Service Performance Monitoring System (SPMS)
Self-assessment on Compliance with SQSs, ESRs and OS/OCs in 2020-21

Name of Service Operator

I. Result of Self-assessment on 16 SQSs and ESRs
This NGO has conducted a self-assessment on 16 SQSs and ESRs based on the tools and suggested process\(^1\) including the examination of all documents and their implementation as well as the formulation of action plans for non-compliant areas by:

\[^{1}\text{Note as appropriate}\]

- Service unit manager(s)
- Service coordinator(s)
- Internal audit team
- Others (please specify): __________________________

Result of our self-assessment is \[^{2}\text{Please as appropriate}\]:

- All subvented service unit(s) of this NGO having been operated for 12 full months in 2020-21 is/are assessed to have met the requirements of all criteria of 16 SQSs and ESR(s) as stipulated in respective Funding and Service Agreement(s).
- The following service unit(s) of this NGO has/have unmet area(s) of SQS(s) or ESR(s) and the corresponding Action Plan(s) is/are attached (please use the form at Appendix 1):

<table>
<thead>
<tr>
<th>Name of Service Unit(s) with Non-compliance</th>
<th>Unmet Area of SQS(s)/ESR(s)</th>
</tr>
</thead>
<tbody>
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</table>

Any other remarks on self-assessment:

\[^{2}\text{Note as appropriate, if any, and provide details in separate sheets}\]

- Good Practice\(^2\), including SQSs, value-added and innovative service (please specify):

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\[^{1}\text{Note Details about the self-assessment mechanism are laid down in Chapter 4 of the Performance Assessment Manual which can be downloaded from http://www.swd.gov.hk/en/index/site_ngo/page_serviceper/sub_serpassessment.}\]

\[^{2}\text{Note The good practices reported may not be counted as track record on performance monitoring of the service operator / service unit(s). For 'Good Practice’ on SQSs, we refer to the practice over and above the basic requirement of SQS, not commonly practised and such practices may be considered by other service operators as good example for the reference of their service units.}\]
II. Result of Self-assessment on OS/OCs Performance

This NGO has conducted an annual assessment on OS/OCs of all subvented service unit(s) by:

[Please ☑ as appropriate]

☐ Service unit manager(s)
☐ Service coordinator(s)
☐ Internal audit team
☐ Others (please specify): ____________________________

Result of our self-assessment is [Please ☑ as appropriate]:

☐ All subvented service unit(s) of this NGO is/are assessed to have met their corresponding OS/OCs in 2020-21.

☐ The following service unit(s) of this NGO has/have under-performance in OS/OCs in 2020-21 and the corresponding Action Plan(s) is/are attached (please use the form at Appendix 2).

<table>
<thead>
<tr>
<th>Name of Service Unit(s) with Unmet OS/OC(s)</th>
<th>Unmet OS/OC(s)</th>
<th>SIS form No.</th>
</tr>
</thead>
<tbody>
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</tbody>
</table>

Remark: Service operators should ensure that all statistics reported in the SIS forms are accurate. If amendments to the OS/OCs statistics of 2020-21 are needed, the amended data, together with full justification, should be attached to this proforma for re-submission.

Signature: ________________________________

Name: ________________________________

Post: Chairperson of Board/Management Committee/ NGO Head *

Service Operator: ________________________________

Contact Person: ________________________________ (Name & Post)

Tel No.: ________________________________ Fax No.: ________________________________

E-mail Address: ________________________________

Date: ________________________________

*delete as appropriate
**Appendix 1**

**Action Plan**

for Unmet Areas of SQSs/ESRs as at 31 March 2021

**IMPORTANT NOTE:**

(1) If the unmet areas in SQSs/ESRs of service units concerned are due to circumstances relating to COVID-19 in 2020-21, NGOs can fill in one “Action Plan” for all the unmet areas; and tick “Not applicable” under Items IV and V.

(2) If the unmet areas in SQSs/ESRs of service units concerned are due to reasons other than (1) above, the service operator is required to formulate Action Plans for all unmet areas. **One Action Plan is required for each unmet area.**

(3) For (2) above, the service operator may be required to report in writing the progress of the Action Plan according to a specified time frame.

