DIRECT INVESTIGATION REPORT

MONITORING
OF PROPERTY SERVICES AGENTS
BY HOUSING DEPARTMENT

August 2005

Office of The Ombudsman
Hong Kong
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Introduction

As the Housing Authority ("HA")'s executive arm, the Housing Department ("HD") is responsible for managing its public rental housing ("PRH") estates. Since 1996, management of some PRH estates has been outsourced to management agents.

2. Many complaints against HD lodged with The Ombudsman's Office concern the management of PRH estates. Subsequent inquiries into these complaints reveal that HD monitoring of management agents' performance varies from estate to estate and is uneven in standard, efficiency and effectiveness. PRH residents constitute one-third of the local population. Concerned that HD monitoring of agents' performance be effective and efficient in ensuring proper tenant services, The Ombudsman initiated a direct investigation in January 2005 to examine:

(a) HD's role and responsibilities in guiding and supervising management agents in:

(i) provision of property management services to tenants; and

(ii) handling complaints from tenants;

(b) HD's actions, including enforcement action under the relevant ordinances, to complement the services provided by management agents;
(c) provision of training and guidance for HD staff in the management of such agents, including the respective roles and responsibilities of HD and the agents;

(d) remedial action in case of unsatisfactory performance by the agents; and

(e) efficacy of the current arrangements.

Outsourcing Strategy

Background

3. As at August 2005, HD has jurisdiction over 153 PRH estates, with approximately 590,000 domestic units. Of these, management of 84 estates with some 290,000 units has been outsourced to management agents.

4. In 1996, HD first entrusted general property management and minor maintenance works to management contractors, called “property management agents”, with supervision by HD staff on site.

5. In 2000, HA introduced new contracting-out arrangements for higher cost-effectiveness and greater flexibility. Each contract to “property services companies” covered two to three estates comprising 6,000 to 10,000 domestic units, together with their ancillary shopping centre and parking facilities.

6. HD has since consolidated its lists of management contractors into one single list of property services agents ("PSAs").
Services of PSAs

7. PSAs are required to operate independently by setting up their own offices in PRH estate under their management, where HD would have withdrawn its field staff. As part of their property management (including maintenance services) and tenancy management functions, PSAs are expected to deal with all estate management-related complaints in accordance with HD internal instructions. PSAs are to attend to minor repair or maintenance works independently, without having to seek HD’s prior approval. Where the service contract also covers major repair and planned maintenance works, the PSA is required to be project manager and supervise HD works contractors. Although HD retains its statutory authority and does not delegate to PSAs, it expects them to assist in the exercise of such authority.

Responsibilities of HD

8. HD supervises the PSAs. It also retains responsibility for handling special tenancy management issues such as household splitting.

Award of Property Services Contracts

9. Property services contracts are awarded through open tender. Bidders may propose their own standards against HD’s key performance indicators or just adopt the minimum service standards set by HD. In evaluating tenders, HD places equal weighting on tender price and technical details.

Monitoring of PSAs

Support for PSAs

10. HD provides support to PSAs mainly through handing-over meetings and Best Practice Notes (“BPN”). However, it expects PSAs to be conversant with all HD internal circulars, instructions as well as the BPN in their day-to-day work.
**Assessment Scheme**

11. HD monitors the performance of PSAs mainly through an assessment scheme comprising three components:

<table>
<thead>
<tr>
<th>Component</th>
<th>Weighting</th>
</tr>
</thead>
<tbody>
<tr>
<td>(a) HD assessment</td>
<td>50%</td>
</tr>
<tr>
<td>(b) Estate Management Advisory Committee (“EMAC”) assessment</td>
<td>20%</td>
</tr>
<tr>
<td>(c) Tenant assessment</td>
<td>30%</td>
</tr>
<tr>
<td><strong>Overall assessment</strong></td>
<td><strong>100%</strong></td>
</tr>
</tbody>
</table>

**HD Assessment**

12. HD has a PSA Administration Unit in each of its five geographical regions. Every Unit has four to five PSA monitoring teams, each overseeing six to eight estates managed by two to three PSAs. A monitoring team comprises six to seven multi-disciplinary members. It carries out scheduled monthly inspections in each estate and assesses PSAs’ performance against the standards set out in the service contracts. These monthly inspections, announced beforehand, are supplemented by surprise inspections conducted at least once a month but usually confined to specific aspects only. As a moderation mechanism, the head of each Unit reviews the monthly assessments of his teams to ensure consistency in assessment standard.

**EMAC Assessment**

13. PSA performance is also subject to assessment by EMACs. Membership may vary from four to over ten and includes Mutual Aid Committee Chairmen of various blocks in the estate. During their bi-monthly meetings, EMAC members assess the performance of the PSA in their estate, based on their personal impressions and any feedback they receive from other residents.
Tenant Assessment

14. In addition, HD appoints consultants to conduct quarterly surveys to gauge the level of tenants’ overall satisfaction with the PSA managing their estates. For each PSA, up to 150 households are selected randomly from all estates on its schedule. Each household is interviewed by telephone for views on PSA staff, environment, security, repair and maintenance works.

PSA Review Committee

15. A PSA Review Committee, comprising Assistant Director (Estate Management) as chairman and all regional Chief Managers, meets quarterly to review the monthly HD assessments, bi-monthly EMAC assessments and quarterly tenant assessments. It then ranks all PSAs in the order of their total scores. The top 25% are allowed full tender opportunities, the bottom 25% debarred from tendering and the middle quartiles allowed limited tender opportunities in up-coming exercises.

16. The Committee also singles out the three PSAs with the lowest overall scores and the three with the lowest scores in each of the three assessment components (i.e. HD, EMAC and tenant assessment) for discussion as to whether an “adverse” report should be given. A PSA with three consecutive “adverse” reports is automatically debarred from tendering in the following six months. HD may terminate the contract if a PSA has more than three consecutive “adverse” reports.

Remedies for Unsatisfactory Performance

17. When a PSA fails to perform satisfactorily, HD may issue warning letters, give adverse ratings, interview the PSA, suspend it from tendering for up to six months, rectify the irregularity at the PSA’s expense, re-enter upon the estate (i.e. HD resumes part, or all, of the management duties) or remove the PSA from the list.
Case Studies

18. We have examined some cases to gain an insight into how HD monitors PSA performance. We found that some PSAs:

(a) are weak in managing large-scale maintenance works;
(b) take too long over certain repair works;
(c) have difficulties in carrying out HD’s statutory functions without the Department’s support;
(d) have by default taken over HD’s authority for allocation of PRH units; or
(e) are confused over its role in allocating venues for public use.

These point to the fact that HD does not give adequate support to PSAs, close enough supervision over them or timely intervention when warranted. In addition, we note that many tenants are not aware of HD’s monitoring role as this has not been widely publicized.

Our Observations and Opinions

19. Our investigation has focused on whether, in outsourcing the management of PRH estates, HD recognises that it retains ultimate accountability for the provision of quality services to PRH tenants.

Support from HD

20. HD keeps its distance in managing and monitoring PSA performance. Once awarded a contract, PSAs are given only an induction briefing and some written instructions from HD. They are then expected to operate on their own without active support from HD. This is so, even though the contracts require PSAs to execute PRH policies, a function quite unique and different from private estate management.
Essentially, PSAs have to deliver services while learning to adjust to public sector practices through actual operation.

21. Furthermore, as HD has retained its statutory authority, PSAs have no legal backing for such operations as clearance of illegal hawkers and eviction of tenants. Nor is active support from HD always available when difficulties arise.

22. Given the complexity of some of HD’s policies and internal instructions, we suggest that it is not sufficient for HD to rely on BPN and induction briefings to “train” PSAs for HD’s statutory functions. Nor is it realistic to expect all PSAs (regardless of experience) simultaneously to learn on the job and to work entirely on their own. As for HD staff training, regular interactive seminars and discussions are necessary for updating and sharing experience. Adequate and regular briefings, positive support and as appropriate physical backup, should also be extended to PSAs to facilitate their proper discharge of duties, particularly where statutory authority is involved.

Supervision of Maintenance Works

23. HD staff have acknowledged that many PSAs lack the necessary experience and expertise to deal with HD works contractors and to handle works orders in accordance with HD procedures. We consider that HD should seriously review the requirement for PSAs to supervise or manage major repairs and planned maintenance works. If this is to continue, HD must provide proper support and adequate guidance to PSAs, particularly at the initial stage of the management contract. HD should review and streamline its works procedures for PSAs’ efficient operations and effective supervision of HD contractors.

Monthly Inspection

24. The effectiveness of HD assessment of PSA performance through monthly inspections is impaired by undue emphasis on form over matter, absence of contact with tenants and prior announcement. We believe that surprise inspections would reflect the field situation much better than pre-arranged visits and should be a separate and an
important component for assessment of PSAs.

25. Given the diverse backgrounds of monitoring team members, guidance for consistency and uniformity of assessment standards is of paramount importance for fair and equitable assessment of PSAs. We are concerned that standards of actual assessment of PSA performance lack consistency among the assessors in different monitoring teams and across regions. In addition to the issue of BPN, instructions and guidelines, we consider that regular forums for the monitoring teams should be held to review practices, exchange views and promote common understanding.

**EMAC assessment**

26. We have observed a number of anomalies:

(a) EMAC weighting in the total assessment score is the same regardless of size or representativeness of an EMAC;

(b) its scores can be quite extreme; and

(c) its assessment is based largely on the members' personal impressions.

**Tenant assessment**

27. The sample size for the quarterly tenant surveys is limited to only 150 households per PSA, irrespective of the number or population size of the estates managed by the PSA. The aim is an overall assessment of tenants' satisfaction with each PSA across all estates in its portfolio. We suggest that such surveys should also cover tenants' satisfaction with the PSA's performance in each estate in its portfolio.

28. In this connection, we note that the number of complaints on PSA-managed estates received by HD headquarters is considerably higher than that on HD-managed estates (e.g. 209:131 for the period January to March 2005). This is at variance with the figures from HD’s Public Housing Opinion Surveys, which show a tenant satisfaction level of 65.1% for PSA-managed estates in 2004. HD should, therefore, analyse the number and nature of the complaints received to help identify the
weaknesses and strengths of individual PSAs, the needs of tenants in different estates and any deficiencies in the survey methodology.

**Overall scores**

29. The deficiencies of the current assessment scheme are also reflected in the marginal difference between the scores of PSAs in the top and the bottom quartiles. In one case we studied, the lowest score was 45.85 and the highest only 53.77; and yet these form the basis of HD’s consideration for future engagement of the PSAs.

30. To eliminate obvious bias in the assessment scheme, we consider that HD should conduct an early review including, but not limited to, the weighting of each component.

**HD Performance in Monitoring**

31. HD completely withdraws its staff from an estate once a PSA has taken over the management. Consequently, tenants may not be aware that HD still retains ultimate control and responsibility over estate management matters. When confronted with complaints from tenants, some HD staff conveniently shield themselves behind the property services contracts and pass the blame to the PSA concerned.

