INTRODUCTION 簡介

In the past decade, the operating environment of NGOs in Hong Kong is rapid changing and challenging in many aspects: the increasing complexity of social issues, diminishing government resources, increasing marketisation of social service provision, increasing public scrutiny, etc. This has created great challenges to NGO leadership and organisational development. How NGOs develop their organisational capabilities and maintain their effectiveness under such a dynamic environment is an enduring question. Under this background, the HKCSS Institute and HKU-HKJC Excellence in Capacity-building on Entrepreneurship and Leadership for the Third-sector Project (HKU-HKJC ExCEL3) have jointly conducted a study on NGO organisational development, namely "Institutional Innovations for NGO Capacity Building". The project is a continuation of the HKCSS and HKU-HKJC ExCEL3 Collaborative Project "NGO CEO Competency Model" conducted in 2013. It aims to find out the institutional factors that enable NGO leadership through consolidating NGOs' experiences in developing organisational capacities and good capacity building practices (i.e., institutional innovations) in the past decade.

Nine organisations of medium to large size (i.e., with more than 200 employees) have participated in the study. Participating organisations were studied for their major development and institutional changes during the past ten years based on archival research and semi-structured interviews conducted with agency heads. Annual reports of the past ten years of each organisation were studied in details to understand the development trajectory of each organisation and to guide the interviews conducted with agency heads. All interviews were recorded and transcribed. Data collected were coded for thematic analysis to identify common themes of institutional development of the past ten years. Twenty-two common themes (i.e., institutional building blocks) under eight organisational capacities were identified.*

過去十年，香港社會服務機構的整體營運環境及氣氛迅速改變，複雜化的環境為機構帶來多方挑戰，包括社會議題日趨複雜、政府資源削減、社會服務走向市場化、公眾監察等。這些都對社會服務機構的領導及發展構成挑戰。面對瞬息萬變的環境，社會服務機構如何發展其組織能力，有效地發揮社會角色，成為愈發重要的問題。有見及此，社聯學院與香港大學香港賽馬會睿智計劃攜手合作，開展了一項社會服務機構組織發展的研究，名為「社會服務機構能力建設的制度創新」。此項目為 2013 年社聯及香港大學賽馬會睿智計劃的合作項目，「社會服務機構領袖勝任能力模型」的延續，目的為整合社會服務機構過去十年能力建設的經驗及創新制度，找出有助提升機構領導的制度因素。

是次研究總共九間中至型的機構（擁有不少於二百名員工）參與調查。研究上，研究團隊結合了文獻分析法及半結構式訪談，研究過去十年各機構的主要發展及制度上的革新。過程中，研究團隊首先透過研究各機構過去十年的年報，整理出它們過去十年的發展軌跡，然後以此作為參考，訪問各機構主管，深入了解機構種種制度上的演變與革新。所有訪談均被錄音，再整理為抄本，以便逐字分析。透過「主題分析法」，研究團隊歸納出過去十年機構制度發展的共同主題，共 22 個制度建設單元，並將它們納於 8 個機構能力之中。*

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* The method of grouping the institutional building blocks into 8 organisational capacities is adopted from the HKCSS and HKU-HKJC ExCEL3 Collaborative Project "NGO CEO Competency Model".

8 個機構能力的歸類方法採納自社聯及香港大學賽馬會睿智計劃的合作項目「社會服務機構領袖勝任能力模型」。

The Hong Kong Council of Social Service was established in 1947 and became a statutory body by 1951. It has been the representative for non-governmental social service agencies with clear vision and professional expertise committed to sustain and develop social services in Hong Kong. The Council has grown since then and is now an umbrella organisation with 444 Agency Members providing quality social welfare services for those in need through their 3,000 plus service units all over Hong Kong.

In celebration of the 60th Anniversary of the Council in 2007, the HKCSS Institute (HKCSSI) was established bearing the mission of Enhancing Professionalism, Promoting Competencies. HKCSSI promotes life-long learning in the Sector through trainings, seminars, symposiums, partnership & consultancy service, scholarships and recognition scheme with an aim to foster the growth and development of NGO practitioners' and the Council's Agency Members.

