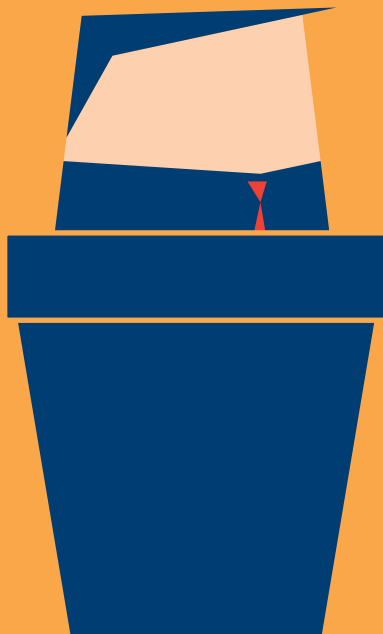


FOREWORD FROM
THE CHAIRMAN

主席序言



FOREWORD FROM THE CHAIRMAN 主席序言

Mr Carlson TONG, SBS, JP
唐家成先生, SBS, JP



As the Chairman, this is the second occasion that I present the Annual Report of the University Grants Committee (UGC). 2016-17 has been another busy year for UGC. Riding on the good foundation of our strong UGC-funded sector, all universities continued to do well internationally and achieved good rankings. While international rankings have their limitations, our universities' consistently high rankings demonstrate the regional influence of the sector, and beyond. The UGC also continued its efforts on a number of key tasks, and good progress has been made on various important subjects.

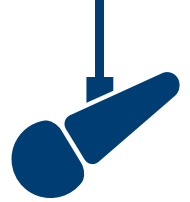
Over the past year, I continued to be impressed by the high quality of our higher education sector involving a wide spectrum of stakeholders. It has always been my belief that effective implementation of any policy changes or initiatives relies not just on the merits itself but more importantly, effective consultation and communication with the relevant stakeholders.

In this regard, the UGC has developed an elaborate and all-round communication plan with a view to enhancing stakeholders' understanding of our work and to enable the relevant information and messages to be better communicated to our stakeholders through the media and other appropriate channels. With the UGC striding ahead with many new ideas and initiatives resulting from various reviews, both external and internal, including but not limited to the value-for-money audit by the Audit Commission, governance study and other projects, such enhanced engagement and more proactive communication have become notably necessary and timely. The various engagement exercises conducted so far have allowed me to gain a good understanding of universities' expectations of UGC, as well as the community's expectations of the UGC sector. It is my pleasure to share our work and plan on some of these key issues here.

這是我以主席身份發表的第二份大學教育資助委員會（教資會）年報。對教資會來說，2016-17年度繼續是忙碌的一年；而各教資會資助大學亦秉承多年建立起的堅實基礎，繼續在國際間表現出色，並取得優良的排名。國際排名固有其局限，但我們的大學持續取得佳績，確實反映了界別在區域甚或海外的影響力。教資會亦同時繼續推進多項關鍵工作，在不同重要範疇取得令人滿意的進展。

在過去一年，我繼續深深感受到我們高等教育界持份者光譜之廣及其卓越質素。我一直相信，任何政策轉變或新措施能否順利實施，端賴我們能否有效諮詢相關持份者並保持緊密溝通，而非僅僅視乎政策本身的好處便可成事。

為此，教資會訂立了縝密而全面的傳訊計劃，以提升持份者對我們工作的認識，並更好地透過傳媒或其他適當渠道發放資訊和信息。適逢教資會期內經歷多個外界及內部的檢討，包括審計處的衡工量值式審計、大學管治研究及其他計劃，由此滋長出很多新意念和措施，這個加強持份者參與和積極溝通的計劃更形及時適切。透過與不同持份者的接觸，有助我更好地掌握大學對教資會，以及公眾對教資會界別的期望。我欣然在此分享一下我們在各界關注的事宜上的工作和計劃。



Review of the RGC

The community looks to our universities for nurturing future talents and new knowledge that drive continuous economic and social development. This key function of universities depends on their core mission – research. It is the continuing flow of research ideas and applications from universities that enhances our understanding and mastery of new knowledge and discoveries. This also provides renewal and advantages to society and the economy. The UGC attaches great importance to encouraging universities to continue pursuing research excellence with wider impact and benefits to Hong Kong and abroad.