32. Some HD staff do not see it their role to train or guide PSAs; others are, quite rightly, concerned that too much direct involvement would be tantamount to doing PSAs’ job. We consider it necessary for HD’s distance monitoring to be reinforced with staff awareness that the Department is ultimately accountable for the management of PRH estates.

**Dealing with unsatisfactory performance**

33. In theory, PSAs with more than three consecutive “adverse” reports are liable to contract termination. Yet, this has never happened. HD just issues repeated warnings or debars the offending PSA from tendering for new contracts. In the past five
years, there was only one single case of partial "re-entry", in which HD took over the maintenance works portion of the contract concerned. We suggest that HD should terminate PSA contracts in serious cases of non-performance and resume part, or all, of its management duties.

Conclusions and Recommendations

34. We endorse outsourcing as capable of delivering efficient, flexible and cost-effective tenant services in PRH estates. We also accept that it would not be realistic or reasonable for HD to supervise every detail of PSA operations or to deal with all tenant requests or complaints directly. However, given HD’s ultimate responsibility for the management of PRH estates, HD should be firmer, more positive and more proactive in monitoring PSA performance to ensure quality services to tenants. HD should give PSAs proper guidance and active support where appropriate (e.g. in enforcement matters).

35. In this context, The Ombudsman makes the following recommendations for HD’s consideration:

Principle of Accountability

(a) To impress upon staff, through written instructions, briefings and training, that HD continues to discharge statutory functions not delegated to PSAs and remains ultimately responsible for overall PRH management;

(b) To enhance publicity to promote proper awareness and understanding of HD’s role in monitoring PSAs and responsibility in PRH management;
Support to both HD and PSA staff

(c) To formulate guidelines and procedures for HD staff on the extent and timing of intervention or support to PSAs;

(d) To update HD instructions and BPN regularly to ensure that they are comprehensible and comprehensive, meeting current needs;

(e) To organize regular briefings, seminars and forums for HD staff and PSAs to enhance their understanding of HD guidelines, procedures and instructions;

Supervision of Maintenance Works

(f) To review and streamline its works procedures to facilitate PSA operations;

(g) To evaluate more carefully, in the selection of PSAs, tenderers’ aptitude for PRH maintenance works;

(h) To organize training for PSAs on HD works procedures;

(i) To consider ways to facilitate PSAs’ effective control over HD works contractors;

(j) To exercise re-entry when necessary;
Assessment and Remedies

(k) To conduct surprise inspections more frequently to cover all aspects and to include their findings and scores as a separate and important component of the overall assessment;

(l) To review the Department’s moderation mechanism to ensure consistency of assessment standards in general;

(m) To organize regular forums for monitoring teams to share experience and to promote common understanding;

(n) To analyse carefully the number and nature of complaints received in assessing tenants’ satisfaction level and PSA performance;

(o) To review critically –

(i) the weighting of EMAC assessment and ways for counter-checking and moderating members’ extreme scores; and

(ii) the methodology for the tenant surveys to cover tenants’ satisfaction level for each PSA and in each estate;

(p) To devise effective measures to deal with non-performing PSAs and to carry out such measures decisively whenever necessary.

Present Position

36. HD generally agrees with our conclusions and recommendations. It has already started to implement some of them.
37. The Ombudsman appreciates HD’s positive response.

Office of The Ombudsman
August 2005
# LEGEND OF ABBREVIATIONS

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<thead>
<tr>
<th>Abbreviation</th>
<th>Description</th>
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<tbody>
<tr>
<td>BPN</td>
<td>Best Practice Notes</td>
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<tr>
<td>CPSD</td>
<td>Commercial Property Sub-division</td>
</tr>
<tr>
<td>DTMO</td>
<td>District Tenancy Management Office</td>
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<tr>
<td>EMAC</td>
<td>Estate Management Advisory Committee</td>
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<tr>
<td>EMD</td>
<td>Estate Management Division</td>
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<tr>
<td>HA</td>
<td>Housing Authority</td>
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<tr>
<td>HD</td>
<td>Housing Department</td>
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<tr>
<td>KPI</td>
<td>Key Performance Indicators</td>
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<tr>
<td>MBO</td>
<td>Management Buy-Out company</td>
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<tr>
<td>PMA</td>
<td>Property Management Agent</td>
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<tr>
<td>PRH</td>
<td>Public Rental Housing</td>
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<tr>
<td>PSA</td>
<td>Property Services Agent</td>
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<tr>
<td>PSC</td>
<td>Property Services Company</td>
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<tr>
<td>PSC Admin Manual</td>
<td>Property Services Company Administration Manual</td>
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<tr>
<td>PSM</td>
<td>Property Services Manager</td>
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<td>VDS</td>
<td>Voluntary Departure Scheme</td>
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INTRODUCTION

BACKGROUND

1.1 About one-third of Hong Kong’s population live in public rental housing ("PRH") estates of the Housing Authority ("HA"). The Housing Department ("HD"), as HA’s executive arm, implements its policies and strategies. Under the Housing Ordinance, Cap 283, HA and HD are responsible for developing, constructing, renting and managing PRH estates. As from 1996, management of new PRH estates has been outsourced. Since 2000, the pace of outsourcing has been stepped up for higher cost-effectiveness and greater flexibility.

1.2 As at August 2005, HD has jurisdiction over 153 PRH estates with approximately 590,000 domestic units. Of these, management of 84 estates with some 290,000 units has been outsourced by contract to property services agents ("PSAs"). A list of all PRH estates, with those managed by PSAs highlighted, is at Annex 1.

1.3 A substantial number of complaints against HD lodged with The Ombudsman’s Office concern the management of PRH estates. Inquiries into these complaints reveal that HD monitoring of PSAs’ performance varies from estate to estate and is uneven in standard, efficiency and effectiveness. As PRH residents
constitute a large proportion of the local population, The Ombudsman is concerned that HD monitoring of PSAs’ performance is effective and efficient in ensuring proper tenant services.

1.4 Against this background, The Ombudsman decided to initiate a direct investigation under section 7(1)(a)(ii) of The Ombudsman Ordinance, Cap 397. On 5 January 2005, the Permanent Secretary for Housing, Planning and Lands (Housing) was informed of the decision.

AMBIT

1.5 This direct investigation examines:

(a) HD’s role and responsibilities in guiding and supervising PSAs in-
   (i) provision of property management services to tenants;
       and
   (ii) handling complaints from tenants;

(b) HD’s actions, including enforcement action under the Housing Ordinance, to complement the services provided by PSAs;

(c) provision of training and guidance for HD staff in the management of PSAs, including the respective roles and responsibilities of HD and PSAs;

(d) remedial action in case of unsatisfactory performance by
PSAs; and

(c) efficacy of the current arrangements.

METHODOLOGY

1.6 This Office has examined relevant information including HA committee papers, departmental guidelines, instructions to staff and PSAs, bulletins and practice notes for staff, file records and assessment reports. We have visited estates under different PSAs and met with HD staff from the headquarters and in districts, from directorate members to Housing Officers.

1.7 Members of the public were invited to give comments and suggestions from 20 January to 19 February 2005. No submission has been received.

INVESTIGATION REPORT

1.8 On completion of our direct investigation, we sent the draft report on 30 June 2005 to the Permanent Secretary for Housing, Planning and Lands (Housing) for comments. These were received on 4 August 2005. This final report was issued on 30 August 2005.
PRIVATE SECTOR INVOLVEMENT STRATEGY

2.1 Since starting to outsource its estate management to PSAs in 1996, HD has been steadily extending the scope of such outsourcing. In 1996, HD first entrusted general property management and minor maintenance works to management contractors, called "property management agents" ("PMAs"). HD staff continued to be based in such estates, for close supervision of the PMA and other duties including tenancy management.

2.2 In 2000, HA adopted a strategy for greater private sector involvement to save costs, enhance efficiency and raise flexibility in estate management and maintenance services. The scope of outsourced services was expanded for some, to include major repairs and planned maintenance works. The scale of individual contracts was increased to cover two to three estates comprising 6,000 to 10,000 domestic units, together with ancillary shopping centres and car parking facilities. Companies awarded such contracts were then styled "property services companies" ("PSCs").
2.3 With the implementation of the Voluntary Departure Scheme ("VDS") for staff in 2000, HD required companies bidding for service contracts at that time to recruit at least 20% of their staff from ex-HD employees. Management Buy-Out companies ("MBOs"), formed by ex-HD employees, were also encouraged to bid for service contracts through restricted tender. With the cessation of VDS in 2003, all such preferential treatment for ex-HD staff ceased.

2.4 HD has since consolidated its lists of management contractors into one single list. For simplicity, we shall refer to them as "PSAs".

SCOPE OF SERVICES

Services of PSAs

2.5 Broadly speaking, the management of PRH estates covers two main aspects:

(a) property management; and  
(b) tenancy management.

2.6 Property management involves the provision of building management and maintenance services while tenancy management includes the enforcement of the Housing Ordinance, tenancy agreements and the implementation of housing policies.

2.7 The PSA is required to act as the one-stop shop for tenants and members of the public on all matters relating to the PRH estate. It is to operate
independently, set up its own office in each estate, from which HD has withdrawn its field staff, and carry out minor repair or maintenance works without HD's prior approval. It is responsible for day-to-day property management (e.g. cleansing and security services), simple tenancy matters (e.g. intake of new tenants, issue of keys and collection of rents) and liaison with local organizations such as Estate Management Advisory Committees ("EMACs") and District Councils and with Government departments. The PSA is expected to run the PRH estate as if it were a private estate. However, it is to comply with HD procedures and instructions on administrative and financial arrangements as well as HD performance pledges.

2.8 For PSAs with project management experience, the scope of services also covers major repairs and planned maintenance works. In such case, the PSA is required to be project manager responsible for:

- preparing drawings, plans and tender specifications;
- selecting contractors from HD's lists of term or registered contractors;
- recommending tenders for approval and award by HD; and
- supervising contractors for satisfactory completion of works on time and within budget.

2.9 According to HD, delegation of statutory authority to PSAs, though not impossible, is legally not advisable. However, HD expects PSAs to assist in the exercise of such authority, a typical example being enforcement against illegal hawking. All property services contracts require PSAs to "keep the estate free from illegal hawking activities". On tenancy matters, PSAs are expected to prepare cases for tenant eviction and related documents for HD's approval and to provide manpower
support to HD staff in eviction exercises. With regard to housing allocation, PSAs also help HD to allocate replacement units to existing tenants.

*Responsibilities of HD*

2.10 In a PRH estate managed by a PSA, HD retains responsibility for the following functions:

(a) handling of special tenancy management issues, e.g. household splitting, transfer, addition and deletion of residing family members;
(b) actions requiring the exercise of statutory powers, e.g. clearance of illegal hawkers, eviction of tenants and handling of tenant appeals;
(c) administration of rent policies;
(d) chairmanship of EMACs in promoting landlord and tenants relations;
(e) explanation of housing policies to tenants; and
(f) supervision of PSAs.

