerned, of which sufficient proof can be provided?	None	1		
	1 to 5 years/ equivalent	2	2	2
	5 to 10 years/ equivalent	3		
	>10 years/ equivalent	4		
	Subtotal: Research		**5**	**5**

Competency Element: 2. Data Management

Competency issue	Scale		Shortlisting	Final selection
1. In how many investigations was the applicant involved, of which sufficient proof can be provided?	None	1		
	1 to 5	2		
	5 to 10	3		3
	More than 10	4		
2. In how many of the above-mentioned investigations was the applicant involved in data management, of which sufficient proof can be provided?	None	1		
	1 to 5	2		2
	5 to 10	3		
	More than 10	4		
	Subtotal: Data Management		**0**	**5**

Competency Element: 3. Report-writing

Competency issue	Scale		Shortlisting	Final selection
1. In respect of the drafting of how many reports has the applicant been involved and on what subjects? What was the extent of the involvement and can sufficient proof be provided?	None	1		
	1 to 5	2		
	5 to 10	3		
	More than 10	4		3
2. How many of the above reports did the applicant draft? Can copies thereof be made available?	None	1		
	1 to 5	2		2
	5 to 10	3		
	More than 10	4		
	Subtotal: Report-writing		**0**	**5**
	Total: Experience/Exposure		**5**	**15**

Final selection rating

Level	Scale
Beginner	0 - 6
Semi-competent	7 - 12
Competent	13 - 17
Semi-expert	18 - 20
Expert	> 20

Comments:

SCORING MATRIX: Aptitude/Attitude/Behaviour

Annexure E

Post:	State Admin Officer
Core Competency/Function:	Investigate complaints and produce reports thereon
Competency Area:	Aptitude/Attitude/Behaviour

Competency Element: 1. Research		Scale		Score: Shortlisting	Score: Final selection
Competency issue:	1. How much time does the applicant prefer spending on research as far as investigations are concerned?	<10%	1		
		10 - 15%	2		
		15 - 20%	3		
		>20%	4		4
		Subtotal: Research		**0**	**4**

Competency Element: 2. Data management		Scale		Shortlisting	Final selection
Competency issue:	1. To what extent does the applicant enjoy working with figures?	Not at all	1		
		To a limited extent	2		
		To a reasonable extent	3		
		Very much	4		4
	2. To what extent does the applicant enjoy working with illustrations and graphs?	Not at all	1		
		To a limited extent	2		
		To a reasonable extent	3		3
		Very much	4		
	3. To what extent does the applicant enjoy working with software programs such as Microsoft Excel, PowerPoint, etc?	Not at all	1		
		To a limited extent	2		
		To a reasonable extent	3		
		Very much	4		4
		Subtotal: Data Management		**0**	**11**

Competency Element: 3. Report-writing		Scale		Shortlisting	Final selection
Competency issue:	1. To what extent does the applicant enjoy reading?	Not at all	1		
		To a limited extent	2		
		To a reasonable extent	3		3
		Very much	4		
	2. To what extent does the applicant enjoy writing?	Not at all	1		
		To a limited extent	2		
		To a reasonable extent	3		
		Very much	4		4
	3. To what extent does the applicant enjoy drafting a report?	Not at all	1		
		To a limited extent	2		
		To a reasonable extent	3		3
		Very much	4		
		Subtotal: Report-writing		**0**	**10**
		Total: Aptitude/Attitude/Skills		**0**	**25**

Final selection rating

Level	Scale
Beginner	**0 - 7**
Semi-competent	**8 - 13**
Competent	**14 - 17**
Semi-expert	**18 - 24**
Expert	**> 24**

Comments:

EXAMPLE

十三、普通（綜合）律師入門考試應考須知

LAW SOCIETY OF SOUTH AFRICA

THE ATTORNEYS' ADMISSION EXAMINATION

(2007 Issue)

(Last revision September 2006)

In this examination candidates must have a sound knowledge of substantive law and be able to apply it regarding matters covered by this syllabus.

2007 EXAMINATION DATES

27 & 28 February 2007
29 & 30 August 2007

The registration fee is currently: First paper R114,00 (incl VAT), Second, Third and Fourth papers R57,00 (incl VAT) per paper.

THE EXAMINATION SYSTEM

The guidelines for the admission examination are set out in section 14 of the Attorneys Act.

THE EXAMINATION FORMAT

Candidates are allowed 15 minutes to peruse the paper before starting to answer the questions. No candidate may start writing in the answerbook during this period.

First paper (section 14 (1) (a))

High court procedure; magistrates court procedure; motor vehicle accident claims; and criminal procedure.

This paper is written on the first day of the examinations from 09:00 to 12:15.

Second paper (section 14 (1) (c))

The administration of estates

This paper is written on the first day of the examinations from 14:00 to 16:15.

Third paper (section 14 (1) (c))

The practice, duties, ethics and functions of an attorney

This paper is written on the second day of the examinations from 09:00 to 11:15.

Fourth paper (section 14 (1) (b))

Bookkeeping for attorneys

This paper is written on the second day of the examinations from 14:00 to 16:15.

EXAMINATION CRITERIA

A candidate who attains 50% or more in a paper will not have to attend an oral, except if a special reason exists for calling a candidate to an oral . Candidates who achieve between 40% and 49% in any of the papers will be required to do an oral in respect of that paper. Candidates who attain less than 40% in any of these papers will not be given an oral and will fail the paper concerned.

