

Funding and Service Agreement¹**Social Work Service for Pre-primary Institutions (SWSPPI)****I. Service Definition****Introduction**

For early identification of and provision of assistance to children and their families with welfare needs, the Government announced in the Chief Executive's 2018 Policy Address and the 2018-19 Budget to launch a Pilot Scheme from the 2018/19 school year to provide social work services in phases in all aided/subsidised pre-primary institutions (PPIs), including aided child care centres (CCCs) and subsidised kindergartens (KGs)/kindergarten-cum-child care centres (KG-cum-CCCs)². As the Pilot Scheme was proven to be effective in early identification of cases at risk of child maltreatment, the Government announced in the 2022-23 Budget to regularise Social Work Service for Pre-primary Institutions (SWSPPI) upon the completion of the Pilot Scheme on 31 July 2022.

Purpose and Objectives

2. The purpose and objectives of SWSPPI are –
 - (a) to early identify and assist pre-primary children and their families with welfare needs so as to prevent the occurrence of family violence (e.g. child maltreatment) or other tragedies;
 - (b) to support pre-primary personnel and enhance their knowledge and skills in identifying and assisting pre-primary children and their family members with welfare needs (e.g. pre-primary children deprived of proper parental care and supervision); and to facilitate more effective interfacing with other support services geared to the needs of children and their families; and
 - (c) to enhance parents' awareness and skills in effective parenting, and strengthen parent-child communication and relationship for the healthy development of the children.

¹ This Funding and Service Agreement is a sample document for reference only.

² Subsidised KGs and KG-cum-CCCs refer to those having joined the Kindergarten Education Scheme. As the list of subsidised KGs and KG-cum-CCCs is updated by the Education Bureau (EDB) from time to time, please refer to the latest information on the EDB website.

Service Nature and Contents

3. The Service Operator shall provide social work service to all eligible PPIs in respective catchment area according to a pre-agreed timetable. The key components of the service shall include but not limited to the following duties and services –

For pre-primary children

- (a) to early identify pre-primary children with social needs or deprived of proper parental care and supervision as well as the families having risk of domestic violence (in particular child maltreatment) or other welfare needs, provide support services to them, and/or refer them to other welfare services as appropriate;
- (b) to provide support and therapeutic intervention for pre-primary children in relation to their developmental needs, relationship with their families and/or adjustment to pre-primary life;

For child care/teaching staff

- (c) to provide professional consultation and/or organise trainings for child care/teaching staff on child protection, and support them for better interfacing with other support services for children with social needs or deprived of proper parental care and supervision;

For families/parents/carers

- (d) to engage the parents/families of pre-primary children in the helping process through counselling, home visits, outreach service and crisis intervention;
- (e) to conduct therapeutic/supportive/educational/developmental groups, programmes and other activities to meet the developmental needs of pre-primary children, equip their parents with proper/effective child care/parenting skills, enhance parents' awareness of child protection and strengthen their family relationship etc.; and

Others

- (f) to perform other administrative duties, including but not limited to the submission of regular statistics returns in a prescribed form and annual reports to the Social Welfare Department (SWD), as well as promotion of the service as requested by the SWD.

Target Service Users

4. The target service users of SWSPPI include –
- (a) pre-primary children in all aided/subsidised PPIs³;
 - (b) families of pre-primary children; and
 - (c) personnel of the PPIs to be served.
5. Aided/subsidised PPIs with provision of social work service under their own or other funding support are still eligible to receive the SWSPPI subvented by the SWD. If so, the Service Operator may further discuss with the PPIs about the division of work or service interfacing. For aided/subsidised PPIs refusing to receive SWSPPI due to their own considerations, SWT serving respective catchment area shall continue networking with them through regular contacts, and be prepared to render services or supports to them upon receiving their request in future.

II. Service Performance Standards

6. The Service Operator is required to achieve the following essential service requirements and service performance standards including the service output and outcome standards as specified in the **Annex**.

Essential Service Requirements

7. The Service Operator shall comply with the essential service requirements as follows –
- (a) to provide stationing social work service to all eligible PPIs in respective catchment area under the pre-agreed timetable⁴; and
 - (b) to deploy essential and qualified staff for service, including at least one Social Work Officer (SWO), eight Assistant Social Work Officers (ASWOs)⁵, one Assistant Clerical Officer (ACO) and one Clerical Assistant (CA).