A list detailing the duties of HD and the PSA in a PRH estate is at Annex 2.

**AWARD OF PROPERTY SERVICES CONTRACTS**

2.11 Property services contracts are awarded through an open tender system. Companies intending to bid for HD’s property services contracts have to apply for inclusion in the PSA list. PSCs and MBOs with good track records can also apply for transfer to the list.
2.12 PSAs are listed in two groups according to their eligibility to tender for certain contract sizes:

- Group PS1
  for contracts for a portfolio of not more than 4,000 domestic units, excluding project management services;
- Group PS2
  for contracts for a portfolio of up to 70,000 domestic units, with or without project management services.

2.13 HD evaluates tenders with equal weighting on tender price and technical details including staffing proposal, past performance and management proposal. An extract from a management proposal form is at Annex 3. The bidder may volunteer higher standards against HD’s key performance indicators (“KPI”) or just adopt the minimum service standards required of PSAs. Further information about the tender procedures is at Annex 4.

SUPPORT FOR PSAs

Handing over

2.14 Once a contract is awarded, there is a two-month period for the in-coming and out-going PSAs to hand over outstanding matters. Meetings between the two PSAs are arranged and presided by a Property Services Manager (“PSM”) of HD, who helps to work out a list of outstanding jobs and facilities, equipment and office records for handing over.
PSAs have access to all HD internal circulars, instructions and Best Practice Notes ("BPN") on property management through HD’s intranet system. In this context, HD expects PSAs to be conversant with all of them and capable of full compliance in their day-to-day work. In the light of experience gained in managing the performance of PSAs, HD issues BPN to both HD staff and PSAs for better understanding of their respective roles and responsibilities. About 40 sets of such BPN have been issued, covering such subjects as interpretation of contract terms, procedures for certain works, time-frame for specific actions and reports.
3

**MONITORING OF PSAs**

ASSESSMENT SCHEME

3.1 Under the strategy for outsourcing, HD staff involvement is not required in the day-to-day management and maintenance of the estates. They are to monitor the performance of PSAs mainly through an assessment scheme comprising three components as follows:

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\begin{tikzpicture}
  \node {OVERALL ASSESSMENT} 
ode[below] {100\%};
  \node[below=of OVERALL ASSESSMENT] {HD ASSESSMENT} node[below] {50\%};
  \node[below=of OVERALL ASSESSMENT] {EMAC ASSESSMENT} node[below] {20\%};
  \node[below=of OVERALL ASSESSMENT] {TENANT ASSESSMENT} node[below] {30\%};
\end{tikzpicture}
\end{center}
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**HD ASSESSMENT**

3.2 HD staff carry out assessment in accordance with the procedures laid down in the Property Services Company Administration Manual ("PSC Admin Manual"), supplemented by BPN.
3.3 HD’s Estate Management Division ("EMD") oversees five geographical regions, each headed by a Chief Manager. Each region has one PSA Administration Unit, headed by a Senior Property Services Manager ("Senior PSM"), underpinned by four to five PSA monitoring teams. A typical monitoring team comprises six to seven multi-disciplinary members, including Clerks of Works, Building Services Inspectors and Housing Officers / Assistant Housing Managers. Each team oversees six to eight estates, managed by two to three PSAs. The team leader is a PSM, who may be a Housing Manager, a Maintenance Surveyor, a Building Services Engineer or a Structural Engineer, and carries responsibilities as follows:

(a) to lead the team to manage property services contracts and act as the single point of contact for estates and PSAs under his team; and

(b) to carry out performance audit control, surprise inspections and assess PSA performance.

The chain of command for the monitoring teams is illustrated by the simplified chart at Annex 5.

3.4 Where tenancy matters and retail facilities are involved, the District Tenancy Management Office ("DTMO") and the Commercial Property Sub-division ("CPSD") also take part in monitoring.
3.5 The monitoring team carries out scheduled monthly inspections in each estate. The visit takes a whole day. Each team member is assigned to examine certain aspects of the contract. The examination covers all records kept by the PSA, building services installations, PRH units and common areas, progress of outstanding works and general condition of facilities. The PSM leading the team has to follow up any items outstanding from previous inspections or issues raised by EMAC members. Senior managerial staff of the PSA are present to assist the monitoring team.

3.6 The team assesses the PSA’s performance on an assessment form by giving scores against standards set out in the service contracts. An extract from the assessment form is at Annex 6. The PSA is provided with a copy of the completed form and is required to propose plans for rectifying any irregularities in the following week. To ensure uniformity and consistency of the standard of performance assessment, the Senior PSM reviews and moderates the monthly assessments of his teams. EMD would issue BPN on the best practices adopted by HD and PSAs in individual processes.

3.7 DTMO and CPSD similarly but separately conduct monthly inspections and assessment on services within their purviews. All the scores are sent to the Senior PSM for collation and submission to HD headquarters on a quarterly basis. HD assessment guidelines as given in the PSC Admin Manual are at Annex 7.

Surprise Inspections

3.8 The procedures for surprise inspections are outlined in the PSC Admin
Manual, supplemented by BPN. Surprise inspections are conducted at least once a month, more often if necessary (e.g. to monitor serious deficiencies). But usually, examination is confined to specific aspects only such as environmental control, maintenance works progress and irregularities from the last inspection. Again, scores are given and the PSA is required to propose remedial measures within one week.

EMAC ASSESSMENT

3.9 Since 1995, HD has established an EMAC in each PRH estate, essentially to advise the Housing Manager / PSM and to reflect tenant feedback. Its responsibilities are detailed in Annex 8. EMAC is chaired by the Housing Manager / PSM to facilitate HD’s monitoring of tenants’ views and complaints. Its membership can range from four to over ten and includes Mutual Aid Committee chairmen of various blocks in the estate. It meets bi-monthly, with the PSA management in attendance to report on estate management matters, answer queries and respond to complaints.

3.10 EMAC members assess the performance of the PSA in their estate, based on their personal impressions and any feedback they receive from other residents. Completed assessment forms from members are returned to the PSM in sealed envelopes at EMAC meetings. The scores are then collated by the PSM and submitted to HD headquarters. EMAC scores account for 20% of the overall assessment. A sample of the EMAC assessment form is at Annex 9.
TENANT ASSESSMENT

3.11 Since 2000, HD has appointed consultants for quarterly surveys to gauge the level of tenants’ overall satisfaction with the management of their estates. Up to 150 households are drawn by stratified random sampling from all estates on each PSA’s schedule. Each household is interviewed for ten minutes by telephone for views on PSA staff, environment, security, repair and maintenance works. A sample of the questionnaire for a tenant survey is at Annex 10. The findings are summarised and presented by the consultant to HD. The tenant survey scores account for 30% of the overall assessment.

REVIEW COMMITTEE

3.12 HD has set up a PSA Review Committee, chaired by the Assistant Director (Estate Management), with all regional Chief Managers as members. Its responsibilities are listed at Annex 11. In its quarterly meetings, the Committee reviews the monthly HD assessments, bi-monthly EMAC assessments and quarterly tenant assessments. It then compiles a “league table” ranking all PSAs in order of their total scores.

3.13 Those in the bottom 25% would be debarred from the forthcoming tender. The Committee will single out the three PSAs with the lowest overall scores and the three PSAs with the lowest scores in each of the three assessment components (i.e. HD, EMAC and tenant assessment) for discussion as to whether an “adverse”
report should be given. Where necessary, the chairman will write to the PSA concerned on its poor performance, highlighting the seriousness of the situation and urging for improvement. The PSA management may have to attend an interview with the chairman or the regional Chief Manager to address its shortcomings and necessary improvement. A PSA with three consecutive “adverse” reports is automatically debarred from tendering in the following six months. Moreover, HD may terminate the contract if a PSA has more than three consecutive “adverse” reports.

3.14 Conversely, the top three PSAs of the “league table” are given letters of appreciation. PSAs in the top 25% are allowed to tender for all up-coming contracts, thus enjoying full tender opportunities. Other PSAs (in the middle quartiles) are allowed to bid in only part of the up-coming tender exercises, thus having only limited tender opportunities. In other words, PSAs are offered business opportunities commensurate with their performance. An example of a PSA league table with allocation of tender opportunities is at Annex 12.

3.15 In its quarterly meetings, the Review Committee also deals with complaints and appeals from PSAs with “poor” scores. Its decisions are final.

REMEDIES FOR UNSATISFACTORY PERFORMANCE

3.16 When a PSA fails to perform satisfactorily, HD can take one or more of the following actions:

(a) warning letter;
(b) interview by PSM;
(c) adverse rating by the Review Committee;
(d) interview by the Review Committee;
(e) suspension from tendering for up to six months;
(f) HD rectifying irregularity at the expense of the PSA;
(g) re-entry upon the PRH estate (i.e. HD resumes part, or all, of the management duties specified in the contract for the estate); and
(h) removal of the PSA from the list.

COMPLAINTS HANDLING

3.17 Tenants may complain to the PSA, their EMAC members, the PSM, HD hotline or headquarters. Complaints received by the other parties are usually referred to the PSA for processing. The PSA is expected to deal with all estate management related complaints in accordance with HD internal instructions. Complaints received and actions taken are recorded in a central register kept by the PSA. The PSA monitoring team monitors the progress of the PSA’s action to resolve complaint.

3.18 If a complaint is specifically about the PSA’s performance or a problem is reported in the media or referred to HD by a Legislative Councillor, the PSM will investigate and reply to the complainant direct.
4.1 We have studied 22 cases for insight into how HD monitors PSA performance. Eight are summarized below for illustration.

A. Case of poor refurbishment works

4.2 PSA “A” took over the management of an estate in September 2002. One of its duties was to carry out in-flat maintenance works in domestic units prior to sale to tenants under the Tenants Purchase Scheme. “A” did not process tenants’ requests promptly, resulting in a huge backlog. Since early 2003, the PSA monitoring team had found deficiencies in building works and “A” was required to take remedial action. Tenants also complained of slow progress, lack of follow-up action on unfinished works and poor workmanship of completed works. At one time, there were over 100 outstanding requests.

4.3 In March 2003, HD started issuing warning letters to “A”, pointing out its failure to achieve the standards stipulated in the contract and reminding “A” to take immediate action to rectify the deficiencies. In addition, “A” was interviewed. At EMAC meetings, members also complained of the poor performance of “A”. The case was discussed by the Review Committee quarterly, followed by more adverse rating, further interviews and repeated warnings. By the end of 2004, HD had issued
16 warning letters to “A” but to no avail. In November 2004, HD re-entered (i.e. resumed and took over) the building maintenance works portion of the contract and directly supervised the maintenance works. Staff costs payable to “A” under the contract were deducted accordingly.

