

## Head 114 — OFFICE OF THE OMBUDSMAN

**Controlling officer:** The Ombudsman will account for expenditure under this Head.

<b>Estimate 2000–01</b> .....	<b>\$63.9m</b>
Establishment ceiling 2000–01 (notional annual mid-point salary value) representing an estimated 88 non-directorate posts at 31 March 2000 reducing by one post to 87 posts at 31 March 2001 .....	<b>\$41.8m</b>
In addition there will be an estimated four directorate posts at 31 March 2000 and at 31 March 2001.	
<b>Capital Account commitment balance</b> .....	<b>\$1.2m</b>

### Controlling Officer's Report

#### Programme

##### Complaints Administration

This programme contributes to Policy Area 30: Complaints Against Maladministration (The Ombudsman).

#### Detail

	1998–99 (Actual)	1999–2000 (Approved)	1999–2000 (Revised)	<b>2000–01 (Estimate)</b>
Financial provision (\$m)	51.5	61.3 (+19.0%)	55.8 (–9.0%)	<b>63.9 (+14.5%)</b>

#### Aim

2 The aim is to redress grievances and address issues arising from maladministration in the public sector, and through independent and impartial investigations, to bring about improvements in the quality and standard of and promote fairness in the public administration.

#### Brief Description

3 The Ombudsman is directly responsible to the Chief Executive for resolving any complaints of maladministration lodged by the public with her through informal resolution, investigations and other forms of assistance. The Office generally met its objectives and targets in 1999.

4 The key performance measures in respect of complaints administration are:

##### Targets

The performance of the Office of The Ombudsman can be measured by the extent of public awareness and acceptance of the Office, the thoroughness of investigations, the efficiency with which complaints are resolved, and the degree of acceptance and recognition of the effectiveness of recommendations made for the redress of grievances.

##### Indicators

Key indicators of performance are the number of complaint cases and enquiries received; the number of complaint cases completed, including those investigated and those resolved through alternative resolution, such as rendering clarification and assistance, referral under the Internal Complaint Handling Programme (INCH) and mediation; the number of direct investigations completed; and the number of recommendations accepted by the Administration either directly or after discussion in the legislature. The reporting year of the Office ends on 30 June. The performance figures for the last three reporting years are:

	<i>Reporting Year</i>		
	1996/97 (Actual)	1997/98 (Actual)	1998/99 (Actual)
enquiries received .....	5 922	7 578	10 192
complaints received .....	2 844	3 073	4 125
complaints carried forward from the previous reporting year .....	648	531	594
total cases of complaints for disposal .....	3 492	3 604	4 719
complaints investigated			
substantiated .....	72	61	56
partially substantiated .....	82	87	73
unsubstantiated .....	195	203	172
incapable of determination .....	1	—	—

## Head 114 — OFFICE OF THE OMBUDSMAN

---

	<i>Reporting Year</i>		
	1996/97 (Actual)	1997/98 (Actual)	1998/99 (Actual)
withdrawn/discontinued .....	10	4	8
complaints concluded after rendering clarification and assistance .....	758	509	793
complaints concluded after referral under INCH programme .....	542	522	499
complaints concluded after mediation† .....	—	16	19
complaints not investigated			
restriction on investigation.....	550	588	790
outside jurisdiction.....	522	719	998
withdrawn/discontinued.....	229	301	420
total cases concluded			
no. of cases.....	2 961	3 010	3 828
% over the total cases for processing .....	85	84	81
cases carried forward to the next reporting year .....	531	594	891
number of direct investigations completed .....	5	7	7
recommendations made and accepted .....	290	299	279

† The mediation service was launched as from April 1997.

### ***Matters Requiring Special Attention in 2000–01***

5 During 2000–01, this Office will:

- plan to further sever its link with the civil service so as to enhance the independence of this Office;
- continue to promote public awareness and education of The Ombudsman system and services, including community involvement;
- reinforce human resource management to achieve professionalism in complaint management;
- strengthen the direct investigation functions;
- enhance the mediation service as an alternative dispute resolution method in resolving complaints;
- inculcate a professional complaint management culture in the public sector; and
- strengthen relationship with other ombudsman jurisdictions and kindred institutions through overseas liaison and exchange programmes.

