

**HUMAN RESOURCES POLICIES & PROCEDURES/APPOINTMENT****Policy Guidelines & Procedures on Staff Recruitment****1. GENERAL PRINCIPLES**

In conducting staff recruitment exercise, the University is obliged to observe the following principles:

- 1.1 **Compliance with Legal Requirements** – As an employer, the University must ensure that all its appointees are legally employable. Under the Hong Kong Immigration Ordinance, an appointee coming from outside Hong Kong who does not have the right of abode in the Hong Kong Special Administrative Region (HKSAR) shall have to apply for an employment visa to work in Hong Kong. Furthermore, under the prevailing provisions of the Employment Ordinance (EO) of the Hong Kong HKSAR Government, a person who works for the same employer for 18 hours or more in a week and for a continuous period of 4 weeks is deemed to be under a continuous contract and such a person shall be entitled to the provisions under the EO. To ensure that all the legal requirements relating to the employment of staff are complied with, all staff appointments must be processed through the Human Resources Office, except for the employment of local part-time hourly-rated helpers on an ad hoc basis. The relevant appointment procedures are set out in Sections 2 to 4 below. In all cases, Faculties/Schools/Departments/Offices as well as individual staff are advised not to enter into any verbal or written agreement with any person(s), the content of which could be interpreted as contractual staff appointment, before the recommended appointment is approved by the appropriate authority.
- 1.2 **Equal Opportunities in Employment** - The University is committed to the pursuit of equal opportunity in all areas of its operation. As an equal opportunities employer, the University will operate its employment policy in such a way that individuals will be selected and appointed on the basis of relevant job requirements, selection criteria, and required core competencies of the respective staff grades/banding. Accordingly, individuals will be assessed on the basis of their relevant aptitudes, skills and abilities, and not on other irrelevant considerations.
- 1.3 **Confidentiality in Handling Personal Data** - To comply with the requirements of the Personal Data (Privacy) Ordinance, staff members who are involved in any part of the recruitment exercise are reminded that they are in trust not to divulge confidential information to any person not specifically authorized to receive it, nor to use such information for personal benefit. For guidelines on compliance, staff members may refer to the *Code of Practice for Compliance with the Data Protection Principles* specified in the Personal Data (Privacy) Ordinance or visit the homepage of the Privacy Commissioner's Office (<http://www.poc.org.hk>).
- 1.4 **Declaration of Interest** - As a public body, the University must ensure that it is seen to be fair, honest and impartial in its dealings with members of the public. As such, staff members involved in any part of a recruitment exercise such as shortlisting, interviewing, or final selection, should declare an interest if they have any personal relationship with any individual candidate which may influence their impartiality in the exercise. Such a declaration of interest should be filed with the Director of Human Resources and should normally lead to the exclusion of the staff member concerned from participating in the exercise. Occasions may arise, however, when such exclusion may not be practicable and in such a case the Director of Human Resources should, in consultation with the President and Vice-Chancellor, decide the best course of action having regard to the circumstances in which the exercise is being conducted.

## **2. REQUEST FOR FILLING OF POSTS**

- 2.1 Vacant posts should normally be filled by means of open recruitment. Requests for filling of various posts, irrespective of source of funding, should be forwarded to the Human Resources Office for processing in accordance with the following reporting relationships:
- (a) for recruitment of a Head of Office or a Dean of Faculty/School, requests should be initiated by the appropriate Vice-President to whom the post holder reports;
  - (b) for academic/teaching posts in Faculties/Schools, requests should be initiated by the Head of Department/Course Director/Programme Head as appropriate via the respective Dean;
  - (c) for non-teaching posts in Executive/Professional (Band D1 to E2) and General (Band A to C) categories, requests should be initiated by the respective Head of Office or Head of Department/Course Director/Programme Head as appropriate via the Dean; whereas for non-teaching posts in Managerial/Senior Professional category (Band F and above) but not at Head of Office level, requests should be initiated by the Head of Office or Dean of Faculty/School via the respective Vice-President or President and Vice-Chancellor; and
  - (d) for posts under research projects, requests should be initiated by the relevant Project Investigator.
- 2.2 Upon receipt of a request for filling of posts, the Human Resources Office will check with the Finance Office on the availability of funds under the relevant budget for staff recruitment. The Finance Office, having completed the budget clearance process, will return a copy of the request form to the Human Resources Office and the department/office concerned for record. In case of any discrepancy in budget, the Finance Office will contact the department/office concerned for further information or action as appropriate.