香港社會服務聯會於1947成立，並於1951成為法定團體。社聯作為代表非政府社會福利服務機構的聯會，具清晰信念與專業能力，致力推動本港社會福利的發展。社聯有四百四十四間機構會員，涵蓋三千多個服務單位，為本港市民提供優質社會福利服務。

2007年適逢社聯慶祝創立60周年，社會學院的成立，以「提升專業，促進效能」為使命，鼓勵社會服務界及其從業員成為學習形的群體，以面對專業路上的不同挑戰。學院致力於社福界中推動終身學習，為機構提供卓越管理的知識基礎。學院通過提供高質素的中短期進修機會、講座、研討會、項目夥伴及顧問服務、獎學金及嘉許計劃等為業界從業員提升自我及促進機構服務效率，提供卓越的服務。

ExCEL3 serves as the central platform for knowledge generation and exchange around capacity building for the third sector at HKU. Scholars and practitioners from around the world have come together through ExCEL3 to share dialogue on topics from impact investing to enhancing organisational competency in forums such as workshops, symposiums, conferences, focus groups and seminars.

ExCEL3 aims to nurture leaders and ambassadors in Third Sectors with a broad range of NGO management knowledge and international exposure and perspectives through three Institutes, namely Executive Institute, Service Institute and Community Institute. One of the collaborative projects within ExCEL3 is Capacity Building Framework for NGO Leaders. It aims to develop a capacity building framework for NGO leaders to help navigate the career paths of NGO practitioners and map the knowledge, skills and core competencies needed at senior level.

香港大學香港賽馬會睿智計劃以建設第三部門的能力為主要使命。當中的睿智學苑是一個促進第三部門知識開展和交換的平台。來自世界各地的第三部門學者和從業員通過睿智計劃聚首一堂，於專題研討會、會議或焦點小組對不同的議題作出討論。議題涵蓋廣泛，如社會責任投資及加強部門組織能力等話題均有涉及。睿智計劃致力通過三個學苑：行政學苑、服務學苑和社區學苑，以豐富的非政府組織管理知識、國際觀點及國際視野來培育專業的第三部門人才。

睿智計劃其中一個重點合作項目為非政府組織的能力建設模型，為機構領袖建構的能力建設模型，協助從業員策劃職涯，規劃資深行政及管理人員所需的知識、技能和勝任能力。

ADVISORS 顧問

Prof Cecilia CHAN Lai-wan, JP
陳麗雲明德教授
Project Director, HKU-HKJC ExCEL3
Professor, Department of Social Work and Social Administration, The University of Hong Kong
香港大學香港賽馬會睿智計劃項目總監
香港大學社會工作及社會行政學系教授

Prof Christine FANG Meng-sang, BBS, JP
方敏生教授
Professor of Practice, Faculty of Social Sciences, The University of Hong Kong
香港大學社會科學學院實務教授

Mr CHAN Kai-ming
陳啟明先生
Chairperson, Steering Committee for the HKCSS Institute
社聯學院督導委員會主席

RESEARCH TEAM 研究團隊

The Hong Kong Council of Social Service
香港社會服務聯會

Ms Lois LAM Lee-kwan 林莉君女士
Head, HKCSS Institute &
Chief Officer, NGO Capacity Building
主管（社聯學院）及總主任（NGO 能力建設）

Mr YEUNG Hiu-lam 楊曉霖先生
Project Officer (NGO Capacity Building)
項目主任（NGO 能力建設）

The University of Hong Kong
香港大學

Dr WANG Xiao-lu 王筱璐博士
Senior Project Manager, HKU-HKJC ExCEL3
Post-doctoral Fellow at Department of Politics and Public Administration, The University of Hong Kong
Project Consultant of the Hong Kong Institute of Social Impact Analysts
香港大學香港賽馬會睿智計劃項目高級項目經理
政治與公共行政學系博士後研究員
香港社會效益分析師事會顧問