4.4 We consider that HD should have intervened much earlier.

B. Case of illegal hawking

4.5 The contract required PSA “B” to keep an estate free from hawkers. In August 2003, upon receiving complaints of illegal hawking activities, HD requested “B” to take action. “B” claimed to have set up a dedicated team to clear such activities but without success. HD warned “B” that if HD staff took enforcement action, the staff cost would be recovered from “B”. “B” explained that it had no authority to arrest the hawkers or seize the goods. Eventually, HD sent in its hawker control unit.

4.6 Illegal hawking is often a difficult problem, even for enforcement authorities. The failure of “B”, without legal powers, to clear such hawkers is no surprise.

C. Case of noise nuisance

4.7 Since early 2002, both PSA “C” and HD had been receiving complaints from tenants about noise nuisance late at night caused by customers of a cooked food stall. There were also allegations of gambling activities in the
passageway around the stall. On HD advice and instruction, “C” conducted numerous patrols and gave verbal advice to the noisy customers. “C” also warned the owner of the stall, verbally and in writing, not to occupy the passageway. Furthermore, it posted notices forbidding gambling activities. However, these actions were to no avail. After two years, in March 2004, HD issued a warning notice to the cooked food stall that if the situation was not rectified, it would be notified to quit under the terms of tenancy. Since then, there has been marked improvement.

4.8 This is another instance of a PSA being unable to effect enforcement without the necessary legal authority.

D. Case of allocation of replacement PRH units

4.9 PSA “D” should answer to a DTMO for matters of allocating replacement PRH units to existing tenants. However, in practice, “D” made recommendations on such matters to HD’s allocation section direct and the latter invariably accepted its recommendations without checks or questions. Staff of “D” cancelled allocations merely on standard reasons which might not reflect the real or exact situation.

4.10 HD had by default delegated authority to “D” for allocation of PRH units when “D” should only be providing executive support to HD.

E. Case of broken skylight and glass door
4.11 In April 2003, a skylight in a shopping centre was broken. It was not replaced until February 2005, because PSA “E” took time to find a suitable replacement panel and to negotiate the price. Meanwhile, the glass door at the entrance of the shopping centre was damaged in December 2004. “E” took four months to complete the repairs. These affected the appearance of the shopping centre and caused great inconvenience to shoppers. On receipt of a complaint about “E”'s laxity, HD interviewed “E” and recorded the delay in the assessment report.

4.12 We consider that HD should have intervened when “E” was found incapable of completing the repair works within a reasonable period.

F. Case of allocation of venues for activities

4.13 A tenant of an estate complained against HD for inadequate supervision over PSA “F”, who had allocated open spaces within the estate for seven months for exclusive use by two individuals for promotional activities, thereby depriving other eligible persons of the right to use those venues. HD thought that as guidelines had already been issued to “F” and the PSA was run by ex-HD staff, there was no need for the Department to bother about such venue booking matters.

4.14 However, we found that the guidelines related to fund-raising activities only and were thus not applicable to this case. Furthermore, HD should not have allowed “F” to allocate venues provided by valuable public resources without due regard to common interests.

G. Case of lack of publicity

20
4.15 A tenant complained against HD for not monitoring the performance of PSA “G”, which had been slack in carrying out maintenance works on the flush water supply.

4.16 In fact, HD had a monitoring mechanism, but it was not widely publicized to PRH tenants. HD should have informed tenants clearly of its monitoring role and the channel available for complaints and opinions to the Department.

H. Case of an exemplary PSA

4.17 PSA “H”, with experience in management of public estates, has been receiving top ratings from the monitoring team in three consecutive quarters, excelling in the following aspects:

(a) Strong back-up from company headquarters for front-line staff – Whenever necessary, its head office would provide additional professional or manpower support to site staff to resolve problems.

(b) Familiarity with HD works processes and employment of qualified and experienced professionals – Maintenance works programmes were on time and satisfactory.

(c) Good financial and accounting practices – Payment records were always proper and up-to-date.

(d) Close rapport with HD – Prompt attendance to reported irregularities and to instructions from HD staff.

(e) Ability to maintain stability and high quality in staff posted to
estates.

(f) Dedicated efforts in liaison with EMACs and tenants, creating trust among parties.

4.18 The engagement of a robust and responsible PSA like “H” evidently helps enormously in maximizing the benefits of HD’s outsourcing efforts in saving costs, enhancing efficiency and raising flexibility.
5

**OBSERVATIONS and OPINIONS**

5.1 Our focus in this direct investigation is whether, in outsourcing the management of PRH estates, HD recognises that it retains ultimate accountability for the provision of quality services to PRH tenants. We shall first comment on HD’s process for selection of PSAs and arrangements for transferring estate management duties to the selected PSAs. Comments on HD’s monitoring mechanism will follow. Finally, we shall assess HD’s performance in monitoring PSAs.

**SELECTION PROCESS**

5.2 HD has prudently devised procedures for selecting PSAs (para. 2.13). Though some of the PSAs so far selected may lack the aptitude for managing maintenance works, we consider that HD’s tender evaluation has, on the whole, duly covered all the important considerations, i.e. price, experience, aspirations and capability. The system is fair and equitable.
SUPPORT FROM HD

5.3 The outsourcing policy is fine in principle and the selection process generally healthy. However, not every PSA is able to deliver the requisite services. This is explained below.

5.4 We wonder if it is realistic or reasonable for HD to expect PSAs to operate on their own without active support from the Department. The contracts require PSAs to execute PRH policies, a function quite unique and different from private estate management. Yet, PSAs are basically given only an induction briefing and some written instructions from HD (paras. 2.14 and 2.15).

5.5 Over the years, HD has developed its unique management and business philosophy, work processes distinct from the private sector and voluminous operational guidelines with considerable details. PSAs familiar with HD processes and procedures, in particular its PRH policies and practices, could have a smooth start in delivering the requisite services: PSA “H” (para. 4.17) is a good example. However, such PSAs are rare. Even experienced PSAs generally have to learn to adapt, through actual operation and adjust to public sector practices. Even so, they may not have a proper understanding of established procedures on individual issues, as evidenced in Case F (para. 4.13). This affects services to tenants and may well prejudice tenant interests.

5.6 Furthermore, as HD considers it legally inadvisable to delegate its statutory authority to PSAs, (especially that for clearance of illegal hawkers and eviction of tenants, para. 2.9), PSAs are hamstrung from the outset. Without legal
backing or active support from HD in discharging these duties, it is no surprise that some PSAs have difficulties coping with such situations (Case B, para. 4.5). As illustrated in Case C (para. 4.7), PSAs cannot even tackle noise nuisance without legitimacy or such deterrent as notice to quit.

5.7 Having regard to the uniqueness of PRH estate management and most PSAs’ background in private estate management, it is not realistic for HD to expect PSAs simultaneously to learn on the job and to work entirely on their own. BPN and briefings (paras. 2.14 – 2.15) cannot adequately cover even common eventualities. Regular interactive seminars and discussions akin to those for HD staff training are necessary. Positive support and physical backup where appropriate, in particular when statutory authority is involved, have to be extended to PSAs to facilitate their proper discharge of duties.

SUPERVISION OF MAINTENANCE WORKS

5.8 We were informed in various meetings with HD staff that PSAs are generally weak in managing maintenance works. HD staff have acknowledged that many PSAs lack the necessary experience and expertise to deal with HD works contractors and to handle works orders in accordance with HD’s procedures. In Case A (paras. 4.2 - 4.3), HD had to exercise its right to take over part of the contract.

5.9 We consider that HD should seriously review the current practice of requiring PSAs to supervise or manage major repairs and planned maintenance works. If this is to continue, HD must provide proper support and adequate guidance to PSAs,
particularly in the early days of the contract. Although PSAs have delegated authority to supervise HD works contractors, the latter are employed by HD and may not consider it necessary to answer to PSAs (para. 2.8). This has resulted in some PSAs having difficulties supervising HD contractors in accordance with HD procedures (para. 5.8). HD should review and streamline its works procedures for PSAs’ efficient operations and effective supervision of HD contractors in the interest of the tenants they serve.

MONITORING MECHANISM

Monthly Inspection

5.10 As regular checks, monthly inspections by the PSA monitoring teams are useful for update and continuing follow-up on identified aspects so that due documentation may be prepared. However, a number of features impair its effectiveness:

(a) Emphasis on form over matter – HD staff have to complete numerous items meticulously in the assessment form at the expense of physically checking the matters concerned.

(b) Absence of contact with tenants – HD staff, off-site day-to-day, may not be able to verify the true state of affairs on the ground.

(c) Prior announcement of inspections – the true state of affairs may not surface.

We believe that surprise inspections would reflect much better than pre-arranged visits,
and announced as well. Surprise inspections should, therefore, be conducted more frequently to detect irregularities and verify the real field situation. Furthermore, surprise inspections should not be confined to specific aspects (para. 3.8). Instead, they should cover all matters touched by the monthly inspections. Findings from surprise inspections should be included as a separate and important score in the overall assessment of PSAs.

Consistency in HD assessment

5.11 Given the diverse backgrounds of members of the PSA monitoring teams, guidance for consistency and uniformity of assessment standards is of paramount importance for fair and equitable assessment of PSAs. This is to apply not only among different assessors but also among different monitoring teams and across regions.

5.12 We see from notes of Review Committee meetings that HD has attempted to address such concern. We commend HD for working out some measures to make for consistency. However, we do not consider the issue of BPN, instructions and guidelines an adequate solution. They should be supplemented by regular forums for monitoring teams to review practices, share experience and exchange views, and promote common understanding of their role and degree of involvement in estate matters in the monitoring process.

EMAC assessment

5.13 We have observed a number of anomalies:

(a) EMAC members can range from four to over ten (para. 3.9),
but the EMAC weighting in the total assessment score is the same, regardless of size or representativeness of an EMAC.

(b) EMAC scores can be quite extreme, some as high as 100 (full mark) or as low as 50. In comparison, HD scores range from 35 (for poor performers) to 60 plus (very good performers); similarly with tenant survey scores.

(c) EMAC assessment is based largely on personal impressions. One PSA had attributed its low score to poor relationship with the EMAC.

Tenant assessment

5.14 For tenant surveys, the sample size is limited to a maximum of only 150 PRH households per PSA, irrespective of the number or population size of the estates managed by the PSA. In this connection, we have taken professional advice from the Census and Statistics Department. The advice was that the determination of sample size does not necessarily depend on the population size alone.