## **3. REGULAR APPOINTMENT PROCEDURES**

### **3.1 Advertisement of Vacant Posts**

- 3.1.1 Vacant posts will normally be advertised in local newspapers and/or related websites. The deadline for sending in requests for placing local advertisements is 5:00 p.m. on Friday of the preceding week. For the recruitment of academic or senior non-teaching staff at the level of Head of Office and above, overseas advertisement will be arranged, if considered necessary. As the lead time between the submission deadline of job advertisement and the issue date varies a great deal among different overseas media, ample time will have to be allowed for overseas advertisement and requests for placing overseas advertisement should reach the Human Resources Office at least 2 weeks before the submission deadline of the relevant advertising medium. For recruitment of academic staff for the new academic year, the recruitment cycle will normally begin around October and November of the preceding year.
- 3.1.2 Advertising costs for UGC-funded posts will normally be charged to the Central Recruitment Expenses Account controlled by the Human Resources Office. Subject to the funding availability of the Central Recruitment Expenses Account, advertising costs of non-UGC funded posts will usually be charged against the relevant recruiting unit.
- 3.1.3 For better budgetary control, the Human Resources Office will set a nominal advertising cost for overseas advertisement per vacant post (a post can be one which carries more than one vacancy or more than one rank). The nominal advertising cost will be reviewed on an annual basis. Faculties/Schools may choose to place advertisements in any newspaper or professional journals they prefer within the set budget; or they could provide additional resources to support additional advertising costs beyond the set limit.
- 3.1.4 For the dual purpose of budgetary control and better efficiency, the advertising of general clerical and executive posts will be in the form of a general advertisement when a request for filling such vacant posts is received. Similar posts will not be advertised again within three months from the

last advertising date unless there are specific requirements for the posts or the pool of candidates has been exhausted. In the event that the relevant department/office wishes to place a specific advertisement for its own use, the relevant budget-controlling officer is expected to provide the additional resources for the specific request.

### **3.2 Selection Process**

#### **Shortlisting of Candidates**

- 3.2.1 Normally the closing date for applications will be two weeks after the first appearance of the local advertisement, but this will be extended to one month if overseas media are used. Job applications received will be passed to the Dean/Head of Office for shortlisting within 3 working days after the closing date for applications. A short-list will then be drawn up by the Dean in consultation with the Head of Department/Course Director/Programme Head in the case of academic/teaching posts; or the Head of Office in the case of non-teaching posts. For the recruitment of a Dean of Faculty or Head of Office, shortlisting of candidates shall be the responsibility of the appropriate Vice-President/President and Vice-Chancellor in accordance with the reporting relationship of the person to be recruited.
- 3.2.2 It is important to note that a decision on the short-list of candidates to be selected for interview should be made as quickly as possible, preferably within two weeks and in no circumstances more than four weeks after the closing date for applications. A delay in the return of all the applications and the short-list will result in delay in taking up references, notification of shortlisted candidates, the arrangement of interviews, and the potential loss of the best qualified candidates. Deans of Faculties/Schools may consider drawing up an intermediate short-list, if deemed necessary, for the Human Resources Office to seek for references prior to the final short-list for interview.
- 3.2.3 During the shortlisting process, Deans and Heads of Departments/Offices are reminded to keep confidentiality of the applications, and not to make any verbal commitment of the possibility of interview to the candidates concerned.
- 3.2.4 To shorten the shortlisting process, some departments may wish to receive and handle the applications direct during the shortlisting process. The Human Resources Office will offer the option of direct handling of applications on the understanding that colleagues involved in the process should keep strict confidentiality of the applications.

#### **Written Tests / Seminar Presentation**

- 3.2.5 Before the conduct of interview, shortlisted candidates for non-teaching posts will normally be invited to attend written or aptitude/skill tests in order to help the Staff Selection Panel to have a better understanding of their professional knowledge or competence for the posts. For teaching posts at Professor and above ranks, candidates will normally be asked to conduct a seminar presentation before the interview. Any other types of tests/presentation will be arranged at the request of the relevant Dean or Head of Department/Office.