REMARK

Candidates who are dissatisfied with their marks in any section of the examination may have their paper remarked if:

1. they apply in writing for a remark to the Law Society concerned within one week of the results of the examination becoming available;

2. they pay a remark fee equivalent to twice the fee payable for the section of the examination in which the remark is requested. If the remark is successful in that the status changes (e.g. failed and after remark is eligible for an oral) this fee will be refunded.

REGULATIONS

1. A candidate may complete the four phases of the examinations in any sequence. Ideally the papers should be completed simultaneously (see rule 3(2) in the Government Gazette of 8/1/88).

2. Some candidates are uncertain about whether, having successfully completed a certain part of the examination, they may in the oral be examined on the part completed previously when they attempt the next paper at a later stage and are called for an oral. This is unlikely but possible. The golden thread of ethics runs through the whole examination and it can never be considered finished before the whole examination has been completed. Questions concerning ethical matters and questions concerning the rules of a specific law society may be asked at all times.

COMPOSITION OF THE PAPERS

1. Section 14 of the Act prescribes the appointment of examiners.

2. Examiners and experts in the various fields set the papers. Moderators, appointed from the ranks of the examiners, check, discuss and approve these papers.

PRACTICAL ORIENTATION

Although the emphasis in the examination is on practical aspects, this can never be totally separated from a thorough knowledge of the law, the Acts and the rules of court.

ALLOCATION OF MARKS

The allocation of marks is a good indication of the detail required. Do your planning for each section accordingly.

ATTORNEY'S PRACTICE

Broadly speaking this part covers attorney' s ethics, the drawing of documents, and the ability to check the legal position. Other subjects in the syllabus not covered by other papers, for example matrimonial property law, insolvency, the registration of various forms of undertaking, etc may also be included in this paper. Although the questions are not restricted to specific matters, great care is taken to ensure that the boundaries of the syllabus are not exceeded.

GENERAL

1. Unless you are informed to the contrary, all questions should be answered with reference to the "latest" rules, legislation etc.

2. Do not spend two hours on one section of a three-hour paper consisting of four questions; it is futile to attain 80% in two questions and only 20% in the other two questions. Determine beforehand the amount of time needed for each question and keep to your timing.

3. Copies of previous papers and answers are available from the Continuing Legal Education Section of the Law Society of South Africa (Ms A Manyange, telephone (012) 341 3091).

GUIDE TO THE NATURE AND SCOPE OF THE ATTORNEY'S ADMISSION EXAMINATION (SYLLABUS)

1. INTRODUCTION

1.1 In terms of s14 of the Attorneys Act 53 of 1979, examinations are conducted in respect of:

s 14 (1) (a) of the Act: High court, magistrates court, criminal procedure and motor vehicle accidents.

s 14 (1) (b) of the Act: Practical attorney's bookkeeping.

s 14 (1) (c) of the Act: The practice, functions and duties of an attorney including administration of estates.

1.2 At present the examination is conducted as follows:

First paper: High court, Magistrates court, Motor vehicle accidents, and Criminal procedure. This paper is set as a three hour paper and counts 100 marks.

Second paper: Administration of estates. This paper is set as a one and a half hour paper but two hours are allowed for completing it to allow candidates to read the questions carefully before answering them. This paper counts 100 marks.

Third paper: General attorney's practice. This paper is set as a one and a half hour paper but two hours are allowed for completing it to allow candidates to read the questions carefully before answering them. The paper counts 100 marks.

Fourth paper: Attorney's bookkeeping. This paper is set as a one and a half hour paper but two hours are allowed for completing it. The paper counts 100 marks.

1.3 A candidate may complete the four papers of the examination in any sequence. Ideally the papers should be completed simultaneously (see rule 3(2) in the Government Gazette of 8/1/88).

1.4 In general terms, candidates are tested in the written paper on their ability to draft and record matters related to the fields of law set out above. It is obvious that they cannot be tested without also testing their ability to apply the relevant substantive law. The written test is fundamental to the success or failure of the candidate. Candidates who have to present themselves for oral examinations will be tested on their verbal presentation of legal knowledge. Special attention is given to the practical application of the particular fields of law, and to candidates' knowledge and insight into the ethical standards applicable to an attorney's practice.

The examinations are conducted with a view to establishing whether candidates meet these standards. Examination questions may be set with more than one object in view. In a single question, candidates may be tested on their knowledge of the rules and practice in the courts in whose jurisdiction they are examined and, simultaneously, they may be tested on their ability to examine and analyse facts placed before them, to apply the substantive law to the facts and to draft documents logically and coherently based on the facts that are relevant.

Similarly, a question may test the ability of the candidates to find the applicable law by using facilities such as encyclopaedias, textbooks, journals, indices and the like, and to reduce such material into an effective letter, opinion or argument before a court or other tribunal. Candidates are also expected to have a reasonable practical knowledge of proper procedure to be applied in a well-run office.

2. NATURE OF THE EXAMINATION: OBJECTIVES

The content of the syllabus and the nature of the examination aim at ensuring that candidates have certain skills and experience. The level expected is that of a newly admitted attorney in a general medium-sized firm. This implies the following.

2.1 Candidates must have a general understanding of the role of the attorney as a practitioner and an officer of court, of the role of the legal profession in society, of the ethics of the profession and an ability to recognise conflicts of interest and ethical difficulties. Candidates will be required to know the rules of the law society of the province in which they are being examined, in as far as they relate to professional conduct.