Ms Michele W Raphael 黃暢雪女士
Former Project Manager, HKU-HKJC ExCEL3
香港大學香港賽馬會睿智計劃前項目經理

LIST OF PARTICIPATING ORGANISATIONS 參與研究機構

Aberdeen Kai-fong Welfare Association Social Service
香港仔坊會社會服務

Baptist Oi Kwan Social Service
浸信會愛羣社會服務處

Christian Family Service Centre
基督教家庭服務中心

Heep Hong Society
協康會

Helping Hand
伸手助人協會

Hong Kong Red Cross
香港紅十字會

Hong Kong Society for the Protection of Children
香港保護兒童會

Hong Kong Young Women's Christian Association
香港基督教女青年會

New Life Psychiatric Rehabilitation Association
新生精神康復會

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Mr KWOK Lit-tung, JP 郭烈東太平紳士
Chief Executive, Christian Family Service Centre
基督教家庭服務中心總幹事

Ms Emily KWONG Yan-po 鄺恩寶女士
Director, Aberdeen Kai-fong Welfare Association Social Service
香港仔坊會社會服務總幹事

Ms Bella LUK Po-chu 陸寶珠女士
Executive Director, Helping Hand
伸手助人協會總幹事

Ms Bonnie So Yuen-han 蘇婉嫻女士
Secretary General, Hong Kong Red Cross
香港紅十字會秘書長

Ms Susan SO Suk-yin 蔡蘇淑賢女士
Director, Hong Kong Society for the Protection of Children
香港保護兒童會總幹事

Ms Nancy TSANG Lan-see, JP 曾蘭斯太平紳士
Director, Heep Hong Society
協康會總幹事

Mr Johnny TSANG Wing-keung 曾永強先生
Chief Executive Officer, Baptist Oi Kwan Social Service
浸信會愛羣社會服務處總幹事

Ms Sania YAU Sau-wai, JP 游秀慧太平紳士
Chief Executive Officer, New Life Psychiatric Rehabilitation Association
新生精神康復會行政總裁

Ms Yvonne YEUNG Kin-ha 楊建霞女士
Chief Executive, Hong Kong Young Women's Christian Association
香港基督教女青年會總幹事

Institutional Innovations for NGO Capacity Building – A Decade Review
社會服務機構能力建設的制度創新 — 十年回顧研究

GETTING RESULTS 取得成果

INFLUENCING ECOSYSTEM 生態系統影響

ADAPTABILITY AND RENEWAL 適應及更新力

Impact and mission centricity
社會影響和使命為本

Operation engineering
營運建設工程

Sustainable resource management
可持續資源管理

Strategic planning with entrepreneurship
具企業家精神的策略規劃

Continuous renewal and innovation
持續更新和創新

Culture and competency building
文化及勝任能力建設

Boundary spanning
跨界別影響

Strategising and creating synergy
策略性製造協同

GETTING RESULTS 取得成果

- **Impact and mission centricity** 社會影響和使命為本
- **Operation engineering** 營運建設工程
- **Sustainable resource management** 可持續資源管理

1 Impact and mission centricity 社會影響和使命為本

An organisational capacity to create social values in accordance with the vision and mission of the organisation, through engaging stakeholders, articulating, evaluating and scaling the social impact of service portfolios.

能夠以機構的願景及使命為本，透過聯繫與協調持份者的想法、展現、評估和提升服務的社會影響，以創造社會價值

2 Operation engineering 營運建設工程

An organisational capacity to implement strategies and improve the efficiency of exsiting operations, through building management teams, organisational restructuring, process reengineering, role and accountability mapping, risk management and organisation performance management.

能夠透過建立管理團隊、架構重組、流程重構、角色和問責關係的配對、風險管理及機構績效管理等操施，落實機構策略，及提升現有營運的效率

3 Sustainable resource management 可持續資源管理

An organisational capacity to acquire and allocate financial and human resources for the sustainability of the organisation in line with organisation strategies, through financial forcasting, diversifying financing models, lifting barriers for resource mobilisation.