³ The number of aided/subsidised PPIs for each school year may vary. Service Operators may refer to the updated list of aided Child Care Centres (by the SWD) and the list of PPIs having joined the Kindergarten Education Scheme (by EDB) for the list of eligible PPIs in respective catchment areas.

⁴ SWT shall come up with an agreed timetable with all eligible PPIs in respective catchment area on the stationing arrangement before service commencement.

⁵ All SWO and ASWOs of each SWT should be registered social workers with recognised degree in social work. The manpower deployed to each SWT formed by the Applicant/ Service Operators must not be lower than the required level.

Quality

8. The Service Operator shall meet the requirements of the 16 Service Quality Standards (SQSs).

III. Obligation of the Social Welfare Department to the Service Operator

9. The SWD will undertake the responsibilities set out in the General Obligation of the SWD to the Service Operator as specified in the Funding and Service Agreement (FSA) Generic Sections.

IV. Basis of Subvention

10. The basis of subvention is set out in the offer and notification letters issued by the SWD to the Service Operator.

Funding

11. An annual subvention will be allocated on a Lump Sum Grant (LSG) mode to the Service Operator for a time-defined period as specified. This lump sum has taken into account the personal emoluments, including provident fund for employing registered social workers and supporting staff, and other charges (covering all other relevant operating expenses including employees' compensation insurance, and public liability insurance) for the operation of the project and recognised fee income, if any. Rent, rates, government rent, as well as management fee in respect of premises recognised by the SWD for delivery of the subvented activities will be disbursed/reimbursed separately on an actual cost basis.

12. In receiving the LSG, the Service Operator is accorded flexibility in the use of the subvention but required to observe the guidelines set out in the latest LSG Manual, LSG Circulars, management letters and relevant correspondence issued by the SWD on subvention policies and procedures. The LSG will be subject to adjustments including salary adjustment in line with civil service pay adjustments and other charges in line with the price adjustment factor, currently the Composite Consumer Price Index. The actual subvention allocation will also be adjusted in accordance with the date of commencement of the service, if applicable. The Government will not accept any liabilities or financial implication arising from the service beyond the approved funding.

Payment Arrangement, Internal Control and Financial Reporting Requirements

13. Upon the Service Operator's signing and acceptance of the FSA, payment of the LSG subventions will be made on a monthly basis.

14. The Service Operator is responsible for maintaining an effective and sound financial management system, including budget planning, projection, accounting, internal control and auditing. It should maintain proper books and records and supporting documents on income and expenditure relating to the project and make them available for inspection by the Government representative.

15. The Service Operator shall submit to the SWD the Annual Financial Report (AFR) as reviewed and the annual financial statements of the non-governmental organisation (NGO) as a whole as audited by a Certified Public Accountant holding a practising certificate as defined in the Professional Accountants Ordinance (Chapter 50) and signed by two authorised representatives of the NGO, i.e. Chairperson/NGO Head/Head of Social Welfare Services in accordance with the requirements as stipulated in the latest LSG Manual. The AFR should be prepared on a cash basis and non-cash items such as depreciation, staff leave accrual etc. should not be included in the AFR.

Corruption Prevention and Probity Requirements

16. It is the responsibility of the Service Operator to ensure that its management, board members and staff comply with the Prevention of Bribery Ordinance (Cap. 201) and the relevant requirements. The Service Operator shall prohibit the members, staff, agents, and contractors from offering, soliciting or accepting advantages when discharging their duties under the FSA. With regard to the provision of the subvented services, the Service Operator shall avoid and declare any conflict of interest.

17. The Service Operator should also make reference to the relevant guidelines on corruption prevention and probity requirements to uphold integrity in every aspect, including but not limited to the governance structure, internal control, financial/fund management, procurement, staff administration, delivery of services/activities, management of maintenance works as set out in the “Corruption Prevention Guide on Governance and Internal Control for Non-Governmental Organisations” and the “Integrity and Corruption Prevention Guide on Managing Relationship with Public Servants” issued by the Independent Commission Against Corruption.