2.2 Candidates must be competent and have adequate experience in the basic skills and techniques of attorneys and for that purpose

- can handle facts and can apply legal principles to factual situations;
- can research legal problems and use properly the sources of law;
- have knowledge of the practical aspects of advocacy (the arguing of elementary cases before courts and tribunals and the effective presentation of written legal arguments), which shall include the knowledge of negotiation (eg to settle the terms of an agreement, out of court settlements, finalising disputes without recourse to the courts), the preparation for and the conduct of a trial in the high court, the magistrates court and other tribunals, the gathering and preparation of evidence and the procedures relating to the calling of witnesses in civil and criminal courts;
- understand office procedures and routines, including the keeping of attorney's books and the preparation and rendering of bills of cost and accounts and can administer the affairs of clients;
- are experienced in the drafting of documents (straightforward contracts, wills, pleadings, opinions, briefs to counsel and, in particular, pleadings in the magistrates court and, where relevant, in the high court);
- can communicate effectively with clients, colleagues and officials orally and in writing.

The above objectives presuppose that candidates have adequate knowledge of the relevant principles and provisions of substantive law.

3. ANALYSIS OF VARIOUS PAPERS

The various papers test the following skills and knowledge.

3.1 Paper 1 : Court procedure

High court

The practical application of the High Court Act and rules.

The ability to draft notices of motion, affidavits and causes of action for a summons, and other notices and documents in respect of which no prescribed forms exist; draft instructions to counsel on pleadings; conduct all types of proceedings in the high court and write letters and opinions.

Magistrates court

The practical application of the Magistrates Court Act and rules.

The ability to draft applications, affidavits, summons, pleadings and other notices and documents except where prescribed forms exist; conduct all types of proceedings in the magistrates court and write letters and opinions.

Motor vehicle accidents

Candidates should know all aspects of the Multilateral Motor Vehicle Accidents Fund Act 93 of 1989 (as amended), as well as The Road Accident Fund Act 56 of 1996 the regulations promulgated in terms of this Act, as well as the case law, concerning the rights of injured persons and dependants and the procedure relating to the formulation, computation and institution of claims against the Fund. As candidates are aware, significant changes to the relevant legislation are pending but are not yet effective. Candidates must ensure that they are aware of the changes as when they come into operation, questions relating thereto may be included in future examination papers.

Criminal procedure

Aspects regarding the role of the prosecutor, investigation of crime and the various methods to secure the accused's attendance in court.

The procedure relating to a criminal trial, including applications for bail, the procuring of evidence and a general working knowledge of the Criminal Procedure Act with emphasis on ss 3, 6, 20, 23, 24, 26, 27, 30, 34, 35, 37, 39, 40, 49, 50, 54, 55, 56, 57, 59, 60, 62, 65, 66, 73, 103, 112, 113, 114, 115, 123, 124, 150, 195, 196, 201, 217, 220 and 297.

3.2 Paper 2: Estates

A general working knowledge of the Administration of Estates Act and its regulations including the drafting of estate accounts, drafting and execution of wills, including testamentary trusts, the application of the law of testate and intestate succession, a knowledge of the principles of estate duty and capital gains tax relating to deceased estates and a rudimentary knowledge of estate planning.

3.3 Paper 3: General attorney's practice

Professional ethics figure very prominently in this section. This term means all the rules of professional conduct appertaining to an attorney in his professional life - as an officer of court, in his relationship with his client, colleagues (including those at the Bar) and his staff - also extra-professionally while he remains in the profession.

Sources:

ALS Practice Manual, Butterworths (contains inter alia Attorneys Act and Regulations, Attorneys Fidelity Fund Act and law societies' rules)
Law Society Rules
Lewis - *Legal Ethics*, Juta & Co 1982
Optional reading:
Lewis & Kyrou's, *Handy Hints on Legal Practice*, South African Edition by I M Hoffmann, Butterworths

The second broad subject that is included in this section is the drafting of the following documents.

- Deeds of sale - movable and immovable goods
- Partnership agreement
- Suretyship - reference to relevant Act
- Acknowledgement of debt
- Cession and assignment
- Option
- Sale of business
- Lease of fixed property
- Letter of demand
- Pledge
- Cancellation of agreement

The paper on general practice does not stand in complete isolation to the content of other papers in the examination. For example, a question on ethics may relate to a situation arising during litigation and the legal opinion may be one relating to magistrate's court procedures.

Finally, the purpose of the paper is to cover subjects or topics that do not strictly belong to any other sections on which the examination is conducted, but are very important in an attorney's practice.

The following are the prescribed Acts and Regulations.

Attorneys Act and Regulations

Stamp Duties Act, who must stamp, how to stamp, when to stamp, penalty stamps, effect of non- stamping

Prescription Act, terms of prescription, stay of prescription, extinctive and acquisitive prescription

Alienation of Land Act 68 of 1981, only sections 2 and 28(2)

Matrimonial Property Act 88 of 1984, especially s15

VAT Act, liability for and payment of VAT, VAT implications of various contracts, VAT and the drafting of agreements

Insolvency Act, proving of claims and selected sections relating to the appointment of trustee/liquidator

Close Corporations Act, selected sections covering procedures for registering a CC and

amending founding statement, sale of shares, change of members, personal liability
Companies Act, selected sections regarding formation of company, transfer of shares, s36, s38, s228 and s424

Trust Property Control Act, procedure for registering a trust, difference between ordinary trust and discretionary trust

Attorneys Fidelity Fund Act, exact purpose of fund, how to lodge claims, income of fund

Justices of the Peace and Commissioners of Oaths Act, how to take the oath, pledge documents

Contingency Fees Act 66 of 1997

3.4 Paper 4: Attorney's bookkeeping

This entails a test in respect of the practical skills necessary for the keeping of attorney's books of account.

