Lingnan University
Department of Political Science

CLC9014 Hong Kong Civil Service
First Semester, Fall 2016

Instructor & Tutor: Dr. Raymond YUEN Hau-yin
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Email: hauyinyuen@LN.edu.hk
Lecture Time & Venue: Tuesday, 14:30-16:30 @LKK-G05
Tutorial Sessions:
- Tut 2: Monday, 10:30-11:30 @LKK-304
- Tut 3: Wednesday, 14:30-15:30 @LKK-G04
Office Location: Room 310, Dorothy Y L Wong Building, Department of Political Science, Lingnan University
Office Hours: Monday 1130-1330; 1430-1530 / Tuesday 1630-1730 / Wednesday 1230-1330; 1530-1630 OR by appointment over e-mail for consultation

Course Aims and Intended Learning Outcomes (CILOs)
This course provides students with an overview of the management of organization and human resources in civil service system, with reference to the relevant issues and development in Hong Kong. It aims to benefit students who are planning to pursue their career in the government or other public sectors after graduation. It is going to provide students with a theoretical framework and critical analysis of various approaches and techniques of civil service system and management.

Upon successful completion of this course, students should be able to:

1. Identify the underlying values in managing civil service system and critically discuss the strengths and weaknesses of alternative approaches in civil service management;
2. Identify the key concepts, debates, strategies and trends in contemporary civil service management;
3. Analyses the civil service system of the Hong Kong SAR, including statutory and administrative framework, key actors, strategies and practices; and the societal and political impacts on civil service management structures;
4. Examines the institutions, management processes, and major issues confronting the civil service system; and
5. Examine the international trends in civil service reforms and their implications.
A brief introduction to the doctrines of New Public Management and its implications will also be provided in the later stage of lectures to further enhance students’ understanding of this important international trend of public sector reforms.

If possible, guest talks by former Hong Kong senior civil servants will be arranged to provide students with insights into the current operation and practices of the system in post-handover Hong Kong.

**Teaching Pattern and Methods**

The class includes both 2-hour lecture per week and 1-hour tutorial (8 sessions):

a. **Lectures (2 hours/week, 13 sessions in total)** focus on the introduction and explanation of key concepts, theoretical framework and critical analysis of various human resources and financial management practices in the public sector context, with illustrations by referring to current issues and local examples whenever appropriate.

b. **Tutorial Sessions (1 hours/week, 8 sessions in total, Starting from Week 6)** provide students with the opportunity to apply the concepts and theories acquired in lectures to real-life current issues. Students are required to give a group presentation and a class discussion of cases and problems will be held afterwards. Students have to form groups with **2-3 students** and work out their presentation questions / case analysis under the **4 main themes of study** freely. Each group will take charge of ONE topic of presentation at different weeks. Each presentation will last for about 30 minutes and each topic will be taken charge by TWO presentation group. A 3000 words presentation paper must be submitted to the instructor within TWO WEEK after their presentation. The paper should be typed & full-referenced.

**Learning Materials**

a. **PowerPoint slides** - The PowerPoint slides for the lectures will be uploaded on Blackboard **before the lectures scheduled**. Students are required to read the PowerPoint slides before the lecture so as to establish a basic understanding of the lecture topic.

b. **Lecture notes (on Selected Topics)** - Lecture notes on selected topics will be uploaded on Blackboard **after the lectures**. Students are required to study the lecture notes in details which would provide a good basis or preparing tutorial presentation, group paper and final examination.

c. **Required readings** - Required readings will be available for downloading from the Blackboard. Students are advised to read and study all the assigned readings.

d. **External resources** - Students should read quality report of current issues in Hong Kong to keep close touch with the latest social developments. Students are also advised to read the newspapers and periodicals regularly to make themselves aware of the current issues in Hong Kong, as well as the policies introduced by the SAR government. For the preparation of written assignments, students may check the webpage of the Lingnan University Library. You are strongly recommended to make use of “Wisenews”, a database that collects a rich bundle of newspaper articles of Hong Kong and the greater China Region.
## Lecture and Tutorial Schedule