The Review of the Research Grants Council (RGC) (Phase I) started in August 2016. In the past nine months, the Task Force on the Review of the RGC (Phase I) met several times to discuss the findings of the external consultant commissioned for the study. The UGC received and accepted the Task Force's report on the review in mid-May. The report was comprehensive and well-balanced. The Task Force concluded that the current system had worked well and kept reasonable pace with comparable jurisdictions. It also made very useful recommendations on various aspects of the RGC's work, such as communication and engagement, data collection, impact and benefit and grant processes. Looking ahead, Phase II of the Review will focus on operational matters of RGC and will commence soon. It will provide further insight to facilitate the RGC in making improvements in various areas of work.

As pointed out by the consultant for the Phase I review, the amount of research funding in Hong Kong constituted about 0.7% of its GDP, which was lower than many developed and neighbouring countries in the region. For many researchers, the RGC was the sole source of research funding whose funding was derived from the investment income of the \$23 billion Research Endowment Fund (REF). However, the annual rate of return for the REF had dropped significantly over the last few years from over 6% to some 3%. There is an urgent need to top up the REF in order to maintain annual research funding in the future. We believe it is important to provide stable research funding for the sector in order for Hong Kong to remain competitive in the region. We will continue to maintain dialogue with the Government in this respect.

研資局檢討

社會期望我們的大學能夠培育未來的人才和新知識，以推動經濟和社會的持續發展。這是大學的主要功能，而其關鍵在於大學的核心使命——研究。大學長年累月的研究思路和應用，使我們更能理解及掌握新知識和發現，促進社會及經濟更新，並帶來益處。教資會非常重視鼓勵大學繼續追求卓越的研究成果，為香港以至其他地方帶來更廣泛的影響和裨益。

研究資助局（研資局）檢討（第一階段）於2016年8月展開。過去九個月，研資局檢討（第一階段）專責小組舉行多次會議，討論負責協助檢討的外聘顧問所提交的檢討結果。教資會於5月中旬收到並接納專責小組的報告。報告內容全面及中肯。根據專責小組的總結，研資局現行的制度運作良好，並能緊貼其他可作比較地區的發展。專責小組亦就研資局多方面的工作提供建議，包括持份者溝通和參與、數據收集、研究影響和效益，以及審批資助的程序等。展望未來，第二階段檢討即將展開，並會集中探討研資局運作事宜。檢討建議將有助研資局進一步完善各方面的工作。

第一階段檢討顧問指出，香港投放在研究方面的資金佔本地生產總值約0.7%，低於其他已發展國家和鄰近國家。很多研究人員認為研資局是提供研究撥款的唯一途徑，而有關撥款的資金來自230億港元研究基金的投資回報。然而，過去幾年，研究基金的每年投資回報已經從6%大幅下降至3%左右。現在有迫切需要為研究基金注入資金，以確保今後提供穩定的研究撥款。我們相信為高等教育界提供穩定的研究經費，以維持香港在地區的競爭力，至為重要。教資會會繼續就此事宜與政府保持溝通。

Research Impact Fund

Before extra funding from the Government is made available, the UGC proactively decides to take action within our reach. It is the key demand of society to step up efforts in research and innovation, particularly to have more research that has the potential of generating societal benefits and impact. Over the years, the UGC and the RGC have placed a major emphasis on enhancing local academic research efforts to facilitate the pursuit of excellence. Our remarkable research results show the importance of continuing our efforts. Yet we are also aware of the need to encourage and incentivise universities to conduct more research of high impact. To echo the 2017 Policy Address initiative, the UGC has decided to set up a new competitive funding scheme called the Research Impact Fund on a pilot basis with total funding of \$150 million during the 2016/19 triennium to encourage more impact bearing research and foster more collaborative efforts with stakeholders beyond academia. We recognise that it is a challenge to capture and measure impact, but we will face it with confidence and enthusiasm.