Candidates must show a thorough knowledge of the concept of trust money and of the essential requirements of the modern double entry bookkeeping system as applied to attorney's bookkeeping, the functions of the various books of account and must have sufficient practical knowledge of the supervision of bookkeeping to enable them to maintain the books of account required in an attorney's office. They must be able to apply accepted measures, controls and ethical standards to bookkeeping and financial matters.

Questions on VAT are included in this paper.

Please note: No bookkeeping paper will be provided in the answer books. Candidates must draw the necessary columns for the various books of account required. Pocket calculators may be brought along and utilised for this paper.

4. LEGISLATION

Apart from the other relevant Acts already mentioned above, the undermentioned additional Acts including rules and regulations where applicable, are relevant.

- Apportionment of Damages Act, 34 of 1956
- Justices of the Peace and Commissioners of Oaths Act, 16 of 1963
- Credit Agreements Act, 75 of 1980 (in as far as it relates to the recovery of goods and the payment of monies owing)
- Conventional Penalties Act, 15 of 1962
- Trust Property Control Act 57 of 1988
- Prescription Act, 68 of 1969
- Attorneys Act, 53 van 1979
- Insolvency Act, 24 of 1936
- Divorce Act, 70 of 1979
- Matrimonial Property Act, 88 of 1984
- Maintenance Act, 23 of 1963

十四、普通（綜合）律師入門考試報名表

KWAZULU-NATAL LAW SOCIETY

ATTORNEYS ADMISSION EXAMINATION

APPLICATION FORM

NO RESULTS WILL BE GIVEN TELEPHONICALLY and no telephonic enquiries about results will be accepted. You will be sent an SMS and the results will be available on the Law Society web (www.lawsoc.co.za**) and in both libraries.**

Complete this form and submit it to reach the physical address of the Law Society's office at First Floor, 200 Berg Street, Pietermaritzburg, together with your payment on or before the applicable closing date mentioned below. POSTDATED CHEQUES WILL NOT BE ACCEPTED.

If you make use of the services of an agency to deliver the application you do so entirely at your own risk. It is entirely your obligation to ensure that your application reaches us by the closing date. It is advisable not to post your application by Registered mail.

If payment is tendered by cheque, it must be made out to the KwaZulu-Natal Law Society. Our postal address is PO Box 1454, Pietermaritzburg 3200 or Docex 25, Pietermaritzburg. We reserve the right to withhold your results if the bank dishonoured the cheque.

NO DIRECT DEPOSITS WILL BE ACCEPTED.

ONCE YOU HAVE ENROLLED THERE WILL BE NO REFUNDS OR CARRYOVERS.

DATES FOR 2007 – ***Please state which exam you wish to write***

27 & 28 February 2007 Closing date 7 February 2007

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29 & 30 August 2007 Closing date 9 August 2007

SECTION 1

PLEASE PRINT:

1 Title (Mr/Mrs/Miss/Ms):____

2 Surname:____

3 Maiden name:____

4 First Name/s:____

5 ID Number:____

6 Age (in years):____

7 Name of Principal:____

8 Name and postal address of firm:

____

____

9 Telephone No: (w)____________________ (h)_______________________
Cell:____
(a number must be provided please)

10 Address to which your examination number must be sent. **Please note that this is also the address to which the certificate of proficiency will be sent:**

____

____

11 Date of commencement of your Articles/Contract of Service:

____

12 Period of Articles/Contract of Service entered into:

____

13 Degree/s obtained:____
Year/s in which obtained:______________________________________

14 At which University/ies:_______________________________________

15 If not a graduate, for which degree are you studying:

____

PLEASE CIRCLE APPROPRIATE ANSWERS:

16 Have you previously attended:

16.1 The Practical Training Course **(Section 15(1)(b)(ivA)): YES/NO**

16.1.1 If YES, at which centre:

____

16.1.2 Which course (Part A, Part B):

____

16.1.3 Duration (2 weeks/3 weeks):________________________

14.1.4 Which year/s:________________________________

OR

16.1.5 full time practical school **(Section 2(1A(a)) or 2(A)(a)(I)) (night school/day school): YES/NO**

16.1.6 If YES, at which centre:

____

16.1.7 Which course (Part A, Part B):

____

16.1.8 Duration:____________________________________

16.1.9 Which year/s:________________________________

17 Language Preference: **ENGLISH/AFRIKAANS**

18 Have you previously **written and passed** any parts of the Admission Examination: YES/NO

18.1 If YES, which parts have you passed:

PART 1 ☐

PART 2 ☐

PART 3 ☐

PART 4 ☐

VERY IMPORTANT

SECTION 2

I hereby apply to write the following examinations in:

PIETERMARITZBURG ☐

DURBAN ☐

On (date/s)____2007.