能夠透過財務預測、多元化資助模式、除去資源調動的障礙等方法，配合策略獲取和分配財政及人力資源，確保機構的可持續性

Review and Revisit VMV 檢視及再思機構使命

C1) To align the vision of board, management and staffs together into a clear focus through reviewing and revisiting the vision; mission and values (VMV) of the organisation

檢視及再思機構的願景、使命及價值，以協調董事會、管理層及員工的想法，達致清晰一致的焦點

Service Portfolio Management 服務組合管理

C1) To evaluate individual service impact with tools like social impact assessment (SIA) and social return on investment (SROI) to set service focus and service priority for the organisation

透過社會影響評估及社會投資回報等工具，評估服務影響，為機構定立服務焦點及服務優次

C2) To review existing services proactively and find ways to regroup them for better synergy and clearer positioning among service teams

積極地檢視有關服務，尋求方法將有關服務重組，以致服務團隊之間有更佳的協同效應，及達致清晰的服務定位

Organisation Restructuring 組織架構重組

C1) To restructure existing organisational structures for implementation of strategies and better execution and cross-team coordination

重組現有組織架構，以推行不同策略，及促進執行力和團隊的協調

C2) To review and streamline board and committee structure in alignment with the need of the organisation for more effective and efficient decision making

配合機構的需要，檢視及精簡董事會與委員會的架構，以達致更有效及有效率的決策過程

C3) To streamline and integrate operational procedures for better cost effectiveness and central administrative support to service operation

精簡及整合營運程序，從而提升成本效益，並加強對服務營運的中央行政支持

Risk Management 風險管理

C1) To better control risk and ensure accountability of the organisation through structural separation of programmes with different financing modes

在組織架構上分隔不同融資模式的項目，以能管理風險，及確保清晰的問責關係

Organisation Performance Management 機構績效管理

C1) To manage organisation performance through developing strategy-aligned key performance indicator (KPI) system and performance review system which collects performance data

建立與策略一致的關鍵績效指標系統及績效檢視系統，收集績效數據，產生績效報告及以績效為本的獎勵計劃，以管理機構表現

C2) To build quality management systems to meet service standards and to manage process by translating values into practices

建立質量管理系統，確保服務達到標準，促使機構價值能付諸實踐，以管理服務流程

Diversified Financing Modes 多元化資助模式

C1) To diversify financing modes to ensure stable and sustainable income from government subvention, traditional philanthropies, corporate foundations and sponsorships, and individual donations to reduce resource dependency

建立多元資助模式，以確保穩定及可持續的收入，包括來自政府資助、傳統慈善捐款、企業基金及贊助，及個人捐款，以減低過份依賴個別資源

C2) To form a professional fundraising team for acquiring flexible and sustainable resources

成立專業籌款團隊，以獲取較彈性及可持續的資源

Flexible Resource Allocation 彈性資源分配

C1) To create systems to increase the flexibility in resource allocations for daily operataions and payroll such as general donations instead of designated donation

建立系統，增加日常營運及薪酬支出等資源調配的彈性，例如透過一般性的捐款，而非指定捐款

C2) To integrate job grading and salary system across service teams regardless of different financing modes for more flexible manpower deployment and to increase competitiveness of hiring talents

在不同資助模式的服務團隊之間，建立統一的職級及薪酬制度，以達更具彈性的人手配調，及提升聘任人才的競爭力

Financial Forecast 財務預測

C1) To build systems (such as governance structure, financial forcasting practice, fundraising department) to oversee and forecast financial sustainability

建立系統監管及預測財政的可持續性，例如管治架構、財務預測、籌款部門等

ADAPTABILITY AND RENEWAL 適應及更新力

- **Strategic planning with entrepreneurship** 具企業家精神的策略規劃
- **Continuous renewal and innovation** 持續更新和創新
- **Culture and competency building** 文化及勝任能力建設

4 Strategic planning with entrepreneurship 具企業家精神的策略規劃

An organisational capacity to make and implement strategic plans and to position the organisation for service and organisation developments in view of internal and external environmental changes.