## Head 114 — OFFICE OF THE OMBUDSMAN

---

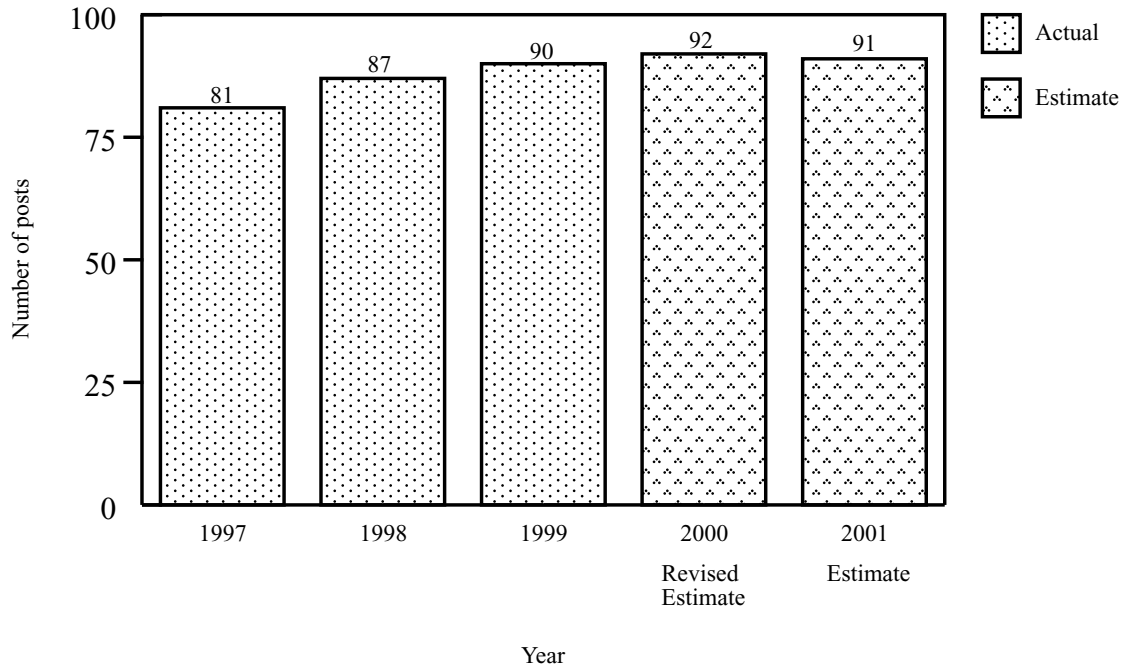
### ANALYSIS OF FINANCIAL PROVISION

<b>Programme</b>	1998–99 (Actual) (\$m)	1999–2000 (Approved) (\$m)	1999–2000 (Revised) (\$m)	<b>2000–01 (Estimate) (\$m)</b>
Complaints Administration .....	51.5	61.3 (+19.0%)	55.8 (–9.0%)	<b>63.9 (+14.5%)</b>

#### Analysis of Financial and Staffing Provision

Provision for 2000–01 is \$8.1 million (14.5%) higher than the revised estimate for 1999–2000. This is mainly due to the full-year provision for posts created in 1999–2000 and additional provision for the payment of cash allowances and related expenses to non-civil service contract staff employed directly by the Office under this Head of Expenditure (whereas such expenses for civil servants are accounted for under a separate Head of Expenditure), pursuant to the Office's plan to replace some civil service posts by non-civil service contract staff.

*Changes in the size of the establishment  
(as at 31 March)*



*Note:* The figures above include both civil service posts and non-civil service contract staff employed directly by the Office.