5.15 We understand and accept this view. However, we note that HD's quarterly tenant surveys aim for overall assessment of tenants' satisfaction with each PSA across all estates in its portfolio. We suggest that such surveys should also cover tenants' satisfaction with the PSA's performance in each estate in its portfolio: individual estates may differ in age, size, facilities; so too, the complement and quality of PSA staff on site may vary. We, therefore, consider that HD should review the sampling method for the tenant surveys to cover this.
5.16 In this connection, we have obtained statistics on estate management related complaints received by HD headquarters as follows:

<table>
<thead>
<tr>
<th>Incidence of Complaints</th>
<th>PSA-managed estates</th>
<th>HD-managed estates</th>
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</thead>
<tbody>
<tr>
<td>January – March 2004</td>
<td>188</td>
<td>83</td>
</tr>
<tr>
<td>April – June 2004</td>
<td>323</td>
<td>168</td>
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<td>July – September 2004</td>
<td>358</td>
<td>126</td>
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<td>October – December 2004</td>
<td>358</td>
<td>151</td>
</tr>
<tr>
<td>January – March 2005</td>
<td>361</td>
<td>148</td>
</tr>
</tbody>
</table>

Source: HD Complaints / Requests Register System

5.17 With regard to the much higher number of complaints received on estates managed by PSAs, HD has advised that the figures in fact cover not only complaints but also requests from tenants. After adjustment, the complaints for the quarter ending March 2005 should number 209 and 131 for PSA and HD managed estates respectively.

5.18 HD has added that its regular Public Housing Opinion Surveys, to assess PRH tenants’ feedback, show the satisfaction level for PSA-managed estates to have risen from 48.9% in 2002 to 53.5% in 2003 and 65.1% in 2004.

5.19 We note that, even after adjustment, the number of complaints on PSA-managed estates is still considerably higher than that on HD-managed estates. This is at variance with the figures for tenants’ satisfaction from the Public Housing Opinion Surveys. HD should, therefore, critically analyse the number and nature of the complaints received. This should help to identify the weaknesses and strengths of individual PSAs, for special attention or specific assistance, and the needs of
tenants in different estates as well as any deficiencies in the methodology of the surveys.

**Overall scores of assessment**

5.20 We question whether the present weighting in the assessment of PSA performance is fair and equitable. For instance, EMAC assessment accounts for 20% of the total score. Hence, extreme EMAC scores (para. 5.13(b)) would distort the overall assessment. Similarly, the methodology for surveys meant to gauge tenant feedback bears review for proper assessment of tenant satisfaction. HD should, therefore, review:

- the EMAC assessment;
- the tenant assessment methodology;
- their respective weighting in the overall assessment; and
- the need for reference to surprise inspections.

5.21 The deficiencies of the current assessment scheme are also reflected in the small difference between the scores of PSAs in the top and bottom quartiles. In the example cited in Annex 12, the highest score was 53.77 and the lowest, 45.85. As the scores affect PSAs' future business opportunities, the Review Committee often receives complaints and appeals from those with lower scores.

5.22 In sum, we consider that HD should conduct an early review of the assessment scheme including, but not limited to, the weighting of individual components. This is important as PSA performance assessment affects tenant services.
HD PERFORMANCE IN MONITORING

Distance Monitoring

5.23 HD completely withdraws its staff from an estate once a PSA has taken over the management. Consequently, tenants may not be aware that HD still retains the ultimate control. When confronted with complaints from tenants, some HD staff conveniently shield themselves behind the property services contracts and pass the blame to the PSA concerned. They practically adopt a “hands-off” approach in “monitoring” the PSAs’ performance. This at times generates tenant complaints against HD for shirking its responsibilities in the management of PRH estates. Cases A, C, E, F and G cited in Chapter 4 are relevant.

5.24 Given their statutory authority and duties, HD as HA’s executive must remain ultimately responsible for PRH estate management and, therefore, accountable to tenants for the services and the performance of PSAs. Despite the issue of BPN and PSC Admin Manual, this reality and realisation do not seem to permeate through all HD staff: they have different perception and varying views on the extent of their involvement in monitoring PSAs. Some expect all PSAs to be familiar with HD policies and practices, in particular PSAs with HD ex-employees. As a result, they do not see it their role to train or guide PSAs in the delivery of services (e.g. Case F (para. 4.13)). Some harbour the concern that too much direct involvement would be tantamount to doing the job for the PSAs. A few others are prepared to be more proactive in assisting PSAs to resolve tenants’ complaints or difficult issues.

5.25 In brief, HD monitoring is uneven, as is PSA performance. In this
context, we cannot over-emphasize that the focus must be on services to tenants. It is, therefore, imperative that assessment should truly reflect tenant satisfaction as well as PSA efficiency and effectiveness.

*Dealing with unsatisfactory performance*

5.26 In theory, PSAs with more than three consecutive “adverse” reports are liable to contract termination. In reality, this has never happened. We observe that HD is wary even to exercise its contractual right of re-entry (para. 3.16). It prefers to issue repeated warnings or debar the offending PSAs from tendering for new contracts. In the past five years, there has been only one single case of partial re-entry, i.e. Case A (paras. 4.2 – 4.3), in which HD re-entered the maintenance works portion of the contract concerned. HD is reluctant to go for re-entry at all, possibly because it would take at least four months to complete a re-tendering exercise. Meanwhile, HD would have difficulties in finding its own manpower or a replacement PSA to be temporary caretaker.

5.27 For proper tenant services, HD should monitor consistently poor performers with vigour, vigilance and determination. To prevent prolonged inconvenience and suffering to tenants, HD should be able and ready to re-enter contracts when necessary. This would call for a revamping of current practices to overcome difficulties, say, by simplifying the processes for securing replacement PSAs and by suitable scheduling of the re-tendering for new PSA and terminating the present PSA.
CONCLUSIONS

6.1 We endorse outsourcing as capable of delivering efficient, flexible and cost-effective tenant services in PRH estates. However, it must be coupled with proper monitoring of PSA performance and adequate guidance to them by HD. There must also be objective criteria for PSA performance assessment and reasonable balance of weighting in such assessment. Furthermore, HD should see itself — and be seen by tenants — to remain ultimately accountable for PRH management services.

6.2 We see the relationship between PSAs and HD to be a cooperative partnership for the benefit of tenants, not just one of agent and principal in a business contract. HD should continue to discharge statutory functions not delegated to PSAs, while they relieve HD staff of day-to-day operations. We accept that it would not be realistic or reasonable for HD to supervise every detail of PSA operations or to deal directly with all requests or complaints from tenants. That would defeat the purpose of outsourcing.

6.3 However, it remains HD’s role to serve PRH tenants, though through
PSAs. HD should, therefore, take a firmer and more positive, more proactive stance to ensure the quality of services by PSAs and to provide them with appropriate guidance and active support. In this context, our conclusions are as follows:

(a) HD’s distance monitoring needs to be reinforced with staff awareness that the Department retains ultimate accountability for those duties in the management of PRH estates (paras. 5.23 - 5.24).

(b) Given the unique requirements of PRH estate management and the experience and expertise of most PSAs mainly with private estates, HD’s monitoring of PSAs has been inadequate (paras. 5.10 and 5.23). It has also not given PSAs sufficient and timely support (para. 5.7), particularly in supervision of maintenance works (para. 5.9).

(c) Standards of assessment of PSA performance lack consistency among its assessors in different monitoring teams and across regions (para. 5.11).

(d) There are areas for obvious bias in the assessment scheme. The weighting of various components and the representativeness and effectiveness of the tenant surveys in particular need to be re-examined (paras. 5.13 - 5.22).

(e) HD should intervene and exercise its statutory authority or terminate PSA contracts in serious cases of non-performance (paras. 5.26 - 5.27).
RECOMMENDATIONS

6.4 Accordingly, The Ombudsman makes the following recommendations for HD’s consideration:

Principle of Accountability

(a) To impress upon staff, through written instructions, briefings and training, that HD continues to discharge statutory functions not delegated to PSAs and remains ultimately responsible for overall PRH management (para. 5.24);

(b) To enhance publicity to promote proper awareness and understanding of HD’s monitoring role and responsibility in PRH management, aimed at tenants in particular (para. 4.16);

Support to both HD and PSA staff

(c) To formulate guidelines and procedures for HD staff on the extent and timing of intervention or support to PSAs (paras. 5.6, 5.7 and 5.9);

(d) To update HD instructions and BPN to HD staff and PSAs regularly to ensure that they are comprehensible and comprehensive, meeting current needs (paras. 2.15, 3.6 and 4.13);

(e) To organize regular briefings, seminars and forums for HD staff and PSAs to enhance their understanding of HD guidelines, procedures and instructions (paras. 5.7 and 5.12);
Supervision of Maintenance Works

(f) To review and streamline its works procedures to facilitate PSA operations (para. 5.9);

(g) To evaluate more carefully, in the selection of PSAs, tenderers’ aptitude for PRH maintenance works (paras. 5.2 and 5.8);

(h) To organize training for PSAs on HD works procedures (para. 5.9);

(i) To consider ways to facilitate PSAs’ effective control over HD works contractors (para. 5.9);

(j) To exercise re-entry when necessary (para. 5.27);

Assessment and Remedies

(k) To conduct surprise inspections more frequently to cover all aspects, and to include their findings and scores as a separate and important component of the overall assessment (para. 5.10);

(l) To review the Department’s moderation mechanism to enhance checks and balance to ensure consistency of assessment standards in general (paras. 3.6 and 5.11);
(m) To organize regular forums for PSA monitoring teams to share experience and to promote common understanding (para. 5.12);

(n) To analyse carefully the number and nature of complaints received in assessing tenants' satisfaction level and PSA performance (para. 5.19);

(o) To review critically the current components for fair and more balanced assessment of PSA performance (para. 5.22). In particular,

(i) to review the weighting of EMAC assessment and ways for counter-checking and moderating members' extreme scores (para. 5.13); and

(ii) to review the methodology for the tenant surveys to cover tenants' satisfaction level for each PSA and in each estate (para. 5.15); and

(p) To devise effective measures to deal with non-performing PSAs and to carry out such measures decisively whenever necessary (paras. 5.26 - 5.27).
FINAL REMARKS

HD COMMENTS

7.1 HD generally agrees with our conclusions and recommendations in this report. In particular, it has already decided to initiate the following new measures:

(a) to enhance publicity through television broadcast at lift lobbies in PRH estates on the role of HD and PSAs in performing various estate management duties (para. 6.4(b));

(b) to take up major maintenance works itself (so far, nine management contracts have been revised accordingly) (para. 6.4(f) – (i)); and

(c) to conduct a further study to map out effective contingency measures to deal with non-performing PSAs and to exercise re-entry when necessary (para. 6.4(j) and (p)).

7.2 Its other comments and suggestions for textual amendment have been duly incorporated in finalizing this direct investigation report.
FINAL REMARKS FROM THE OMBUDSMAN

7.3 The Ombudsman appreciates HD's positive response to our conclusions and recommendations.

7.4 Finally, The Ombudsman expresses sincere appreciation for the cooperation and assistance rendered by HD and its staff in this investigation.