能夠透過制定及落實策略計劃，為服務及機構發展定位，以回應內在和外在環境轉變

5 Continuous renewal and innovation 持續更新和創新

An organisational capacity to learn and innovate new services or approaches to tackle social problems continuously, through building structures, knowledge management, transformational leadership, innovative climate and resource support.

能夠透過建立架構、知識管理、變革型領導、追求創新的氣氛及資源配合，以持續學習，及發展創新服務或服務手法解決社會問題

6 Culture and competency building 文化及勝任能力建設

An organisational capacity to align organisational culture with its new directions, through culture building and talent/people development.

能夠透過文化建設及人才／人力發展，協調機構文化與新發展方向

Strategic Planning 策略計劃

C1) To conduct strategic planning to position the organisation and set direction for future development through a process of consensus building among board, management and staff through approaches such as: 1) democratic approach; 2) rational choice approaches using different management tools such as SWOT; 3) external consulting approach; 4) benchmarking with industry developments; 5) translation of vision and mission and principles into scopes for service development; or 6) combined approach

透過不同的方法，與董事會、管理層及員工建立共識，以制定策略計劃，為機構定位及訂立未來的發展路向；方法包括：1)民主討論；2)利用不同的管理工具作分析及評估，以作出理性選擇；3)尋求顧問協助；4)以行業發展為基準；5)將機構願景、使命及原則轉化為服務發展範圍；6)綜合方法

Initiate New Operation Models and Structures 創立新營運模式及架構

C1) To implement new initiatives through initiating new operation model (such as hybrid model that integrates social and commercial principles) and structures

透過創立新營運模式（例如，將社會使命與商業原則結合的混合模式）及新架構，落實新倡議

Transformational Leadership 變革型領導

C1) To have a visionary leadership team that inspires and challenges staff and teams to embrace change

擁有富有遠見的領導團隊，啟發及激勵員工及團隊擁抱轉變

C2) To develop systems that absorb consequences of risk-taking behaviour to cultivate a healthy risk-taking culture

透過建立系統承載冒險行為的後果，培養一個健康的冒險文化

C3) To foster renewal by constant review of services and projects

定期檢視各服務及項目，以推動更新

Idea Incubation 意念醞釀

C1) To set up independent departments or teams to incubate new ideas and new projects as showcase to cultivate innovation in service development and promote cross-unit collaboration on new projects

成立獨立部門發展新項目，或擔當意念醞釀者的角色，鼓勵服務發展的創新，推動新項目的跨單位協作

C2) To form a capable top management team and cross-team working groups to encourage top-down and bottom up initiatives

透過建立有能力的高層管理團隊及跨團隊工作小組，鼓勵由上而下及由下而上的倡議

Resource Support 資源配合

C1) To have systems to give resource support to enable and encourage innovation and experimentation, such as an internal funding system to support pilot projects

透過系統給予資源的配合，例如服務發展內部基金，促進及鼓勵創新與嘗試

Knowledge Management 知識管理

C1) To enhance service development and project bidding with research support by establishing knowledge sharing platforms with IT technology and/or forming a research and development team

利用資訊科技建立知識分享平台，及／或成立專責研究及發展的團隊，給予研究支援，以提升服務發展及項目投標

C2) To reduce variation in practices and enhance institutional memeory through knowledge codification practices, such as developing manuals, protocols, handbooks, intranet, etc.

透過知識編纂，例如發展手冊、作業程序指引、便覽、內聯網等，減低實務上的偏差，及加強組織記憶

Culture Building 文化建設

C1) To build (new) culture on three levels: underlying assumptions, values and beliefs and artifacts

在三個層次上建立（新）文化，包括：基本假設、價值與信念、具體事物

C2) To build an open and trusting culture, creat a motivating working climate and enhance communication between staff, management and board through employee engagement activities such as communication meetings, town hall meetings, retreats, activities initiated by staffs, etc

透過舉辦員工聯繫活動（例如，交流會、全體會議、退修、員工建議的活動等），建立開放互信的文化，創造積極的工作氣氛，及促進員工、管理層及董事會之間的溝通

C3) To create a supportive working environment through staff wellness programmes, family friendly policy, etc.