V. Validity Period

18. This FSA is valid for a time-defined period as specified. Should the Service Operator be in breach of any terms of condition of this FSA and fail to remedy the same in such manner and within such time as shall be specified in a written notice from the SWD, the SWD may, after expiry of such notice, terminate this FSA by giving 30 days’ notice in writing to the Service Operator.

19. Where there is any change to the service performance standards within the agreement period, the SWD will seek mutual agreement with the Service Operator and the Service Operator will be required to achieve new requirements in accordance with

the specified implementation schedule.

20. Continuation of service for the next term will be subject to the relevant considerations such as the prevailing policy directive, service needs and the performance of the Service Operator. The SWD reserves the right to reallocate the service.

21. The SWD may immediately terminate the FSA upon the occurrence of any of the following events –

- (a) the Service Operator has engaged or is engaging in acts or activities that are likely to constitute or cause the occurrence of offences endangering national security or which would otherwise be contrary to the interest of national security;
- (b) the continued engagement of the Service Operator or the continued performance of the FSA is contrary to the interest of national security;
or
- (c) the SWD reasonably believes that any of the events mentioned above is about to occur.

VI. Other References

22. Apart from this FSA, the Service Operator should also comply with the requirements/commitments set out in the respective Service Specifications, and the Service Operator's proposals and supplementary information, if any. Where these documents are in conflict, this FSA shall prevail. The Service Operator's compliance with all these documents will be closely monitored by the SWD.

END

Social Work Service for Pre-primary Institutions (SWSPPI)**Service Performance Standards**

The Service Operator should meet the service performance standards below and provide the statistics as required by the SWD.

Service Outputs

<u>Service Output Standard</u>	<u>Service Output Indicator (per team in a year)</u>	<u>Agreed Level</u>
1	Number of cases handled in a year ^{Note 1}	240
2	Number of potential cases identified through contact and engagement in a year ^{Note 1}	80
3	Number of direct contact hours in a year ^{Note 2}	4 400
4	Number of hours on enquiry/consultation in a year ^{Note 3}	400
5	Number of cases closed ^{Note 4} having achieved the agreed goal in a year	80
6	Number of therapeutic group ^{Note 5} units for children/their families completed in a year	256
7	Number of supportive ^{Note 6} /educational ^{Note 7} /developmental ^{Note 8} group/programme units ^{Note 9} for children/their families completed in a year	704
8	Number of training ^{Note 10} units completed for personnel of PPIs in a year	64

Service Outcomes

<u>Service Outcome Standard</u>	<u>Service Outcome Indicator (per team in a year)</u>	<u>Agreed Level</u>
1	Percentage of cases closed having achieved the goal agreed with service users in a year	75%

<u>Service Outcome Standard</u>	<u>Service Outcome Indicator (per team in a year)</u>	<u>Agreed Level</u>
2	Percentage of therapeutic group for pre-primary children/parents/carers completed having achieved their goals in a year ^{Note 11}	75%
3	Percentage of supportive/educational/developmental group/programme for pre-primary children/parents/carers completed having achieved their goals in a year ^{Note 11}	75%
4	Percentage of training for personnel of PPIs completed having achieved their goals in a year ^{Note 11}	75%
5	Percentage of service users indicating satisfaction after receiving casework service in a year	75%
6	Percentage of service users indicating enhancement in their problem solving capacity after receiving casework service in a year	75%

Explanatory Notes

Note 1 Number of cases handled refers to the total sum of the number of active cases handled brought forward from March of the past financial year, the number of new cases in a year and the number of re-activated cases in a year.

Number of potential cases refers to the total sum of the number of active potential cases handled brought forward from March of the past financial year + the number of new potential cases in a year.

Potential case refers to case that consent from the parents/guardian are yet to be obtained with the service provided on short-term basis pending parental consent for immediate/continuous assessment, intervention or follow-up. As social work activities involved for “potential case” are similar to that for “case”, OS1 and OS2 are mutually exchangeable. That means, the total agreed level of the output for OS1 and OS2 is 320. Proper case recordings detailing all social work activities related to both case and potential case should be maintained.