PLEASE INDICATE WHICH PART/S YOU WISH TO WRITE:

	YES	NO	
Part 1	☐	☐	Supreme Court Procedure, Magistrates Procedure, Motor Vehicle Accident Claims & Criminal Procedure
Part 2	☐	☐	Estates
Part 3	☐	☐	Attorneys Practice
Part 4	☐	☐	Bookkeeping

SECTION 3

PLEASE NOTE

1 The examinations comprise of the following papers:

PAPER 1	**Supreme Court Procedure**	**09:00 – 12:15**
	Magistrates' Court Procedure	
	Motor Vehicle Accident Claims	
	Criminal Procedure	
PAPER 2	**Estates**	**14:00 – 16:15**
PAPER 3	**Attorneys' Practice**	**09:00 – 11:15**
PAPER 4	**Bookkeeping**	**14:00 – 16:15**

2 Candidates may pass the papers in any order.

2.1 The fees for the papers are as follows:

PAPER 1 R114.00 (VAT incl)
PAPER 2 R 57.00 (VAT incl)
PAPER 3 R 57.00 (VAT incl)
PAPER 4 R 57.00 (VAT incl)

2.2 Every candidate attorney who applies for a RE-MARK of any of the papers in any part of the paper referred to above, will be required TO PAY A FEE which is TWICE THE AMOUNT DETERMINED IN THE SAID SUBPARAGRAPH CONCERNED, PROVIDED that in the event of a candidate receiving a pass mark as a result of such re-mark, the fee shall be refunded to him/her. Pass mark means that if a candidate obtained a WRITTEN PASS MARK as a result of the re-mark, he/she will be entitled to a refund of his fees.

3 The **CLOSING DATE** for the receipt of the application form, together with the payment is **3 WEEKS BEFORE THE DATE OF THE EXAMINATION** and must reach the Society's office timeously. **UNDER NO CIRCUMSTANCES WILL LATE APPLICATIONS BE ACCEPTED**. It is entirely your obligation to ensure that your application reaches us.

VERY IMPORTANT

SECTION 4

I hereby certify that I am entitled to write the examination because:

(delete sections which are not applicable)

1 I am currently serving under Articles of Clerkship and have done so for a continuous period of not less than six months **(I ENCLOSE A LETTER BY MY PRINCIPAL CONFIRMING THE AFOREMENTIONED)**

OR

2 I have complied with the provisions of the Attorneys Act in regard to the period of service of Articles required by the Act ie I have completed the period of Articles entered into with my Principal. **(I ENCLOSE A LETTER BY MY EX-PRINCIPAL TO THIS EFFECT)**

OR

3 I am exempt from service under Articles of Clerkship. **(PLEASE PROVIDE DETAILS AND PROOF OF EXEMPTION)**

OR

4 I attended a training course approved by the Society for an uninterrupted period of at least 4 months ie the full-time practical school, and have completed the course to the satisfaction of the Society. **(I ENCLOSE A COPY OF THE ATTENDANCE CERTIFICATE ISSUED BY L.E.A.D. VERIFYING THE SUCCESSFUL ATTENDANCE)**

I UNDERTAKE NOT TO CONTACT OR CORRESPOND WITH THE EXAMINERS IN ANY WAY REGARDING THE EXAMINATIONS OR THE RESULTS OF THE EXAMINATIONS. I WILL SUBMIT MY QUERIES TO THE SOCIETY'S OFFICE.

PLEASE COMPLETE AND RETURN THE DECLARATION WITHOUT WHICH YOU WILL NOT BE OMITTED TO WRITE THE EXAMINATIONS.

SIGNATURE:______________________________DATE:_______________

FOR OFFICE USE ONLY

DATE:_________RECEIPT NO:___________EXAMINATION NO:__________

十五、普通（綜合）律師入門考試成績公佈示例

PRACTICE & PROCEDURE RESULTS – FEBRUARY 2007

EXAM NO.	PAPER 1	PAPER 2	PAPER 3	PAPER 4	P =PASSED & excused from ORALS F =FAILED O=ORAL
D001	-	78	-	85	P2,4
D002	-	-	78	-	P3
D003	61	-	-	70	P1,4
D004	-	65	-	68	P2,4
D005	-	85	55	-	P1,3
D006	40	50	40	-	O1,3,P2
D007	56	58	70	76	P1,2,3,4
D008	68	-	70	-	P1,3
D009	51	-	-	70	P1,4
D010	-	74	40	79	P2,4,O3
D011	63	-	70	-	P1,3
D012	40	71	61	68	O1,P2,3,4
D013	73	-	67	-	P1,3
D014	53	40	-	-	P1,O2
D015	-	74	75	-	P2,3
D016	46	74	79	77	O1,P2,3,4
D017	64	-	54	-	P1,3
D018	65	71	-	63	P1,2,4
D019	57	73	50	30	P1,2,3,F4
D020	-	-	71	76	P3,4
D021	68	-	-	-	P1
D022	-	-	72	-	P3
D023	-	78	70	85	P2,3,4
D024	-	69	44	72	P2,4,O3
D025	-	50	62	40	P2,3,O4
D026	-	-	42	-	O3
D028	-	-	75	-	P3
D029	59	-	-	-	P1
D030	-	89	-	-	P2
D031	64	-	-	74	P1,4
D032	-	-	-	52	P4
D033	68	63	-	-	P1,2
D034	-	-	70	50	P3,4
D035	-	73	64	72	P2,3,4
D036	60	64	51	73	P1,2,3,4

十六、專門（出庭辯護）律師見習申請表

APPLICATION FOR PUPIL MEMBERSHIP OF THE CAPE BAR IN 2008

Attach photo here

Huguenot Chambers, 40 Queen Victoria Street, Cape Town
Phone: 021 424 2777 - Fax: 021 423 2692 – E-mail: cbc@law.co.za
www.capebar.co.za

The schedule entitled "Information for Applicants" which commences at paragraph 0 ("the information schedule") constitutes an integral part of this application form. The information schedule sets out necessary requirements for the proper completion of this form. It is accordingly **essential** that you read and understand its contents. Kindly do so before you start filling in this form and before you direct any questions to the Cape Bar about the application process.