透過關顧員工的康健、實施家庭友善政策等，創造一個良好工作環境

People Development 人力發展

C1) To develop leadership for succession planning through talent development mechanisms such as executive development programme, or having middle managers champion organisational level development

透過不同的人才發展機制（例如行政人員發展培訓課程，或由中層管理人員負責推行機構的發展倡議等），發展領導層，以規劃接班人

C2) To build human resources system to develop core competencies aligned with future service directions, strategies and principles throughout the whole organization

建立人力資源系統，配合未來服務發展、策略及原則，發展機構上下的核心勝任能力

INFLUENCING ECOSYSTEM 生態系統影響

- **Boundary spanning** 跨界別影響
- **Strategising and creating synergy** 策略性製造協同

7 Boundary spanning 跨界別影響

An organisational capacity to garner public support and influence its ecosystem, through building public images, increasing visibility, building networks and campaigning.

能夠透過建立公眾形象、增加機構的可見度、建立網絡及倡導行動等，取得公眾支持及影響社會生態系統

8 Strategising and creating synergy 策略性製造協同

An organisational capacity to create synergy internally and externally, through creating shared vision and collaborative governance.

能夠透過創造共同願景及協同治理，在內和外創造協同效庫

Corporate Branding 機構品牌建立

C1) To develop a corporate branding system through corporate communication, social enterprise, public education, planned traditional and new media exposure, public fundraising, compaigning, etc.

透過發展企業傳訊、社會企業、公眾教育、有計劃的傳統及新媒體上的曝光、公眾籌款、倡導工作等，建立機構品牌系統

C2) To introduce transparency measures to systematically enhance public trust or reputation

透過設立可提升機構透明度的措施，有系統地提升公眾對機構的信任和機構的聲譽

Multi-stakeholder Cultivation 持份者培養

C1) To influence the ecosystem or stakeholders by coopting board members with diverse professional backgrounds or from stakeholder groups

透過招募不同專業背景，或來自不同持份者群組的董事會成員，介入及影響社會生態系統或持份者

C2) To cultivate public awareness of the concerned social issues and social needs through different forms of engagement such as public education, social enterprise, volunteering, donation programs, etc.

透過不同途徑，包括公眾教育、社會企業、義工運動、籌款活動等，培育公眾人士對受關注的社會議題及社會需要的意識

Getting into Policy Network 進入政策網絡

C1) To increase organisation's influence through sitting on regular committees formed by professional bodies, councils, governmental advisory committees, etc.

透過加入專業團體組成的委員會、不同的議會或政府的諮詢委員會等，加強機構的影響力

Collaboration and Partnerships 協作與伙伴

C1) To engage community, corporates and government or develop partnership with them at different levels strategically, from service design to service delivery, to co-develop solutions to address social needs

聯繫社區、企業及政府，或與它們建立不同層次的策略性伙伴關係，由服務的設計，以至服務的提供，與它們共同為不同社會需要尋找解決方案

C2) To form cross-unit and cross-professional working group structures to participate in corporate and service development to create synergy

成立跨單位及跨專業的工作小組，參與機構及服務的發展

Civic Engagement 公民參與

C1) To have a platform to facilitate community participation in addressing concerned issues through volunteering, forming concern group, coopting board members from the community, etc.

建立平台，透過義工運動、組織關注組、招募社區人士成為董事會員等方法，與社區人士共同推動社會議題發展

SHARED VISION 共同願景

Shared vision, mission and core values among board, staff and volunteers that give meaning to the work of the organisation and serve as principles underpinning board governance and the organisation's planning and actions.

賦予機構的工作意義；董事會管治及機構的計劃及行動的原則；董事會、員工及義工的共同願景、使命及核心價值。