### a) Lecture Schedule and Indicative Content

<table>
<thead>
<tr>
<th>Week</th>
<th>Date</th>
<th>Time &amp; Venue</th>
<th>Lecture Topic</th>
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<tr>
<td></td>
<td></td>
<td></td>
<td><strong>Part I: Introduction to Modern Civil Service</strong></td>
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| 2    | 6 Sep (Tue) | 14:30-16:30 @LKK-G05 | Course Introduction +  
An Overview of the Civil Service System in HK  
- Values, Trends and Development  
- Political Context and Policy Environment  
- Organization and Management  
- The Administrative Grade |
| 3    | 13 Sep (Tue) | 14:30-16:30 @LKK-G05 | A Conceptual Framework in Understanding Modern Civil Service  
- ‘Public’ versus ‘Private’ Management  
- The Principles of Modern Civil Service  
1. Ideal Type ‘Bureaucracy’ and Traditional Public Administration Model  
2. ‘Motivation’ Theories and ‘Merit System’  
- Competing Values and Approaches in Understanding Civil Service |
| 4    | 20 Sep (Tue) | 14:30-16:30 @LKK-G05 | The Concept of Bureaucracy  
- Revisiting Max Weber’s ‘Bureaucracy Theory’  
1. The Characteristics of Bureaucracy  
2. The Limitations of Hierarchy  
- Bureaucratic Failures in Hong Kong |
| 5    | 27 Sep (Tue) | 14:30-16:30 @LKK-G05 | Contingency Theory and Alternative Structures  
- Revisiting Frederick Taylor’s ‘Theory of Scientific Management’  
1. Contingency Theory  
2. Alternatives to Bureaucratic Structure  
- Restructuring Bureaucracy in Hong Kong |
| 6    | 4 Oct (Tue) | 14:30-16:30 @LKK-G05 | The Myth of ‘Administrative State’  
- Revisiting Woodrow Wilson’s Notion of ‘Politics-Administration Dichotomy’  
1. The Political Role of ‘Administrative Elite’  
2. Politician-Bureaucrat Dynamics: Four Images  
- Evaluating ‘Principal Official Accountability System’ (POAS) in Hong Kong  
- Politics-Administrative Relations under the Accountability System |
|      |          |              | **Part II: Structure and Organization of Civil Service** |
| 8    | 18 Oct (Tue) | 14:30-16:30 @LKK-G05 | Manpower Planning, Recruitment and Selection  
- Public Personnel Management  
- Manpower Planning  
- Recruitment and Selection |
| 9    | 25 Oct (Tue) | 14:30-16:30 @LKK-G05 | Pay, Compensation and Performance Management  
- Pay and Compensation  
- Performance Management |
| 10   | 1 Nov     | 14:30-16:30 | Conducts, Disciplines and Industrial Relations |
### Part IV: New Public Management and Reform of Civil Service System

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<tr>
<th>Week</th>
<th>Date</th>
<th>Time</th>
<th>Location</th>
<th>Topic</th>
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<tr>
<td>11</td>
<td>8 Nov (Tue)</td>
<td>14:30-16:30</td>
<td>@LKK-G05</td>
<td><strong>The NPM Doctrines</strong>&lt;br&gt;- The Origin and Principles of NPM&lt;br&gt;- Theoretical Pillars of NPM&lt;br&gt;1. Public Choice Theory&lt;br&gt;2. Contractualism&lt;br&gt;3. Principal-Agent Model</td>
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<tr>
<td>12</td>
<td>15 Nov (Tue)</td>
<td>14:30-16:30</td>
<td>@LKK-G05</td>
<td><strong>Civil Service Reform and ‘Contractualization’</strong>&lt;br&gt;- Main Features of Civil Service Reform&lt;br&gt;- ‘Contractualization’ of Public Services&lt;br&gt;1. Performance Management&lt;br&gt;2. Customer-oriented Approach&lt;br&gt;- Civil Service Reforms and ‘Performance Pledge’ Scheme in Hong Kong</td>
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<tr>
<td>13</td>
<td>22 Nov (Tue)</td>
<td>14:30-16:30</td>
<td>@LKK-G05</td>
<td><strong>Public Sector Reform I: ‘Privatization’</strong>&lt;br&gt;- Conceptualizing ‘Privatization’&lt;br&gt;- Major Forms of ‘Privatization’&lt;br&gt;1. Pure privatization &amp; Divestment&lt;br&gt;2. Contracting-out &amp; Outsourcing&lt;br&gt;3. Public-Private Partnership&lt;br&gt;4. Voucher &amp; Purchaser-Provider Separation&lt;br&gt;- Privatization of Public Services in Hong Kong</td>
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<tr>
<td>14</td>
<td>29 Nov (Tue)</td>
<td>14:30-16:30</td>
<td>@LKK-G05</td>
<td><strong>Public Sector Reform II: ‘Agencification’ (Optional)</strong>&lt;br&gt;- The NPM Ideal-type Agency Model&lt;br&gt;- The Rationales and Impacts of ‘Agencification’&lt;br&gt;1. Explaining the Creation of Agency&lt;br&gt;2. Governing Agency: Autonomy, Control and Coordination&lt;br&gt;- Agencification of the Public Sector in Hong Kong</td>
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#### b) Presentation Topics