#### **External Assessment**

- 3.2.6 If shortlisted candidates are considered for promotion to a higher academic rank and/or substantiation, external assessments on the scholarship of the candidates concerned will be solicited. The number of external assessment reports should be at least six (and eight for Chair Professor rank). The Dean or Chairperson of the Staff Selection Panel should make nominations of external assessors to the Provost or respective VP, who has the discretion to increase the number of external assessments on respective case, if considered necessary and appropriate. External assessors should be well-acquainted with the subject and research areas of the candidate. To ensure impartiality, they should preferably not be direct collaborators in the work of the candidate.

### **Arrangement of Interview**

- 3.2.7 Shortlisted candidates will be invited for an interview which shall be arranged as soon as possible and normally in the third week after the short-list reaches the Human Resources Office, so as to enable references to be taken up. If overseas candidates are involved, interview will normally be conducted by means of telephone, video conferencing or other forms through the use of information technology. Personal interview of overseas candidates will normally be arranged only for the recruitment of staff at Professor and above ranks. Fly-in interview for overseas candidates for positions below the Professor rank may be arranged if the relevant budget-controlling officer is prepared to provide the additional resources needed to support the cost of passage and accommodation for the candidates. The Staff Selection Panels for different ranks shall be constituted according to established guidelines. (Please refer to P388/A3 on Staff Selection Panels). The time scale for arrangement of interview may need to be extended when overseas candidates are involved.
- 3.2.8 For appointment of academic staff at Head of Department level, a meeting should be arranged, as soon as possible after the Panel interview, between the President and Vice-Chancellor and the candidate recommended for appointment, to enable the President and Vice-Chancellor to have more direct knowledge about the candidate before approving his/her appointment.

### **3.3 Recommendation for Appointment**

- 3.3.1 The Staff Selection Panel should not make any final decision on the selected staff appointment, but shall normally recommend one candidate for consideration of appointment by the appropriate authority. The approving authority for various types of appointments is at Annex 1. Where there is more than one suitable candidate, a reserve list shall be drawn up. If the approving authority disagrees with the Panel on the choice of candidate, or the proposed salary level, or the terms of appointment to be offered, he/she may raise questions with and/or give comment to the Panel for clarification or reconsideration. The final decision shall rest with the approving authority.
- 3.3.2 Deans and Heads of Departments/Offices are reminded not to make any verbal commitment to the selected candidate concerned before the recommendation is approved.

### **3.4 Offer of Appointment**

- 3.4.1 A verbal offer will be made to the recommended candidate by the Human Resources Office as soon as the recommended appointment has been approved. Letters of appointment will be prepared by the Human Resources Office and signed by the Director of Human Resources or his/her delegates.
- 3.4.2 Confirmation of full-time, regular appointments will be subject to verification of credentials, satisfactory references, and medical reports, if necessary.

## **4. SIMPLIFIED APPOINTMENT PROCEDURES FOR TEMPORARY POSITIONS OF A DURATION OF SIX MONTHS OR LESS**

- 4.1 In the interest of time and better utilization of resources, the advertising requirement for temporary positions of a duration of six months or less may be waived upon request.
- 4.2 Upon relaxation of the advertising requirement, the following internal control measures shall be followed to ensure the impartiality of the recruitment procedures:
- (a) The Faculty/School/Department/Office concerned shall convene a small panel of at least three members to interview the shortlisted candidate(s) before making the recommendation; and

- (b) The Deans and Heads of Offices are advised to be wary of the likely conflict of interest that may arise in employing relatives or friends to temporary positions within the Faculty/School/Office without going through the regular recruitment process; and
  - (c) Waiving of the advertising requirement is restricted to the initial short-term appointment of six months or less duration; any further renewal will be subject to advertising and a regular recruitment process.
- 4.3 Deans and Heads of Departments/Offices who wish to follow these simplified procedures for the appointment of temporary positions should complete a Recommendation Form for Temporary Appointment obtainable from the Human Resources Office, and enclose relevant documents such as the Employment Application Form of the recommended candidate and the interview assessment record.
- 4.4 In the case of appointment of temporary staff in the General Category and Executive/Professional Category, the duly completed Recommendation Form, as endorsed by the Finance Office on the availability of funds, and by the Human Resources Office on the appropriate level of appointment, can be treated as an approved staff appointment. Letters of appointment for this group of staff shall be signed by the Director of Human Resources.
- 4.5 In the case of appointment of temporary academic/teaching and non-teaching staff in Managerial/Senior Professional Category, the duly-completed Recommendation Form shall be forwarded to the Provost (for academic/teaching staff appointment) or to the Vice-President (Administration) and Secretary (for non-teaching staff appointment) for approval. Letters of Appointment will be prepared and issued by the Human Resources Office.