Office of The Ombudsman

Ref. OMB/DI/118

August 2005


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Annex 1
(para. 1.2)

List of PRH Estates as at August 2005
(Those managed by PSAs are marked with an asterisk)

Ap Lei Chau Estate
Chak On Estate
Cheung Fat Estate*
Cheung Hong Estate
Cheung Shan Estate*
Choi Fai Estate*
Choi Wan (I) Estate
Choi Yuen Estate*
Chun Shek Estate
Easeful Court
Fu Cheong Estate
Fu Shin Estate*
Fu Tung Estate*
Grandeur Terrace
High Prosperity Terrace
Hing Tung Estate*
Hing Wah (II) Estate
Homantin Estate*
Hung Hom Estate*
Kai Tin Estate*
Kam Peng Estate*
Ko Cheung Court*
Kwai Chung Estate
Kwai Shing East Estate*
Kwong Fuk Estate*
Lai King Estate
Lai On Estate
Lee On Estate
Lei Muk Shue (I) Estate*
Lei Yue Mun Estate
Lok Fu Estate
Lok Wah (South) Estate
Lung Hang Estate
Ma Hang Estate*
Mei Lam Estate*
Ming Tak Estate*
Nam Cheong Estate*
Nga Ning Court*
Ngau Tau Kok Estate, Lower (II)
Oi Man Estate
On Tin Estate*

Butterfly Estate
Cheung Ching Estate*
Cheung Hang Estate*
Cheung Kwai Estate*
Cheung Wang Estate*
Choi Hung Estate
Choi Wan (II) Estate*
Chuk Yuen (South) Estate*
Chung On Estate*
Fortune Estate*
Fu Shan Estate*
Fu Tai Estate*
Fuk Loi Estate
Hau Tak Estate*
Hing Man Estate
Hing Wah (I) Estate*
Hoi Lai Estate
Hong Tung Estate*
Ka Fuk Estate*
Kai Yip Estate
Kin Ming Estate*
Ko Yee Estate
Kwai Fong Estate*
Kwai Shing West Estate
Kwong Tin Estate*
Lai Kok Estate
Lai Yiu Estate*
Lei Muk Shue Estate*
Lei Muk Shue (II) Estate*
Lek Yuen Estate
Lok Wah (North) Estate
Long Ping Estate*
Lung Tin Estate*
Ma Tau Wai Estate*
Mei Tung Estate
Model Housing Estate
Nam Shan Estate
Ngan Wan Estate*
Ngau Tau Kok Estate, Upper
Oi Tung Estate*
On Ting Estate
On Yam Estate
Ping Shek Estate
Po Tat Estate*
Sai Wan Estate*
Sau Mau Ping Estate*
Shek Kip Mei Estate
Shek Lei (II) Estate*
Shek Yam Estate*
Sheung Lok Estate*
Shui Pin Wai Estate*
Shun On Estate
Siu Sai Wan Estate*
Sun Chui Estate
Tai Hang Tung Estate*
Tai Wo Hau Estate
Tin Chak Estate*
Tin Shui (I) Estate
Tin Tsz Estate*
Tin Wan Estate*
Tin Yat Estate*
Tin Yiu (II) Estate*
Tsui Lam Estate*
Tsui Ping (South) Estate*
Tsz Hong Estate*
Tsz Man Estate*
Un Chau Estate*
Wah Fu (II) Estate
Wah Sum Estate*
Wan Tsui Estate*
Wo Che Estate
Wong Chuk Hang Estate
Wong Tai Sin Estate, Upper*
Yat Tung (I) Estate*
Yau Lai Estate
Yau Tong Estate*
Yue Wan Estate

Pak Tin Estate*
Ping Tin Estate*
Po Tin Estate*
Sam Shing Estate
Sha Kok Estate
Shek Lei (I) Estate*
Shek Wai Kok Estate
Shek Yam East Estate
Sheung Tak Estate*
Shun Lee Estate
Shun Tin Estate
So Uk Estate
Sun Tin Wai Estate
Tai Hing Estate
Tai Yuen Estate*
Tin Heng Estate
Tin Shui (II) Estate
Tin Wah Estate*
Tin Yan Estate
Tin Yiu (I) Estate*
Tin Yuet Estate
Tsui Lok Estate*
Tsz Ching Estate
Tsz Lok Estate*
Tung Tau (I) Estate
Wah Fu (I) Estate
Wah Lai Estate
Wan Hon Estate*
Wang Tau Hom Estate*
Wo Lok Estate
Wong Tai Sin Estate, Lower (II)*
Wu King Estate
Yat Tung (II) Estate*
Yau Oi Estate
Yiu Tung Estate

Total of PRH estates : 153
Estates managed by PSAs : 84

Source: HD papers
Annex 2
(para. 2.10)

Duties for HD and the PSA

(a) Property Management Duties

<table>
<thead>
<tr>
<th>Housing Department</th>
<th>Property Services Agents</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Pre-management</strong></td>
<td></td>
</tr>
<tr>
<td>1. Naming of estate and blocks</td>
<td>1. Setting up estate management office</td>
</tr>
<tr>
<td>2. Designation of restricted roads</td>
<td>2. Preparatory works for mass intakes</td>
</tr>
<tr>
<td>3. Creating housing stocks / cost centres in HD’s computer system</td>
<td>3. Arrangements for provision of essential services – refuse collection, postal, security, etc</td>
</tr>
<tr>
<td>4. Setting standard for taking over of flats (joint inspection with New Works staff on sample wing)</td>
<td>4. Taking over of estate properties and follow-up on defects</td>
</tr>
<tr>
<td><strong>Intake of Residents</strong></td>
<td></td>
</tr>
<tr>
<td>1. Reconfirming eligibility prior to intake</td>
<td>1. Completing intake formalities – incl. assisting tenants to apply for utility supply</td>
</tr>
<tr>
<td>2. Updating letting records</td>
<td>2. Handing over of flats to tenants</td>
</tr>
<tr>
<td></td>
<td>3. Vetting applications and monitoring the decoration works of tenants</td>
</tr>
<tr>
<td><strong>Day-to-day Management</strong></td>
<td></td>
</tr>
<tr>
<td>1. Attending to crisis situations (e.g. where large number of families are affected such as temporary closure of part of the building after fire, necessitating the arrangement of temporary accommodation)</td>
<td>1. Ensuring all services and facilities are in order</td>
</tr>
<tr>
<td>2. Enforcement action against illegal hawking</td>
<td>2. Daily patrol to ensure all estate properties are in proper use</td>
</tr>
<tr>
<td>3. Issue of fixed penalty tickets against illegal parkings</td>
<td>3. Environmental upkeeping and control – including road control</td>
</tr>
<tr>
<td>4. Chairing EMAC meetings</td>
<td>4. Dealing with complaints and enquiries</td>
</tr>
<tr>
<td>5. Supervision of PSA performance</td>
<td>5. Support service to EMAC</td>
</tr>
<tr>
<td></td>
<td>6. Management reports</td>
</tr>
<tr>
<td></td>
<td>7. Information services to tenants</td>
</tr>
<tr>
<td></td>
<td>8. Community building activities</td>
</tr>
<tr>
<td></td>
<td>9. Attending District Council and other committee meetings on estate matters</td>
</tr>
<tr>
<td><strong>Financial and Budgetary Management</strong></td>
<td></td>
</tr>
<tr>
<td>1. Budgetary control</td>
<td>1. Preparing operating budget</td>
</tr>
<tr>
<td>2. Certifying invoices for payment</td>
<td>2. Collection of fees and charges</td>
</tr>
<tr>
<td></td>
<td>3. Management of expenditures within budget</td>
</tr>
<tr>
<td></td>
<td>4. Preparing invoices for reimbursement</td>
</tr>
<tr>
<td></td>
<td>5. Keeping accounts, stores and inventory</td>
</tr>
<tr>
<td></td>
<td>6. Arranging insurance policy</td>
</tr>
</tbody>
</table>
(b) Tenancy Management Duties

**Housing Department**

1. Rent fixing and selection of tenants
2. Balloting priorities of flat selection for redevelopment tenants
3. Signing tenancy agreement on behalf of HA with tenants
4. Processing applications for tenancy changes – addition, deletion, change of households, etc.
5. Updating records for all tenancy changes
6. Enforcement against tenancy abuses including serving Notice To Quit on rent defaulters, and taking eviction action
7. Dealing with appeal cases
8. To conduct rent review exercises (including rates rebate)

**Property Services Agents**

1. Rent collection and rent chasing
2. Assisting in letting formalities
3. *Collection of application forms from tenants including preliminary checking and interviews*
4. Checking tenancy irregularities and assisting in taking enforcement action
5. *Assisting in preparing appeal papers and attending Appeal Tribunal*
6. *Delivering notification letters on revised rents (rates rebate) to tenants*

**Implementation of Housing Policies on Resources Allocation**

1. Processing applications for
   i. transfer of tenancy including inheritance cases
   ii. assisted home purchases
   iii. internal / external transfer
2. Administration of Housing Policies such as Housing Subsidy Policy, Rent Assistance Scheme, etc.
3. Arranging transfers initiated by HD for management reasons
4. Dealing with enquiries from Government Audit, other government departments, LegCo / DC, Ombudsman, ICAC etc. on housing matters

**Community and Social Services**

1. Referring families in hardship to SWD/NGO for assistance
2. Arranging transit centre accommodation for families claiming homeless upon eviction
3. Attending District Council / Area Committee meetings, open forum, seminars, etc.

Note: (1) The above duty list is not exhaustive. Only broad classification of major tasks is shown.
(2) New property management and tenancy management duties of property services agents are shown in *italics*.