**Head 114 — OFFICE OF THE OMBUDSMAN**

Sub-head (Code)	Actual expenditure 1998-99	Approved estimate 1999-2000	Revised estimate 1999-2000	<b>Estimate 2000-01</b>	
	\$'000	\$'000	\$'000	<b>\$'000</b>	
<b>Recurrent Account</b>					
000	Operational expenses .....	—	60,526	55,296	<b>63,546</b>
	Salaries .....	35,367	—	—	—
	Allowances .....	2,014	—	—	—
	Job-related allowances .....	17	—	—	—
	Remuneration for special appointments .....	10,464	—	—	—
	General departmental expenses .....	3,485	—	—	—
	Total, Recurrent Account .....	51,347	60,526	55,296	<b>63,546</b>
<b>Capital Account</b>					
II — Other Non-Recurrent					
700	General other non-recurrent .....	140	760	500	<b>360</b>
	Total, Other Non-Recurrent .....	140	760	500	<b>360</b>
	Total, Capital Account .....	140	760	500	<b>360</b>
	Total Expenditure .....	51,487	61,286	55,796	<b>63,906</b>

## Head 114 — OFFICE OF THE OMBUDSMAN

### Details of Expenditure by Subhead

The estimate of the amount required in 2000–01 for the salaries and expenses of the Office of The Ombudsman is \$63,906,000. This represents an increase of \$8,110,000 over the revised estimate for 1999–2000 and of \$12,419,000 on actual expenditure in 1998–99.

#### *Recurrent Account*

**2** Provision of \$63,546,000 under *Subhead 000 Operational expenses* is for the salaries and allowances of staff of the Office of The Ombudsman and its other operating expenses. The increase of \$8,250,000 (14.9%) over the revised estimate for 1999–2000 is mainly due to the full-year provision for two posts created in 1999–2000 and the related expenses arising from the conversion of some civil service posts to non-civil service contract posts. Management and control of the Office’s operational expenses takes the form of a one-line vote. The controlling officer is given flexibility in the virement of funds within the subhead to facilitate the achievement of greater efficiency and enhanced productivity.

**3** As a vote-funded authority, the Office of The Ombudsman is subject to establishment control. The establishment at 31 March 2000 will be 92 permanent posts. This includes one Chief Executive Officer, four Senior Executive Officer and six Executive Officer I equivalent posts filled by non-civil service contract staff employed directly by the Office. It is expected that one permanent post will be deleted in 2000–01. Subject to certain conditions, the controlling officer may under delegated powers create or delete non-directorate posts during 2000–01, but the notional annual mid-point salary value of all such posts must not exceed \$41,807,000.

**4** An analysis of financial provision under *Subhead 000 Operational expenses* is as follows:

	1998–99 (Actual) (\$'000)	1999–2000 (Original Estimate) (\$'000)	1999–2000 (Revised Estimate) (\$'000)	2000–01 (Estimate) (\$'000)
Personal emoluments				
- Salaries .....	35,367	37,391	36,979	<b>35,101</b>
- Allowances .....	2,014	1,901	2,243	<b>2,095</b>
- Job-related allowances .....	17	71	23	<b>71</b>
Departmental expenses				
- Remuneration for special appointments ....	10,464	17,018	11,906	<b>21,771</b>
- General departmental expenses .....	3,485	4,145	4,145	<b>4,508</b>
	51,347	60,526	55,296	<b>63,546</b>

**5** In the above analysis, *Remuneration for special appointments* is for the remuneration of The Ombudsman and the non-civil service contract staff.

**6** Subject to the cash-limited ceiling of \$63,546,000 which will not be increased in the course of the year except for increases to the personal emoluments portion in line with the civil service pay adjustment, the controlling officer may deploy funds freely to meet requirements under each of the various expenditure components. As part of the pilot on one-line vote the Administration will provide to Finance Committee quarterly financial reports showing actual spending and any redeployment of funds within *Subhead 000 Operational expenses* based on the above analysis.

## Head 114 — OFFICE OF THE OMBUDSMAN

---

### Capital Account

#### Commitments

Sub-head (Code)	Item (Code)	Ambit	Approved commitment	Accumulated expenditure to 31.3.99	Revised estimated expenditure for 1999–2000	Balance
			\$'000	\$'000	\$'000	\$'000
700		<i>General other non-recurrent</i>				
	002	Exchange development scheme with the Mainland.....	1,800	500	100	1,200
		Total.....	<u>1,800</u>	<u>500</u>	<u>100</u>	<u>1,200</u>