Name of Service Operator : ________________________________

Name of Service Unit : ________________________________

Funding and Service Agreement : ________________________________

I. Criterion of SQS: No. ______ / ESR concerned*:

II. The area(s) not yet achieved:

III. Reason(s) for not achieving the above area(s) (please ☑ as appropriate, may tick more than one box):

☐ in accordance with the special arrangements as announced by SWD, the service unit suspended service delivery / was not open to the public / only provided services on a limited scale (e.g. areas designated for public use were closed) / others (please specify:______________________________________________)* from ___________(date) to ____________(date) to prevent the spread of COVID-19.

☐ other reason(s) (please specify): ____________________________________________

IV. Action(s) to be taken for achieving the above area(s) (please ☑ as appropriate):

☐ Not applicable

☐ Action(s) to be taken (please specify):

V. Planned time frame for completing the action(s) (please ☑ as appropriate):

☐ Not applicable

☐ Action(s) to be taken (please specify):

____________________________________

____________________________________

Appendix 1 – Action Plan for Unmet Area of SQS/ESR
Appendix 1

Responsible Service Coordinator/Supervisor of Service Unit

Name [English]: [Chinese]: Signature:

Post & Rank [English & Chinese]:

Contact Phone No.: Fax No.: E-mail Address: Date:

* delete as appropriate
**Action Plan**
for Underperformed OS/OCs in 2020-21

**IMPORTANT NOTE:**
(1) If the underperformed OS/OCs of service units concerned are due to circumstances relating to COVID-19 in 2020-21, NGOs can fill in one “Action Plan” for all the underperformed OS/OCs; and tick “Not applicable” under Items II and III.

(2) If the underperformed OS/OCs of service units concerned are due to reasons other than (1) above, the service operator is required to formulate Action Plans for all underperformed OS/OCs of its service units concerned. *One Action Plan is required for each underperformed OS/OC.*

(3) For (2) above, the service operator may be required to report in writing the progress of the Action Plan according to a specified time frame.

<table>
<thead>
<tr>
<th>Name of Service Operator</th>
<th>Name of Service Unit</th>
<th>Funding and Service Agreement</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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</table>

<table>
<thead>
<tr>
<th>Under-performed OS/OC (e.g. OS1/OC3)</th>
<th>Description of OS/OC Indicator</th>
<th>Agreed Level (as stipulated in FSA or SIS Form)</th>
<th>Actual Performance of the Service Unit in 2020-21</th>
<th>Any under-achievement of the same OS/OC in 2019-20 (if yes, please state the actual performance of 2019-20 also)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
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</tbody>
</table>

I. Reason(s) for not achieving the OS(s)/OC(s) (please ☑ as appropriate, may tick more than one box)
   - ☐ in accordance with the special arrangements as announced by SWD, the service unit suspended service delivery / was not open to the public / only provided services on a limited scale (e.g. areas designated for public use were closed) / suspended groups and programmes / others (please specify: ___________________________)*
     from __________(date) to __________(date) to prevent the spread of COVID-19.
   - ☐ other reason(s) (please specify):

II. Action(s) taken and result (effectiveness) / action(s) to be taken to meet the Agreed Level of the OS/OC(s) in the following year (please ☑ as appropriate):
   - ☐ Not applicable
   - ☐ Action(s) to be taken (please specify):

III. Planned time frame for completion of the action(s) proposed above (please ☑ as appropriate):
   - ☐ Not applicable
   - ☐ Action(s) to be taken (please specify):
# Responsible Service Coordinator/Supervisor of Service Unit

<table>
<thead>
<tr>
<th>Name [English]:</th>
<th>[Chinese]:</th>
<th>Signature:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Post &amp; Rank [English &amp; Chinese]:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Contact Phone No.:</td>
<td>Fax No.:</td>
<td>E-mail Address:</td>
</tr>
</tbody>
</table>

*delete as appropriate*