Source: HA papers
An extract from a typical management proposal

### Hong Kong Housing Authority

**Contract No. XXXXXXXXXX**  
**Property Services Contract for**  
**XXXXXXX Estate (Full Service)**  
**Management Proposal**

**Annex 3**  
(para. 2.13)

(A) **Service Commitment (Cont'd)**

Note: Unless otherwise specified, the lowest acceptable standard stated below shall apply to all types of premises including Domestic, Commercial and Non-Domestic

<table>
<thead>
<tr>
<th>Performance Indicator</th>
<th>Lowest Acceptable Standard</th>
<th>Contractor's Proposed Higher Standard</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>5. Plant Equipment Maintenance</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>a) Issue of inspection works action through PERMIS</td>
<td>Within 2 working days of receipt</td>
<td></td>
</tr>
<tr>
<td>b) Follow up action with suppliers</td>
<td>Within 5 working days</td>
<td></td>
</tr>
<tr>
<td>c) Inspection Records</td>
<td>Daily</td>
<td></td>
</tr>
<tr>
<td>d) Inspection and Certification of Completed Works</td>
<td>Within 2 working days of receipt</td>
<td></td>
</tr>
<tr>
<td>e) Fence-off unsafe/damaged equipment and put up warning notices</td>
<td>Within 1 hour of discovery</td>
<td></td>
</tr>
</tbody>
</table>

| **6. Tenancy Management** |                             |                                      |
| a) Acknowledge receipt of written complaints | Acknowledge receipt within 5 working days. An interim reply within 10 days of receipt of complaint |                                      |
| b) Reply to written complaints/queries | Substantive reply within 18 days of receipt. To report progress from time to time for cases requiring more handling time |                                      |
| c) Dealing with manned hot line calls | Next working day for non-emergency cases |                                      |
**HONG KONG HOUSING AUTHORITY**  
**CONTRACT NO. XXXXXXXXXX**  
**PROPERTY SERVICES CONTRACT FOR**  
**XXXXXX ESTATE (FULL SERVICE)**  
**MANAGEMENT PROPOSAL**

(A) **Service Commitment (Cont'd)**

Note: Unless otherwise specified, the lowest acceptable standard stated below shall apply to all types of premises including: Domestic, Commercial and Non-Domestic

<table>
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<tr>
<th>Performance Indicator</th>
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<tbody>
<tr>
<td></td>
<td></td>
<td>(Deemed to be lowest acceptable standard when left blank or stated as being less than the lowest acceptable standard.)</td>
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<tr>
<td>6. <strong>TENANCY MANAGEMENT (Cont'd)</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>d) Responding to enquiries by external parties</td>
<td>Within 1 working day</td>
<td></td>
</tr>
<tr>
<td>e) Responding to complaints through HD's Complaint Forms</td>
<td>Within 2 working days</td>
<td></td>
</tr>
<tr>
<td>f) Reviewing and solving outstanding complaints</td>
<td>Weekly</td>
<td></td>
</tr>
<tr>
<td>g) Collect Asset Declaration Forms and Bounced Declaration Forms</td>
<td>From all tenants who are required to return within 30 days and 60 days respectively for Domestic Premises</td>
<td></td>
</tr>
<tr>
<td>h) Implement Estate Action Plan</td>
<td>90% compliance</td>
<td></td>
</tr>
<tr>
<td>i) Review Estate Action Plan</td>
<td>Half-yearly</td>
<td></td>
</tr>
<tr>
<td>j) Checking of vacant flats/units and service rooms</td>
<td>Monthly</td>
<td></td>
</tr>
<tr>
<td>k) Flat-to-flat inspection of the conditions of premises</td>
<td>Every flat inspected once every 24 months</td>
<td></td>
</tr>
<tr>
<td>l) Review follow-up action on tenancy/tenant breaches</td>
<td>Weekly</td>
<td></td>
</tr>
</tbody>
</table>

*In case of differences between the Contract and the Estate Action Plan, the provisions of the Contract shall prevail.*
**HONG KONG HOUSING AUTHORITY**  
**CONTRACT NO. XXXXXXXXXX**  
**PROPERTY SERVICES CONTRACT FOR**  
**XXXXXXX ESTATE (FULL SERVICE)**  
**MANAGEMENT PROPOSAL**

(A) Service Commitment (Cont’d)

**Note:** Unless otherwise specified, the lowest acceptable standard stated below shall apply to all types of premises including Domestic, Commercial and Non-Domestic

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</tr>
</tbody>
</table>

7. Environmental Control

<table>
<thead>
<tr>
<th>a) Cleaning blocked drains</th>
<th>Within 4 hours of report</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>b) Keeping public toilets dry, clean, tidy and in proper repair</td>
<td>At all times, check at least twice daily and repairs executed within 2 days of report</td>
<td></td>
</tr>
<tr>
<td>c) Door-to-door refuse collection and disposal</td>
<td>Daily</td>
<td></td>
</tr>
<tr>
<td>d) Cleaning rubbish and abandoned articles on corridors, lobbies, staircases, lifts, escalators, open spaces, canopies, playgrounds, flower beds, water features and common parts</td>
<td>Twice a day</td>
<td></td>
</tr>
<tr>
<td>e) Washing corridors, staircases, lobbies, covered walkways, water features and common parts and clearing lift pits</td>
<td>Monthly</td>
<td></td>
</tr>
<tr>
<td>f) Washing markets</td>
<td>Twice daily</td>
<td></td>
</tr>
<tr>
<td>g) Washing refuse rooms and refuse collection points</td>
<td>Once a day</td>
<td></td>
</tr>
<tr>
<td>h) Empty and clean litter bins, recycling bins</td>
<td>Once a day (Domestic and Non-Domestic Premises) Twice a day (Commercial Centre)</td>
<td></td>
</tr>
</tbody>
</table>
HONG KONG HOUSING AUTHORITY
CONTRACT NO. XXXXXXXXXX
PROPERTY SERVICES CONTRACT FOR
XXX XXXX ESTATE (FULL SERVICE)
MANAGEMENT PROPOSAL

(A) Service Commitment (Cont'd)

Note: Unless otherwise specified, the lowest acceptable standard stated below shall apply to all types of premises including Domestic, Commercial and Non-Domestic.

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<th>Performance Indicator</th>
<th>Lowest Acceptable Standard</th>
<th>Contractor's Proposed Higher Standard</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>(Deemed to be lowest acceptable standard when left blank or stated as being less than the lowest acceptable standard.)</td>
</tr>
</tbody>
</table>

7. Environmental Control (Cont'd)

1) Inspection of the surface drainage system of slopes and clearing debris, leaves, refuse, etc. on slopes
   - Daily

2) All refuse bins covered and placed in refuse matter/industrial collection point
   - At all times including daily inspection and action taken immediately

3) Responding to complaints about cleaning condition
   - Within 12 hours of report for Domestic Premises
   - Within 1 hour of report for Commercial Centres and Non-Domestic Premises

4) Polish/Wax
   (1) floor tiles
   - Once a week (Commercial Centres)
   - Monthly (Domestic and Non-Domestic Premises)
   (2) lift cars/escalators
   - Once every two weeks

5) Responding to requests/enquiries from Contract Administrator
   - Within 1 working day (immediate for urgent cases)

6) Surprised check on cleaning workers' performance and review on follow-up action
   - Four times per week
   (between 18:00 – 09:00 hours)

7) Effective action and control of rodents/mosquitoes/termite
   - At all times including weekly inspections and action taken within 1 day of report
Tender Procedures for PSAs

PSA list

Between 2000 and the end of 2003, PSCs and MBOs were awarded HD property services contracts. With the completion of VDS in 2003, HD established a consolidated list of PSAs. At present, companies interested in HD's property services contracts have to apply to be registered on the PSA list. In vetting such applications, HD will consider the company's track records, past experience in handling projects of similar size and in project management (for building maintenance works), and its financial capability. Those fulfilling all the criteria would be registered on the list as probationary PSAs. Subject to satisfactory performance, their registration would be confirmed after 12 months. PSCs and MBOs can apply for transfer to the list.

2. The PSA list is divided into two groups. Group 1 comprises companies eligible to tender for contracts for managing a portfolio of not more than 4,000 domestic units, excluding major project management services. Group 2 consists of companies eligible to tender for contracts for managing a portfolio of up to 70,000 domestic units, with or without project management services.

Tender Process

3. Award of PSA contracts is through open tender conducted on a quarterly basis. Gazette notices are published and companies registered on the PSA list are invited to tender. The tender documents set out in great detail the general and
special conditions of the contract and tender specifications. Briefings are held for bidders on the tender procedures and the scope of contract (i.e. the tender specifications) before tendering. Site visits are also arranged for bidders.

Management Proposals

4. The bidders are required to indicate on a management proposal form their commitment of service standards (e.g. response time for tenant enquiries) against specific duties under the contract. These are the key performance indicators (“KPI”) based on which HD assesses the performance of the PSAs. The standards proposed by the bidders must not be lower than HD’s own service standards (provided in the tender documents). Bidders’ price quotes are set out in a separate financial proposal. Again, the standard costs for each aspect of work are given in the tender document and the bidders are expected to input an adjustment percentage to those figures.

Tender Evaluation and Selection Criteria

5. As soon as tenders are closed, a tender evaluation team comprising professionals from different sections of HD’s Estate Management Division (“EMD”) would be formed to examine the bids. A two-envelope system with 50:50 weighting on financial and management proposals is adopted for assessing tenders. The non-financial score comprises a score each on the bidder’s management proposal and past performance. Bidders pledging a higher standard of performance with good past performance would gain higher scores. The financial score is arrived at through price comparison among bidders. Those bidding a greater adjustment percentage below the standard costs would receive a higher score.
6. The Property Services Tender Vetting Panel chaired by an Assistant Director would review the tender results. Having gone through established selection procedures and approval formalities, HD will award the contract to the successful bidder. A PSA contract is for three years and re-tendering is usually conducted afterwards. HD has let ten PSA contracts in 2004, with an average of 6,230 units covered in each contract.
Chain of Command
for PSA Monitoring Teams

Estate Management Division

Deputy Director (Estate Management)

Estate Management Sub-Division (1)

Assistant Director (EM)1

Regions (Urban)

Kowloon East

CM

Kowloon West & Hong Kong

CM

same

Property Services Administration Unit

Senior PSM

(PSA Monitoring Teams)

PSMs and team members

Estate Management Sub-Division (2)

Assistant Director (EM)2

Regions (N.T.)

Tuen Mun & Yuen Long

CM

same

Tai Po, North, Shatin & Sai Kung

CM

same

Kwai Tsing, Tsuen Wan & Islands

CM

same

Legend

CM : Chief Manager
Senior PSM : Senior Property Services Manager
PSM : Property Services Manager

Note

Each monitoring team oversees a portfolio of 6 to 8 estates covering 2 to 3 PSAs.