The marginal notes next to certain questions in this form refer you to specific

paragraphs in the information schedule.

To: The Administrative Officer, Cape Bar Council,
Huguenot Chambers, 40 Queen Victoria Street, Cape Town 8001.

I hereby apply for pupil membership of the Cape Bar.

About the applicant

1. Full name: ....

....

Name by which you prefer to be called: ....

See information schedule paras 0 to 0.

2. Home address:..

....

....Postal code:. ....

Phone No:...Cell: ....

Fax No: ....

E-mail address:..

3. Work address: ....

....

.... Phone No: ....

4. Date of birth: ....

5. Nationality:..

5.1 If you are a South African citizen, how did you obtain South African citizenship?
[ ] by birth or descent [ ] by naturalisation

In respect of the questions on nationality, race, sex and disability, see information schedule para 0.

5.2 If you are a South African citizen by naturalisation, on what date did you obtain South African citizenship? ....

5.3 If you are not a South African citizen, provide full particulars of your immigration status and your right to reside to reside in South Africa:
....

6. Race: [ ] African [ ] Coloured [ ] Indian [ ] White

7. Sex: [ ] Female [ ] Male

8. Are you disabled? [ ] Yes [ ] No

If so, provide details: ....

9. Do you need this application to be treated as confidential? [ ] Yes [ ] No

---

Academic qualifications and achievements

10. Provide the following details of your tertiary academic qualifications:

Leave this table blank if you have not yet obtained a degree / other tertiary qualification.

Degree / other qualification	Name of university / other institution	Date of graduation

11. Provide details of any academic publications or any other academic achievements:

....

....

12. If you have not yet obtained your LLB degree, provide full disclosure of all subjects still to be passed or other requirements to be met:

....

....

Previous experience

13. Provide the following details, in chronological order, of all your activities since leaving high school (including study, employment, occupation, travelling, unemployment, etc.):

Do not leave out any period

Institution/ organisation/ firm/ company	**Activity / position Also state whether full time (FT) or part time (PT)**	**Dates**		**Duration (years)**
		from	**to**	

14. Provide details of any previous legal experience other than that set out in the above table:

....

....

....

15. Will you still be in the employ of any person/institution at the commencement of pupillage?

[ ] Yes [ ] No

If so, furnish full particulars (including any remuneration receivable by you and the date upon which your employment will finally terminate).

....

....

Admission as an advocate / other pupillage

16. Date of and division where you were admitted as an advocate: ....

....

....

See information schedule paras 0 -0.

17. If not admitted, what date and which division was or will your application for admission be lodged with the registrar?

....

18. Apart from the answers provided in 0 and 0 above, give particulars of any previous:

....

18.1 Admission as an advocate or application for admission as an advocate:

....

18.2 Membership of any Bar or application for membership of any Bar:

....

18.3 Pupillage served at any Bar or pupillage applied for at any Bar:

....

Applicants who are or were attorneys

19. Are you presently on the roll of attorneys? [ ] Yes [ ] No

See information schedule paras 0 - 0.

If so, when do you intend to apply for the removal of your name?

....

20. Were you ever previously on the roll of attorneys? [ ] Yes [ ] No

If so, give particulars of the circumstances of and the reason for the removal of your name from the roll:

....

21. Furnish full particulars including the name(s) of the firm(s) with which you were associated as an attorney:

....

22. What arrangements have been made for any firm of attorneys which practises under a name which includes yours to cease using your name?

....

23. Are you entitled to any payment in respect of goodwill? If so, give full particulars:

....

Applicants who are or were candidate attorneys

24. Are you presently a candidate attorney? [ ] Yes [ ] No

If so, furnish full particulars of the dates involved, name of the attorney and name of firm:

....

25. Were you ever previously a candidate attorney / articled clerk? [ ] Yes [ ] No

If so, furnish full particulars of the dates involved, name(s) of the attorney(s) and name of the firm(s):

....

Pupillage

See information schedule para 0.

26. Do you wish to apply for exemption from any of the ordinary requirements of pupillage?
[ ] Yes [ ] No

27. Do you have any preference as to who your pupil mentor should be?
[ ] Yes [ ] No

See information schedule paras 0 - 0.

27.1 If so, give his or her name:

....

27.2 Motivate your reason for wanting to do pupillage with this particular advocate (include information about any professional or other relationship):

....

....

28. What financial arrangements have you made for your pupillage?

....

....

After Pupillage

An untruthful answer may adversely affect any future application for membership of the Bar.

29. Do you intend to practise on completion of your pupillage?
[ ] Yes [ ] No

29.1 If the answer is "no", set out details of what you propose to do:

....

....

29.2 If the answer is "yes", when do you intend to start practice and where:

....

....

References

30. Please furnish the name and contact details of two persons (preferably local persons) to whom the Bar Council can refer:

30.1 Name: ....

Address: ....

....

Phone No: ....

E-mail: ....

30.2 Name: ....

Address: ....

Phone No: ....

E-mail: ....