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<thead>
<tr>
<th>Week</th>
<th>Tutorial Topic / Project Area</th>
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<tr>
<td>3</td>
<td>Guiding and Introductory Session</td>
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<td>6/7</td>
<td><strong>(In-)efficiency of Bureaucracy</strong>&lt;br&gt;Tracing the bureaucratic origin of government scandals and policy failures</td>
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<tr>
<td>8/9</td>
<td><strong>Principal Official Accountability System</strong>&lt;br&gt;Discussing the extent to which the POAS can fit into the Administrative State in Hong Kong amidst its changing political and socio-economic context</td>
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<tr>
<td>10/11</td>
<td><strong>Discovering Personnel Management Problems</strong>&lt;br&gt;Exploring the impacts of personnel management problem on organizational performance in the public sector</td>
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<tr>
<td>12/13</td>
<td><strong>The Promises &amp; Problems of NPM Reform</strong>&lt;br&gt;Examining the Rhetoric and Reality of New Public Management Reform</td>
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Assessment: Grading and Requirements
Assessment of student performance will be based on the following TWO parts:

### Tutorial: 40%
This part includes tutorial participation and discussion (10%), group presentation (15%) and group written report (15%). It is compulsory for students to attempt all the coursework assignments.

#### 1. Tutorial presentation - 15%
The whole class is divided into presentation teams (each team comprising around 4 to 5 members) and each team is required to give a 45-minute oral presentation on an assigned topic in English, followed by a question and answer session and further discussion in the class (Please refer to the Tutorial Outline for detailed guidelines of the group presentation).

#### 2. Tutorial discussion - 10%
Apart from the presentation team, another team of students is assigned as Discussants. The role of the discussants is to critically review the presentation by questioning and commenting upon the ideas presented by the presentation team. Following this question and answer session by the discussants (around 15 minutes), there is an open discussion by the whole class.

#### 3. Group Written Report - 15%
Following the oral presentation, the presentation team submits a group project paper on the presentation topic. The paper should be not less than 3000 words in length (excluding footnotes, bibliographies and appendices) and typed in one-and-a half line spacing. It should be properly referenced according to established academic rules and plagiarism is strictly prohibited. A table setting out the division of work amongst the presentation team should also be attached at the end of the paper for individual assessment. Students should submit their paper (in hard copy) two weeks after the group presentation. Late submission will be penalized unless prior permission has been obtained from the lecturer or tutor.

### Examination: 60%
The final examination will take the form of essay-typed questions. The questions assess the extent to which students possess the ability to analyze the theoretical and practical issues in a systematic and critical way.

Major books used in this course

**Organization and Personnel Management in Civil Service System:**

**Civil Service System and Management in Hong Kong:**
- The Basic Law of the Hong Kong Special Administrative Region of the People's Republic of China (Online access: http://info.gov.hk/basic_law).

**New Public Management and Reform of Civil Service System:**

**Teaching Plan and Readings (**Required Reading**)**

The following required readings only serve as the recommended references for this subject and you are encouraged to go to the library to explore other references on your own. Please feel free to consult the Lecturers as and when necessary. Readings with asterisk are required references that are most pertinent to part of the examination.

