Annex 5D

Capital Grant Mechanism
(Capital works projects exceeding $30 million)

Involved Parties

PWSC, FC, LEGCO

Government

FSTB, EDB & DEVB

Legends
Workflow
Liaison

Arch SD

UGC

UGC Secretariat

UGC-funded institutions

1. 15 Sept, Year 1
Submit PDS/TFS to UGC by 15 September for full approval

2. Oct ~ Dec, Year 1
Initial check against standard requirement of PDS/TFS

3. Jan, Year 2
Consider and select proposals

4. Jan ~ Apr, Year 2
Institutions to obtain endorsement of relevant departments

5. Feb ~ May, Year 2
Comment on TFS of projects supported by UGC

6. Jun ~ Jul, Year 2
Approve PDS/TFS by EDB and DEVB

7. Oct, Year 2
Select projects under established resource allocation mechanism

15. Funding Approval
Approve funding for the project (upgrade to Cat A); Panel on Education will be consulted if necessary

14. Vet draft PWSC paper
Vet draft PWSC paper

13a. Vet draft PWSC paper
Circulate draft PWSC paper to relevant government departments and bureaux for comment; Vet the estimate for F&E

12. Comment on project estimate
Comment on the project estimate.

9. Comment on tender documents
Comment on draft tender documents and tender assessment reports on consultancy services

10. Approve appointment of consultants
Approve tender invitation and appointment of consultants on Arch SD’s advice

11. Detailed design and draft PWSC paper
Submit detailed design and updated project estimates to UGC/Arch SD at least 6 months before date of PWSC; Submit draft PWSC paper for comments at least 5 months before date of PWSC

8. Submit tender documents for consultancy services
Submit draft tender documents exceeding $5 million to UGC/Arch SD; Submit tender assessment reports upon return; Submit quarterly progress report until project completion

13b. Submit tender documents for construction works
Submit draft tender documents of works contracts exceeding $10 million to UGC/Arch SD; Submit tender assessment reports upon return

17. Approve appointment of works contractors
Approve tender invitation and appointment of works contractors on Arch SD’s advice

19. Monitoring
Monitor project progress; Release funding upon request

21. Random check
Conduct random check on the statement of account

22. Project Closure
Conduct random check; Close project

20. Completion
Submit a statement of account certified by audit accountant and Vice-President to UGC/Arch SD

16. Comment on tender documents
Comment on draft tender documents and tender assessment reports for works contract

18. Construction
Implement and monitor construction works; Apply for release of funding

12a. Vet draft PWSC paper
Submit detailed design and updated project estimates to UGC/Arch SD at least 6 months before date of PWSC; Submit draft PWSC paper for comments at least 5 months before date of PWSC

13. Comment on tender documents
Comment on draft tender documents and tender assessment reports on consultancy services

11a. Vet draft PWSC paper
Vet draft PWSC paper

15a. Funding Approval
Approve funding for the project (upgrade to Cat A); Panel on Education will be consulted if necessary

14a. Vet draft PWSC paper
Vet draft PWSC paper

UGC Notes on Procedures

LEGCO Panel on Education will be consulted if necessary

7. Oct, Year 2
Select projects under established resource allocation mechanism

6. Jun ~ Jul, Year 2
Approve PDS/TFS by EDB and DEVB

5. Feb ~ May, Year 2
Comment on TFS of projects supported by UGC

3. Jan, Year 2
Consider and select proposals

2. Oct ~ Dec, Year 1
Initial check against standard requirement of PDS/TFS

1. 15 Sept, Year 1
Submit PDS/TFS to UGC by 15 September for full approval

4. Jan ~ Apr, Year 2
Institutions to obtain endorsement of relevant departments

UGC Notes on Procedures

Nov 2016