31. You are required to attach a testimonial from the dean of the law faculty that you attended or a certificate of conduct from the said faculty. If it is not possible to obtain such testimonial or certificate, you are required to state the reason for your inability to obtain it and this requirement may be waived by the Cape Bar.

....

....

Further information

32. Have you ever been investigated for or faced charges of misconduct, dishonesty or other improper conduct *inter alia* in relation to your employment, profession or university studies or have you ever been investigated for or faced criminal charges or have you ever been arrested or paid an admission of guilt fine (other than for minor traffic violations, such as speeding) or has any hearing, tribunal or court ever made a finding against you?

[ ] Yes [ ] No

If so, give details: ....

....

33. Make full disclosure of all further facts, circumstances or information which may have a bearing upon your fitness to undertake pupillage or to practise as an advocate or which the Cape Bar should have in order to consider your application.

....

....

Declarations and undertakings

34. I declare that:

34.1 The information provided in this application is true and correct.
34.2 I have not been guilty of any dishonest or improper conduct or other conduct which will render me unsuitable or disqualify me from being admitted as an advocate or being admitted as a member of the Cape Bar. No investigation relating to any such conduct is being considered or is pending.
34.3 No fact, circumstance or information which ought to be considered by the Cape Bar in order to enable it to decide upon my fitness to be admitted as a pupil member has been withheld by me.
34.4 I have read and understood the information contained in the attached information schedule.
34.5 I accept and agree to be bound by the conditions and requirements of application for pupillage that the Cape Bar and the General Council of the Bar of South Africa have set, including those contained in this application form and the attached information schedule.
34.6 I attach to this application each of the documents which are listed in paragraph 0 of the information schedule.

35. I undertake that:

35.1 During my pupil membership I will abide by the rules of the Cape Bar and any directions and decisions of the Bar Council and the General Council of the Bar of South Africa and the National Bar Examination Board.
35.2 Save to the extent that I may in law be compelled to do so, I will not, during or after the period of my pupillage, disclose to any person any information obtained by me during the course of my pupillage concerning the affairs of my mentor or any other advocate with whom I might work as a pupil or concerning the affairs of any client.

....

SIGNATURE OF APPLICANT   **DATE**

Schedule: Information for applicants

(“the information schedule”)

Completion and submission of applications

36. You are requested, but not required, to complete the application form in **bold** typewriting on a word processor (Microsoft Word). For this purpose, you may download an electronic version of the application form from the website of the Cape Bar, www.capebar.co.za.

37. If you are completing the application form on a word processor and the form does not provide enough space for you to fully answer any particular question then continue typing each answer until it is complete and delete any dotted lines.

38. If you are completing the application form by hand and the form does not provide enough space for you to fully answer any particular question then use a separate page. If you use a separate page, ensure that (a) this fact is clearly stated under the relevant question on the application form itself and (b) the answer on the separate page is headed with the corresponding question number.

39. Each application must be accompanied by a non-refundable application fee of R1,000.
    - 39.1 The application fee must be paid either by means of electronic funds transfer (EFT) or by means of cheque. **No cash will be accepted**.
    - 39.2 Payment by EFT must be made into the bank account of the Cape Bar Council, First National Bank, Adderley Street Branch, branch code 201409, account number 62104924891 and using your last name and initials as the reference. Printed confirmation of EFT **must** be attached to the application form.
    - 39.3 If payment is by means of cheque, the cheque must to be made out to “Cape Bar Council” and **must** be attached to the application form.

40. The following annexures must be attached to this application, **failing which your application will not be considered**:
    - 40.1 Printed confirmation of EFT or a cheque in the amount of R1,000;
    - 40.2 A recent passport photograph attached to the designated space on page 1;
    - 40.3 A certified copy of your degree certificate(s) (if you have graduated);
    - 40.4 A certified copy of your **academic record** showing all marks or other results obtained towards your LLB degree. This record must be provided irrespective of whether or not you have graduated. If your degree is incomplete then provide your academic record with the latest available results. Unlike your degree certificate or a transcript of academic results, an academic record shows all your university results including, for example, those results for subjects that you may have initially failed but which you subsequently passed. If you have obtained credits towards your LLB from courses done while studying for another degree or from a different university then attach academic records in respect of such other degree or other university. Without this information, the Bar will not be able to assess your application.
    - 40.5 A certified copy of your identification document or passport;
    - 40.6 A testimonial from the dean of the law faculty that you attended or a certificate of conduct from the said faculty (unless you have applied, in terms of question 0, for the Bar to waive this requirement);
    - 40.7 A certified copy of the court order admitting you as an advocate of the High Court (if you have been admitted);
    - 40.8 If you are a South African citizen by naturalisation, a certified copy of the document(s) that prove the date that you obtained South African citizenship;
    - 40.9 If you are not a South African citizen, a certified copy of the document(s) that prove your immigration status (eg permanent residence).

41. An application will only be considered if it is received in hard copy (ie **not by fax or e-mail**) with all required annexures at the office of the Administrative Officer of the Cape Bar Council on the ground floor of Huguenot Chambers, 40 Queen Victoria Street, Cape Town. The application form is required in hard copy, *inter alia*, to ensure authenticity of your signature, quality of your photo and to provide the Cape Bar with the necessary number of copies.

42. The original application must be accompanied by four identical photocopies of the application including all annexures.

43. The closing time for applications is 16:30 on 30 September of the year preceding the year of pupillage. If 30 September falls on a Saturday, Sunday or public holiday then the closing time is 16:30 on **the preceding business day**.

No application received after the closing time will be considered.