**Part I: Introduction to Modern Civil Service**

**Week 2 – An Overview of the Civil Service System in Hong Kong**

- Dresang, Dennis L. (2009), Chapter 1, 5 and 6.

**Week 3 and 4 – A Conceptual Framework in Understanding Modern Civil Service**

- *David Rosenbloom (2009), Chapter 1, 4 and 5
- Berman, Evan M. (2010), Human Resource Management in Public Service: Paradoxes,

Part II: Structure and Organization of Civil Service

Week 5 – The Concept of Bureaucracy

- Michael Lipsky (1980), Street-Level Bureaucracy: Dilemmas of the Individual in Public Services, Russell Sage, Chapters 1 and 2.

Week 6 – Contingency Theory and Alternatives to Bureaucratic Structure

- *Frederick W. Taylor (1912), ‘Scientific management’ in Shafritz.
- David Rosenbloom (2009), Chapter 10.

Week 7 – The Myth of ‘Administrative State’

- *John Burns (2004), Chapter 4 and 5.
- Frederickson, H. George and Kevin B. Smith (2003), Chapter 2.
- Tsang, S. (2007) Governing Hong Kong: Administrative Officers from the Nineteenth
Century to the Handover to China, 1862-1997 Hong Kong: Hong Kong University Press


Part III: Personnel Management of Civil Service

Week 8 – Public Personnel Management I: Manpower Planning, Recruitment and Selection

- *Dresang, Dennis L. (2009), Chapter 7, 8 and 10.

Week 9 – Public Personnel Management II: Pay, Compensation and Performance Management

- *Dresang, Dennis L. (2009), Chapter 9 and 14.
- *Burns, John P. (2004), Chapter 7 and 8 (pp.269-292).

Week 10 - Public Personnel Management III: Conducts, Disciplines and Industrial Relations

- *Dresang, Dennis L. (2009), Chapter 13 and 15.

Part IV: New Public Management and Reform of Civil Service System

Session 11 – The ‘New Public Management’ Doctrines

- *Daft (2004), Chapter 11
- *Peters (2001), Chapter 9
- *Christopher Hood, ‘A Public Management for All Seasons’ in Shafritz
- The National Performance Review, ‘From Red Tape to Results’ in Shafritz
- Tom Christensen, Per Legreid, Paul G. Roness, Kjell Arne Røvik (2007), Chapter 7.
- Frederickson, H. George and Kevin B. Smith (2003), Chapter 5 and 8.
- Michael Brazelay, ‘Breaking through Bureaucracy’ in Shafritz
- Michael Barzelay, The Post-Bureaucratic Paradigm in Historical Perspective in Lane, ed. 1994

Week 12 – Civil Service Reform and ‘Contractualization’


Session 13 – Public Sector Reform I – ‘Privatization’

- Sidney M. Levy (1996). Build, Operate, Transfer: Paving the Way for Tomorrow’s Infrastructure, New Yor : Wiley

Session 14 – Public Sector Reform II – ‘Agencification’ (Optional)

Academic Dishonesty and Plagiarism Policy

“Plagiarism is an attempt to pass off the work of others (in particular the writing of others) as one's own.”

Plagiarism” is an act that comprises the following:

1. deliberately using or incorporating the work of others, including printed and online resources, in one’s own work without proper citation or acknowledgement, and
2. subsequently submitting such work for academic credit or presentation.

The use of other’s work may include such practices as copying source materials word by word, paraphrasing or translation of source materials, citing other’s works without proper citations or acknowledgements, etc. The University takes plagiarism very seriously.

If a student engages in any academic misconduct, he or she may be subject to academic disciplinary action.

Examples of such action, depending on the severity of the misconduct, may include but not limit to grade reduction, being given a failing grade, or dismissal from the program or the University.

Course Rules and Communication

• Students are required to visit the Moodle Platform and check their student e-mail accounts on a regular basis for on-going communications and instructions from the Lecturer and Tutor.
• Please upload all your assignments through the Turnitin system in the Moodle platform. In addition, please submit a hardcopy to the instructor.
• Attendance requirement: students are required to attend classes. Failure to attend classes on a regular basis may result in failure of the course.

Lingnan University
August 2016