Source: HD papers
<table>
<thead>
<tr>
<th></th>
<th></th>
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<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>03-01</td>
<td>Identifying and Reporting</td>
<td>PS.2.2.1</td>
<td>Within the day of inspection</td>
<td>Same</td>
<td>Record</td>
<td>Monthly</td>
<td>HO</td>
<td></td>
</tr>
<tr>
<td>03-02</td>
<td>Monitoring the progress of notifying defects</td>
<td>PS.2.2.2</td>
<td>Weekly review</td>
<td>Daily review</td>
<td>Record</td>
<td>Monthly</td>
<td>HO</td>
<td></td>
</tr>
<tr>
<td>03-03</td>
<td>Handling provisional acceptance of domestic flats prior to the anticipated construction completion date</td>
<td>PS.2.2.3</td>
<td>Not less than 100 flats per day</td>
<td>not less than 200 flats per day</td>
<td>Checklist</td>
<td>NA</td>
<td>Monthly</td>
<td>HO</td>
</tr>
<tr>
<td>03-04</td>
<td>Type of provisional/acceptance/ refusal of offers</td>
<td>PS.2.3</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>04-01</td>
<td>Completion of intake and handling over premises to tenants/tenants</td>
<td>PS.2.3</td>
<td>Within 1 working day</td>
<td>Within 1 working day</td>
<td>Application Record</td>
<td>Monthly</td>
<td>HO</td>
<td></td>
</tr>
<tr>
<td>04-02</td>
<td>Intake level</td>
<td></td>
<td>Not&lt;150 flats/day</td>
<td>Not&lt;200 flats/day</td>
<td>checklist</td>
<td>NA</td>
<td>Monthly</td>
<td>HO</td>
</tr>
<tr>
<td>04-03</td>
<td>Impact of acceptance/ refusal of</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>04-04</td>
<td>To invite waiting list applicants by sending letters for intake and to complete signing up formalities under Modified Advance Allocation System</td>
<td>PS.2.4</td>
<td>completed within 3 wks from the date of housing stock being taken over</td>
<td>within 2 weeks</td>
<td>checklist</td>
<td>Monthly</td>
<td>HO</td>
<td></td>
</tr>
<tr>
<td>04-05</td>
<td>Handling decoration requests</td>
<td>PS.3.2.1</td>
<td>Within 2 working days</td>
<td>Within 1 working day</td>
<td>Application Record</td>
<td>Monthly</td>
<td>HO</td>
<td></td>
</tr>
<tr>
<td>04-06</td>
<td>Reporting applicability for air conditioners</td>
<td>PS.3.2.2</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>04-07</td>
<td>Inspect decoration works</td>
<td>PS.3.4.9</td>
<td>All the premises are to be checked at once</td>
<td>At least twice</td>
<td>Application Record</td>
<td>Monthly</td>
<td>HO</td>
<td></td>
</tr>
<tr>
<td>04-08a</td>
<td>Removal of decoration debris/ rubbish</td>
<td>PS.3.3.1</td>
<td>Daily</td>
<td>At least twice daily</td>
<td>Record</td>
<td>Monthly</td>
<td>PSM/HO C\WACFW</td>
<td></td>
</tr>
<tr>
<td>04-09</td>
<td>Showers tenants/tenants show flats/ vacant units</td>
<td>PS.3.3.1</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>04-09</td>
<td>Acknowledge receipt of written complaints</td>
<td>PS.3.5.8</td>
<td>At least twice within 5 working days</td>
<td>At least twice within 2 working days</td>
<td>Application Record</td>
<td>Monthly</td>
<td>HO</td>
<td></td>
</tr>
<tr>
<td>05-01</td>
<td>Reply to written complaints/ enquiries</td>
<td>PS.4.6</td>
<td>Substantive reply within 21 days of receipt</td>
<td>Substantive reply within 12 days of receipt</td>
<td>Complaint Enquiries register</td>
<td>Monthly</td>
<td>HO</td>
<td></td>
</tr>
<tr>
<td>05-02</td>
<td>Dealing with manned hot line calls</td>
<td>PS.4.6</td>
<td>Next working day for non-emergency cases</td>
<td>Same</td>
<td>Register on Manned hotline</td>
<td>Monthly</td>
<td>HO</td>
<td></td>
</tr>
<tr>
<td>Item</td>
<td>Date</td>
<td>Assessment Car.</td>
<td>Contract</td>
<td>EA Standard</td>
<td>Ref.</td>
<td></td>
<td></td>
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<tr>
<td>04-01</td>
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**Note:** The table is not fully legible due to the resolution of the image. It appears to be related to performance monitoring and audit assessment.
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<td>Cleaning rubbish and abandoned articles on corridors, lobbies, staircases, lifts, escalators, open spaces, canopies, play grounds, flower beds, water features and common parts</td>
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<td>All refuse bins covered and placed in refuse rooms/refuse collection point</td>
<td>PS.6.4</td>
<td>At all times including daily inspection and action taken immediately</td>
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<td>Responding to complaints about cleansing condition</td>
<td>PS.6.3.1</td>
<td>- Within 24 hrs of report for Domestic Premises - Within 1 hr of report for C.C. &amp; Non-dom.</td>
<td>- Within 2 hrs</td>
<td>Monthly</td>
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6.1.4 The assessment process by HD team shall be carried out in an independent objective, impartial and professional manner. The assessor must in all circumstances take into account all matters or situations, which are beyond the control of the PSA. The PSA shall not be penalized for the failures of others over which it has no direct control or contractual relationship.

6.1.5 All assessments shall be based upon the output of the PSA and should therefore be driven by performance rather than statistical or theoretical compliance with the contract. The assessment shall be carried out based upon the information made available by the PSA and from the assessors’ own observations on the estate. Where there are circumstances or areas of the estate, which are considered to be beyond the control of the PSA, due allowance should be made in the assessment process and remarked in the assessment record. Should there be any disputes or queries as to the method adopted or the assessment scores, these should be passed to the Senior PSM for consideration.
6.1.6 Throughout this assessment process, the form shall be aimed at measuring the performance of the PSA against HD’s own standards and those proposed by the PSA in its tender. It is the actual output performance, which is of the greatest importance.

6.1.7 The scores returned from each performance category shall be monitored against previous scores and bench-marked with other PSAs.

6.1.8 The assessment is inevitably a judgemental process reflecting individual opinion. However, the assessors should make his assessment based on objective factors relating to performance as observed at the time of the assessment. For instance, the assessment on Revenue Collection category shall be factual and record driven while the assessment on Maintenance shall include the actual workmanship and material on site.

6.1.9 The standard of the PSA shall be gauged against two criteria, the lowest acceptable performance standard as specified in the contract and the enhanced performance standard proposed by the PSA and accepted by HD at the tender award stage. The PSA should at all times be encouraged to enhance his performance standard over the duration of the contract.

6.1.10 The assessment process shall be commenced upon possession by the PSA of the first part of the first estate.

Source: Adapted from HD’s Property Services Company Administration Manual Auditing Procedure
Responsibilities of EMAC

1. To advise the Housing Manager / Property Services Manager on:
   (a) priorities of maintenance and improvement works within the estate;
   (b) proposals relating to security, orderliness and cleanliness, control over roads and carparks, noise and amenities in the estate;
   (c) the award / renewal of services contracts;
   (d) the drawing up of estate management and maintenance action plan.

2. To provide feedback and reflect tenants' views on estate management matters, including maintenance and improvement works;

3. To participate in:
   (a) appraising the performance of contractors who provide services in the estate;
   (b) organizing estate community activities.

4. Where resources are made available for the purpose, to recommend minor local improvement works and estate management activities for implementation in the estate.

Source: Adapted from Housing Authority Website
### Sample of Performance Assessment Form completed by EMAC Members

#### Annex 9 (para. 3.10)

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2. 管理层/管理层代表

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本人所提供之服務意見如下：


本人已細閱以下條文，謹此聲明並無利益衝突。/ 申報利益如下：


署名
委員姓名
職稱
日期

備註：

根據廉政公署之意見，鼓勵委員於履行職務時屬屬職的代理人。根據防止詐騙條例第九條，任何代理人無合理權限或合理理由，索取或接受任何形式，即屬犯罪。委員請參閱香港特別行政區法例第201章防止詐騙條例。防詐條例第九及第二條譯錄於委員手冊附件（一）。

作爲鼓勵委員，不應利用公職使他們本人、家人、親友獲利益，或處於某種地位，致令人懷疑他們是否誠實；亦不應因擔任鼓勵委員的職務而出現直接的個人或金融上的利益衝突。

委員於鼓勵委員正在審議的任何事項上有直接的私人或金融利益，他必須在接獲這情形後盡快向鼓勵委員主席申報有關利益的性質，例如：他或其家人受僱於服務承辦商，他便應在接獲這情形後，盡快向鼓勵委員主席申報該等利益的性質及聽取評核有關承辦商之服務意見調查。

備註不適用者
您好！本問卷調查係由本屋邨物業管理及保潔保安人員所進行之問卷調查，問卷資料將會保密，並只用作統計分析之目的。

請問：你在本屋邨內居住滿多久？

回答：

1. 住戶意見訪問

請問您對本屋邨內的公共設施及安全設施有什麼意見？

回答：

2. 適用於本屋邨的特別規定

請問您對本屋邨內的特別規定有什麼意見？

回答：

3. 住戶意見及建議

請問您對本屋邨的住戶意見及建議有什麼意見？

回答：

4. 住戶意見及建議

請問您對本屋邨的住戶意見及建議有什麼意見？

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<td></td>
</tr>
<tr>
<td>公共天線（不包有線電視接收）</td>
<td>5</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
<td>9</td>
</tr>
<tr>
<td>(b) 升降機</td>
<td>5</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
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</tr>
<tr>
<td>(c) 消防設施</td>
<td>5</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
<td>9</td>
</tr>
<tr>
<td>(d) 保安系統（如地下大堂電閣同埋閉路電視）</td>
<td>5</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
<td>9</td>
</tr>
<tr>
<td>(e) 公共地方照明系統</td>
<td>5</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
<td>9</td>
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<tr>
<td><strong>D.2</strong></td>
<td></td>
<td></td>
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<tr>
<td>你對管理處嘅協助處理室內設備維修保養啲工作滿唔滿意呢？（包括沖廁系統同埋食水喉）</td>
<td>5</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
<td>9</td>
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<tr>
<td><strong>D.3</strong></td>
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</tr>
<tr>
<td>你對管理處嘅協助處理廁廁公共地方去水系統堵塞時嘅效率滿唔滿意呢？</td>
<td>5</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
<td>9</td>
</tr>
<tr>
<td><strong>D.4</strong></td>
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</tr>
<tr>
<td>你對廁廁所有設施（包括遊戲、康樂設施及休息地方，但唔包括街市及商場）嘅維修維修滿唔滿意呢？</td>
<td>5</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
<td>9</td>
</tr>
</tbody>
</table>

**E. 整體滿意程度**

<table>
<thead>
<tr>
<th>(請出)</th>
<th>非常滿意</th>
<th>幾滿意</th>
<th>一般/普通</th>
<th>唔係幾滿意</th>
<th>非常唔滿意</th>
<th>未通過/意見</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>E.1</strong></td>
<td></td>
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</tr>
<tr>
<td>整體嘅（包括保安、維修、管理及環境），你對管理處嘅工作滿唔滿意呢？</td>
<td>5</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
<td>9</td>
</tr>
</tbody>
</table>

結束訪問，多謝被訪者
Responsibilities of PSA Review Committee

(a) to advise and make recommendations on the performance and capability of PSAs in relation to existing contracts;

(b) to review and oversee the operation and improvement of the PSA monitoring system and make recommendations for its future development and improvement;

(c) to review the Performance Assessment Reports submitted by the Senior PSMs and to make recommendations relating to disciplinary action; and

(d) to prepare and publish comparative performance ratings of PSAs and estates.

Source: Adapted from Property Services Company Administration Manual
### Example of PSA League Table

<table>
<thead>
<tr>
<th>Band</th>
<th>Name of PSA</th>
<th>Overall Score Maximum: 100</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Band A</strong></td>
<td>Full Tender Opportunities</td>
<td>53.77</td>
</tr>
<tr>
<td></td>
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<td></td>
</tr>
<tr>
<td><strong>Band B</strong></td>
<td>Limited Tender Opportunities</td>
<td>51.66</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Band C</strong></td>
<td>Debarred from Tendering</td>
<td>50.15</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Source: Adapted from HD league table for PSAs