Research Assessment Exercise

The Research Assessment Exercise (RAE) provides assurance of our universities' research performance by benchmarking against international standards of research excellence. In order to sustain the momentum in promoting world-class research and driving excellence, the UGC is actively planning another RAE in 2020 in consultation with the relevant stakeholders. Research impact will be included as one of the elements of assessment with a view to incentivising the conduct of research of local relevance with high economic and social benefits. We look forward to developing the Research Assessment Exercise and the impact brought about by our universities' excellent research.

研究影響基金

教資會在獲得政府提供額外撥款之前，主動決定在能力範圍內推出新計劃以回應社會訴求。社會上有訴求要加強在研究和創新方面的工作，特別是要求有更多具對社會有潛在效益和影響的研究。這些年來，教資會和研資局都非常重視推動本地的學術研究工作，以追求卓越。我們在研究方面所取得的驕人成就亦顯示繼續努力的重要性。然而，我們也意識到需要鼓勵和推動大學進行更多具影響力的研究。為配合2017年施政報告提出的倡議，教資會決定以試驗形式推出名為研究影響基金的競逐研究資助計劃，在2016/17至2018/19的三個年度，共投放1億5,000萬元，鼓勵本地大學進行更具影響力的研究，並推動與學術界以外的持份者更多合作的機會。我們明白要成功掌握和評估影響是一項挑戰，但我們有信心和會積極地處理。

研究評審工作

研究評審工作以國際卓越研究為基準，確保大學的研究表現符合國際水平。為了保持推動大學進行世界級研究和追求卓越的動力，教資會正積極籌劃在2020年進行另一輪研究評審工作，並會徵詢相關持份者的意見。屆時研究影響將會納入為評審因素之一，以推動更多與本地相關、具高經濟及社會效益的研究。我們期望落實研究評審工作，並展示大學具影響力的卓越研究。



Teaching and Learning and Internationalisation

Apart from research, no doubt “teaching and learning” is also central to the roles of all universities. UGC continues to attach great importance to the quality of teaching. Apart from allocation of the majority of the block grant to universities for good and effective teaching, the Teaching Development and Language Enhancement Grant is allocated to the universities to enhance teaching quality and language proficiency of students. UGC also provides additional funding through the “Funding Scheme for Teaching and Learning Related Proposals in the 2016-19 Triennium” for competitive allocation, to incentivise universities in exploring and developing further in the sector-wide strategic areas of teaching and learning, language enhancement and internationalisation. This funding scheme will be able to support projects with a total cost of up to \$200 million. Apart from this scheme, we also provide extra funding in the 2016-19 triennium to universities to set up a Hong Kong Pavilion at international education conferences in order to continue their efforts in promoting the UGC sector as an united front as well as attracting more diversified sources of non-local students to diversify our campuses.

UGC is also committed to safeguarding and promoting the quality of teaching and learning at UGC-funded universities. The second round of quality audits on first degree and above programmes of universities has just been completed, and the outcomes are generally positive. We can see that the universities have effective systems in place to ensure quality student learning experience. Looking forward, with the Quality Assurance Council taking up the role of audit operator on sub-degree operations of UGC-funded universities, we will strive to assure that the quality of the educational experience in UGC-funded universities is sustained and improved, and is at an internationally competitive level.

「教與學」及國際化

除研究外，「教與學」在大學的工作中亦無疑非常重要。教資會繼續十分重視教學質素。目前，我們撥予大學的整體補助金大部分皆用作推行良好及有效教學，另外，我們向大學提供「教學發展及語文培訓補助金」以提高教學質素及提升學生的語文水平。與此同時，透過「2016-19三年期教與學資助計劃」，教資會向各大學提供競爭性撥款，推動大學進一步研究及發展涉及整個界別的策略性範疇，包括教與學、提升語文能力及國際化。該計劃可資助的項目總經費約為兩億元。除這計劃外，我們亦在2016-19三年期提供額外撥款，讓大學在國際教育博覽會設立香港館以繼續推廣整個教資會界別和吸引更多來自不同地區的非本地學生，從而使我們的校園更多元化。