## **5. FUTURE REVISIONS AND CHANGES**

- 5.1 In case of special circumstances that may call for some variations from the established policy and guidelines, approval for exceptional arrangement would need to be sought from the President and Vice-Chancellor.
- 5.2 These policy guidelines and procedures will be kept under constant review to take into consideration changing circumstances and the developmental needs of the University. The changes, as approved by the Staff Affairs Committee, will be promulgated to Deans/Heads of Departments/Offices through Human Resources Office Circulars.

Human Resources Office

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**HONG KONG BAPTIST UNIVERSITY**  
**Human Resources Office**

**HUMAN RESOURCES POLICIES & PROCEDURES/APPOINTMENT**

**Policy Guidelines & Procedures on Staff Recruitment**

**Authority for Approval of Appointment and Signing of Letters of Appointment**

Types of Appointments	Approval of Appointment	Signing of Letter of Appointment
<ul style="list-style-type: none"><li>Academic staff with appointment <math>\geq 1</math> year</li><li>Senior Lecturer &amp; above / Senior Instructor with appointment <math>\geq 1</math> year</li><li>Non-teaching staff in Managerial / Senior Professional Category with appointment <math>\geq 1</math> year</li><li>University Fellows</li></ul>	P/VC	Director of Human Resources or his/her delegate
<ul style="list-style-type: none"><li>Academic staff/Senior Lecturer &amp; above/Senior Instructor with appointment <math>&lt; 1</math> year</li><li>Research Assistant Professor</li><li>Assistant Lecturer / Lecturer I/II / Instructors I/II</li><li>Fulbright Scholars / KCW Fellows</li><li>Visiting staff below age 65 or the cumulative period of appointment <math>\leq 3</math> years</li></ul>	Provost	
<ul style="list-style-type: none"><li>Visiting staff at or beyond age 65 <u>or</u> the cumulative period of appointment <math>&gt; 3</math> years</li></ul>	P/VC	
<ul style="list-style-type: none"><li>Teaching Assistants</li><li>Part-time teaching staff below age 60</li></ul>	Dean	
<ul style="list-style-type: none"><li>Part-time teaching staff at or beyond age 60</li></ul>	Provost	
<ul style="list-style-type: none"><li>Research staff below age 60</li></ul>	Dean	
<ul style="list-style-type: none"><li>Research staff at or beyond age 60</li></ul>	VPRD	
<ul style="list-style-type: none"><li>Non-teaching staff in Managerial/Senior Professional Category with appointment <math>&lt; 1</math> year</li><li>Non-teaching staff in General Category and Executive/Professional Category with appointment <math>&gt; 6</math> months</li></ul>	VPAS	
<ul style="list-style-type: none"><li>Non-teaching staff in General Category and Executive/Professional Category with appointment <math>\leq 6</math> months <u>and</u> below age 60</li></ul>	Director of Human Resources on behalf of VPAS	
<ul style="list-style-type: none"><li>Non-teaching staff with appointment <math>\leq 6</math> months <u>and</u> at or beyond age 60</li></ul>	VPAS	

- Notes:*
1. Unless otherwise specified, the types of appointment listed above include full-time as well as part-time new appointments and re-appointments.
  2. For new appointment of senior staff to the positions of Deans, Heads of academic departments or administrative offices, Chair Professors & equivalent level, the relevant Staff Selection Panel could recommend for an extension of the 'contractual retirement age' from 60 to 65.
  3. For appointment/re-appointment of senior staff to the positions of Deans, Heads of Departments/Offices, Chair Professor & equivalent level (except visiting appointment) beyond age 65, approval should be sought from the Special University Panel.