Potential case should be reviewed closely and regularly. Normally, potential case should be converted as case upon obtaining the consent from the parents/guardian, or be terminated if no follow-up service is required. Written endorsement with sound justification should be obtained from the supervisor of the social work team to maintain a potential case for more

than two months from the date of case opening. Subsequent review/endorsement should be conducted/obtained on a monthly basis.

If the total output for OS1 and OS2 is unable to meet the required level [i.e. 320], corresponding upward adjustment should be made to OS7 according to the calculation below –

Performance of OS1 + OS2 [i.e. 320] (against the required level)		% on OS7 to be Upward Adjusted	New OS7 Output Requirement
Percentage Achieved	Actual Output		
95% to below 100%	304 to 319	7%	754
90% to below 95%	288 to 303	14%	803
85% to below 90%	272 to 287	21%	852
Below 85%	Below 272	Fail to meet related OS	

(Note: same adjustment in case OS1+OS2 AND/OR OS5 are unable to meet the required level)

Note 2 Direct contact hours refer to hours spend on face-to-face encounters, telephone contacts and written communications with active cases, potential cases, other targets and their relevant systems. The hours spend on “class observations” with an aim for assessment of potential and/or active cases with proper documentations on respective case recordings are also recognised. Hours spend on observing more than one child at the same time should only be counted once.

Note 3 Refers to the number of hours spend on handling enquiries or providing consultations/advisories to the children, parents, personnel of PPIs and related committees on matters related to individual child without being opened as case or potential case. Proper record detailing the social work activities involved (such as the child/family involved, major concern, advice given, etc.) should be maintained.

Note 4 Refers to cases closed which have achieved or partially achieved the agreed goal (to be discussed and agreed by social workers with parents/guardian of individual children), and reflected in the feedback form to be designed by the Service Operator.

If the total output for OS5 is unable to meet the required level, corresponding upward adjustment should be made to OS7 according to the calculation below –

Performance of OS5 (against the required level)		% on OS7 to be Upward Adjusted	New OS7 Output Requirement
Percentage Achieved	Actual Output		
95% to below 100%	76 to 79	7%	754
90% to below 95%	72 to 75	14%	803
85% to below 90%	68 to 71	21%	852
Below 85%	Below 68	Fail to meet related OS	

(Note: same adjustment in case OS1+OS2 AND/ OR OS5 are unable to meet the required level)

- Note 5 Therapeutic groups refer to groups which are formed to facilitate intensive group counselling, which should primarily be targeted for parents/carers of pre-primary children with an aim to enhance their cognitive and emotional health. Each therapeutic group should preferably have 6 or more participants and at least 4 sessions (each session at least 2 “units”). 30 minutes will be regarded as one “unit”, and each session can be varied from 2 unit to a maximum of 4 units. A maximum of 3 sessions (12 units) can be counted in a day for the same target group in the morning, afternoon and evening respectively.
- Note 6 Supportive groups/programmes aim at providing emotional support and sharing of life experience by participants.
- Note 7 Educational groups/programmes aim at equipping participants with proper/effective child care/parenting skills, stress management, enhancing their knowledge and skills in identifying and working with pre-primary children with social needs, enhance their awareness of child protection, etc.
- Note 8 Developmental groups/programmes aim at enhancing participants on their personal growth, social skills, mental health and relationship with family members, etc.
- Note 9 Supportive/educational/developmental groups preferably have 6 or more participants with at least 4 sessions, and each session can be varied from 1 unit to a maximum of 4 units. For programmes, it can be lasted longer and one-off in nature, serving a larger size of participants. 30 minutes will be regarded as one “unit”. A maximum of 3 sessions (12 units) can be counted in a day for the same target group in the morning, afternoon and evening respectively.
- Note 10 The themes and objectives of trainings for the personnel of PPIs should be focused and related to child protection, such as enhancing their knowledge and skills in identifying and working with pre-primary children with social

needs, procedural guideline on handling child maltreatment cases, etc. Trainings provided to personnel of non-eligible PPIs within the catchment area of respective social work team can be recognised in this OS, subject to receiving the requests from concerned PPIs and their service need. 30 minutes will be regarded as one “unit”. A maximum of 3 sessions (12 units) can be counted in a day for the same target group in the morning, afternoon and evening respectively.

Note 11 Refers to over 75% of group/programme/training participants having indicated that the group/programme/training has achieved the agreed goal.

END