Notification of any change to contact details

44. You are required to immediately notify the administrative officer of the Cape Bar of any changes to your contact details (address, phone number(s), fax number and e-mail address).

45. You will be deemed to have received a communication sent to your address, fax number or e-mail address on record. For example, after a notice of the date, time and venue for any interview has been sent to your address, fax number or e-mail address on record, the Cape Bar will not follow up with you to check whether or not you in fact received such notice.

46. Your duty to immediately notify the administrative officer of the Cape Bar of any changes to your contact details lasts throughout your period of pupillage, should your application be accepted.

Assessment of applications

47. The timeous submission of a complete application form does not guarantee that the Cape Bar will necessarily accept your application.

    47.1 If the number of applications for pupil membership of the Cape Bar exceeds the number of available places in any particular year, then some applications will, unfortunately, be turned down.
    47.2 The selection criteria include: university results, relevant previous experience, aptitude to be an advocate, determination to be an advocate, nationality, race, sex and disability status. The order in which these criteria have been listed here do not necessarily indicate the weighting that they will be given.
    47.3 The application of the abovementioned criteria will be in the discretion of the Cape Bar.
    47.4 Irrespective of the number of available places, the Cape Bar may turn down your application if it decides that you are not a suitable candidate for pupillage.
    47.5 To promote the transformation of the Cape Bar to better reflect the composition of society, preference may be given to applicants who are (a) African, Coloured or Indian; (b) female; or (c) disabled, provided that such applicants are a South African citizen by (i) naturalisation before 27 April 1994; or (ii) birth or descent.
    47.6 You are required to disclose your nationality, race, sex and disability status to enable the Cape Bar to apply its policy of preferring historically disadvantaged individuals.

48. The Bar may require you to be interviewed prior to taking a decision on your application and your failure to attend will be regarded as a withdrawal of your application. The interview will form an important part of the assessment process.

Duration of pupillage

49. Unless you are granted an exemption, pupillage commences on 15 January of each year (or the following business day if 15 January falls on a Saturday, Sunday or public holiday). Pupillage terminates on 31 December of each year.

Exemption from pupillage

50. If you wish to apply for exemption, state on a separate page the exemption requested and fully motivate all the facts relied upon to support your application.

51. For your information:

51.1 Exemptions are granted sparingly.

51.2 In principle, the period of a programme for pupillage will be the same for pupils who have not yet qualified as legal practitioners as for pupils who have already qualified as legal practitioners, viz. 12 months.

51.3 Provision for partial exemption from this requirement is as follows :-

51.3.1 No-one may be exempted from any of the requirements of pupillage if he or she has not practised as a legal practitioner for at least 4 years.

51.3.2 A legal practitioner who has practiced as such for a period of at least 4 years may apply to the Cape Bar Council for partial exemption from the requirements of pupillage, provided that the Cape Bar Council may not exempt anybody from the requirements of having to:-

(a) pass the National Bar Examination; or

(b) satisfactorily attend advanced practical advocacy training.

51.4 Notwithstanding anything contained above, the Annual General Meeting of the General Council of the Bar (GCB) has the power to exempt any person from the requirements of pupillage.

Admission as an advocate

52. Before you start your pupillage you must already be an advocate of the High Court or at least have made an application to be so admitted. This application for pupillage is not an application for admission as an advocate of the High Court. The latter application is an application to the High Court. Your application for admission as an advocate must be served on the Bar Council.

53. In order to assist you with preparation of your application for admission as an advocate, you may download a precedent application from the website of the Cape Bar, www.capebar.co.za. The precedent should only be referred to as an example application and does not relieve you from your responsibility to fully comply with the law governing the admission of advocates including the requirements of the Admission of Advocates Act No 74 of 1964.

54. No pupil will be allowed to commence with pupillage without proof that they have been admitted as an advocate of the High Court or that their application for admission as an advocate has been served on the Bar Council and filed with the High Court on or before the last business day preceding the commencement of pupillage. (For example, if you are due to commence pupillage on 15 January and that day falls on a Monday, then your application for admission must be served and filed on or before the previous Friday.)

55. Only pupils who have been admitted as an advocate of the High Court will be permitted to write the National Bar Examinations.

56. Once admitted, you must hand a copy of your admission certificate (as proof of admission as an advocate) to the Administrative Officer of the Cape Bar no less than 14 days before the date of the first examination.

Applicants who are or will become attorneys

57. Applicants who are or intend to become attorneys are advised that no person whose name appears on the roll of attorneys shall be eligible to be admitted as an advocate.

58. No pupil will be allowed to commence pupillage without proof that an application has already been filed for the removal of their name from the roll of attorneys and that the relevant Law Society has no objection thereto.

Pupil mentor

59. You are encouraged to ascertain from a member of the Cape Bar whether that member would be willing to be your mentor in the event that your application succeeds. The decision on the allocation of your mentor rests with the Cape Bar and while your preference, if any, will be taken into account, the fact that a member may be willing to be your mentor does not necessarily mean that you will be allocated to that member.

60. It is, however, **<u>not</u>** essential that you arrange for someone to be your mentor. If you do not or cannot arrange for an advocate to be your prospective mentor, the Cape Bar will allocate a suitable member to be your mentor.

十七、相關照片

與會人員合影

林部長專題報告

林部長回答與會人員提問

林部長與南非公共服務及行政部主管Geeva Pillay會談

林部長與南非法律學會主管Nosipo Matanzima等會談

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