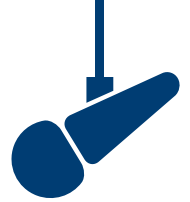
教資會亦致力維護及促進教資會資助大學的教與學質素。質素保證局就學士及深造學位課程的第二輪質素核證工作剛完成，有關結果總體正面。我們可見到，大學備有有效系統以確保學生學習體驗的質素。放眼未來，隨著質素保證局成為教資會資助大學副學位部門核證的執行機構，我們會努力確保教資會資助大學的教育質素得以維持並有所提升，同時兼具國際競爭力。

Governance

The examples above illustrate some of UGC's efforts to assure the public that our universities are, as always, conducting their activities and managing their affairs with the wider interests of the community in mind. To enhance transparency of what universities do and achieve, the UGC, through a task force led by Sir Howard Newby, is working earnestly with the eight UGC-funded universities to establish a written accountability framework, pursuant to a key recommendation of the "Governance in UGC-funded Higher Education Institutions in Hong Kong". Specifically, the accountability framework aims to enhance accountability and transparency of universities in their performance and commitment to continuous improvement in key areas of activities, for example, research, teaching and learning, internationalisation, which will in turn help ensure the public confidence in the UGC sector and naturally help guarantee institutional autonomy. Agreeing that effective governance of each university indeed goes deeper to the heart of the sustainability of the whole UGC sector, we are pleased to have the support of all UGC-funded universities for the establishment of the accountability framework.

大學管治

以上幾個例子均說明教資會在不同範疇的努力，令公眾能夠信任大學在進行各式活動和處理自身事務時一直心繫社會的整體利益。為進一步提升大學活動和表現的透明度，教資會正透過由Howard Newby爵士領導的工作小組與八所教資會資助大學商討訂立問責框架文件，落實《香港教資會資助高等教育院校的管治》報告當中的一項主要建議。具體而言，問責框架文件旨在提升大學在重點領域，例如研究、教與學和國際化等方面的問責性及透明度，推動大學繼續精益求精，確保公眾對界別的信心，亦自然令院校自主更加穩固。各大學皆認同整個教資會界別的可持續發展有賴各間大學有效管治，我們亦樂見所有教資會資助大學均支持制訂問責框架文件。



Commitment to continuous improvement and communications

The items mentioned above are only some of the major areas picked from the long list in our current work plan. There are actually many other initiatives that are ongoing with different scales of progress observed.

But we will not stop here. While it is UGC's role to promote strategic development in the higher education sector, UGC itself also promotes critical self-review within the Committee and Secretariat. This year, special thanks are due to the Audit Commission and the Public Accounts Committee of the Legislative Council for their valuable recommendations which aim at better discharging respective roles of UGC and the Secretariat for the good of Hong Kong's higher education sector.

We will continue to attach great importance to engagement and communication with stakeholders. I would like to take this opportunity to thank all UGC Members and all those who are members of the various sub-committees, working panels and RGC and QAC for their hard work and selfless dedication to the Committee. Gratitude also goes to the Government and the Education Bureau in particular; as well as universities, teachers and every member of the UGC sector. With all your support, the UGC will continue to stand firm on its role as the bridge between the Government and the universities; as the adviser to the Government and the enabler to facilitate the UGC-funded universities in achieving their different ambitions.

Carlson TONG, SBS, JP
Chairman

矢志持續進步及溝通

以上只是我們現時工作計劃上部分主要範疇，實際上我們在其他工作亦陸續取得成果。

但我們不會滿足於此。教資會致力推動高等教育界的策略性發展，但同時委員會和秘書處均不忘恆常自我省察。在這一年，我們特別感謝審計署和立法會政府帳目委員會向我們提供的寶貴意見，有助教資會及秘書處更好履行其使命，為香港高等教育界謀福。

我們會繼續重視持份者的參與並積極與各界溝通。我想藉此機會感謝所有教資會委員，以及各小組委員會、工作小組、研資局和質保局成員的勤勉工作和無私奉獻。我亦要向政府特別是教育局，還有大學、老師們以及教資會界別的每位致謝。仰賴大家的支持，教資會將繼續堅定不移，擔當好政府與大學之間的橋樑，為政府提供專業意見，同時協助資助大學實踐宏大理想。

主席
唐家成, SBS, JP