

SECRETARY-GENERAL'S REPORT 秘书长报告



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The function of the UGC Secretariat is to support the UGC (and the Councils and bodies under its aegis) in the fulfillment of its terms of reference. That is impartially: to advise the Government on the funding needs and the strategic development of the eight publicly-funded higher education institutions; and to safeguard the institutions' academic freedom on the one hand while ensuring accountability of the public funds entrusted to them on the other.

In this role, the Secretariat has a staff of around 80 with the main functions of: supporting the UGC in fulfilling its objective and formulating action plans to take forward UGC initiatives; working with the UGC-funded institutions on all fronts relevant to the committees' terms of reference; and disbursing funds to institutions and monitoring their effective use.

Subcommittees/working groups are formed to lead different aspects of the UGC's work. There are currently six such groups. Two Groups finished their works in 2012-13 – (i) the “3+3+4” Group after the smooth implementation of the new academic structure in UGC-funded institutions, and (ii) the Higher Education Review Follow-up Group, following the completion of its duties in respect of the recommendations of that report under the purview of UGC.

Information from the Higher Education Review Report is also available on the UGC Website www.ugc.edu.hk. You may also find other useful information about the sector on the website.

教资会秘书处的职能，是协助教资会（包括辖下各局及小组委员会）充分履行职责。教资会的职责，是就本港八所公帑资助的高等教育院校的拨款需要及发展事宜，向政府提供持平的意见，维护院校的学术自由，同时确保院校妥善运用公帑。

秘书处约有80名职员。主要职能包括：协助教资会达致其目标，并制订行动计划以推行教资会各项措施；在教资会职权范围相关的各个领域与资助院校合作；以及向院校发放拨款，并确保拨款用得其所。

教资会设有小组委员会／工作小组，以统领教资会不同范畴的工作。现时，教资会辖下共有六个小组委员会／工作小组。两个小组在2012-13年度完成任务：（一）「3+3+4」小组随着资助院校顺利推行新学制已完成其工作；（二）高等教育检讨跟进小组亦已完成高等教育检讨报告建议教资会在其职权范围内执行的工作。

高等教育检讨报告的内容已上载教资会网站(www.ugc.edu.hk)。网站亦备有其它关于高等教育界的实用资料。

Expenditure Statement of the UGC Secretariat

教资会秘书处开支报表

Chart 1 below summarises the expenditure of the UGC Secretariat in 2012-13, which covers the recurrent UGC operating expenditure; the recurrent subventions to institutions; and the non-recurrent expenditure.

表一简列教资会秘书处在2012-13年度的开支摘要，包括教资会经常运作开支、向院校发放的经常资助金，以及非经常开支。

Chart 1: Expenditure Statement for the year ended 31 March 2013

表一：截至2013年3月31日止年度开支报表

		Year Ended 31 March 截至3月31日止年度	
		2013 \$'000	2012 \$'000
(1) Recurrent UGC Operating Expenditure	(1) 教资会经常运作开支		
Staff Related Expenditure	与员工有关连的开支		
• Civil Services Salaries	• 公务员薪酬	32,050	29,045
• Allowances and MPF Contribution	• 津贴及公积金供款	1,555	1,330
Departmental Expenditure	部门开支		
• General Departmental Expenses (Note)	• 一般部门开支(注)	26,839	23,283
Expenditure for Members	委员开支		
• Honoraria for Overseas Members	• 海外委员津贴	6,960	6,488
• Meeting Expenses (i.e. air passage and hotel, etc.)	• 会议开支 (即机票和酒店等)	15,048	13,775
Sub-total (1)	小计 (1)	82,452	73,921
(2) Recurrent Subventions to Institutions	(2) 经常资助金		
Recurrent Grants to Institutions	资助院校的经常补助金	13,248,601	11,271,077
Refund of Government Rent and Rates	发还地租及差饷	198,671	178,120
Subventions for Housing Related Expenses	资助与房屋福利有关的开支	102,331	184,431
Sub-total (2)	小计 (2)	13,549,603	11,633,628
Total Recurrent Expenditure (1)+(2)	经常开支总额 (1)+(2)	13,632,055	11,707,549
(3) Non-Recurrent Expenditure	(3) 非经常开支		
General Other Non-recurrent	一般非经常开支		
• Sixth Matching Grant Scheme	• 第六轮配对补助金计划	1,683,722	0
Sub-total (3)	小计 (3)	1,683,722	0
TOTAL (1) + (2) + (3)	总额 (1) + (2) + (3)	15,315,777	11,707,549

Note

This includes salaries for non civil service contract staff and fees for professional and other hire of services.

注

这项目包括非公务员合约雇员的薪酬，以及专业和其它外判服务的费用。

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The recurrent UGC operating expenditure remains very low as a percentage of total expenditure – at about 0.5%. But it has been on an increasing trend due to the need to appoint more non-local Members to the RGC and the increase in projects to be completed by the RGC. The Secretariat has established clear internal rules and levels of approval authorities governing various matters (such as the award of consultancy contracts), while rigorously following all civil service, financial and accounting regulations of the Government. In addition, for offering consultancy contracts above \$50,000 through the invitation of single quotations, the agreement from either the Chairman, UGC or the convenor of sub-committees is necessary. The advice of the General Affairs and Management Sub-Committee/other Sub-committees – and the approval of the UGC-is required for any item of expenditure above \$1 million drawn from the Central Allocation Vote (CAV). The Sub-Committee also receives reports from the Secretariat on the year-to-date expenditure position and other internal administrative and financial matters.

Local Members of the UGC and all its Councils and Sub-Committees/Panels receive no remuneration for their extensive voluntary service – save for a \$215 per meeting day travel allowance. Meanwhile, non-local Members receive an annual honorarium at the following rate:

(HK\$ per annum/quality audit) (每年／每次参与质素核证)(港元)	
UGC 教资会	129,600
RGC/QAC 研资局／质保局	81,700
UGC Sub-Committees, RGC Panels* and QAC Audit Panel 教资会辖下小组委员会、研资局辖下小组*及质保局评审小组	47,300 – 63,050

* payable only to members outside Hong Kong who are co-opted and do not serve on UGC/RGC proper.

* 只适用于加入小组(而非教资会/研资局)的非本地增补成员。

The rates were originally approved by the Legislative Council and are adjusted by the Government according to an approved formula.

教资会的经常运作开支约占开支总额的0.5%，比例依然很小。由于研资局有需要委聘更多非本地成员，而该局有待完成的研究计划亦越来越多，经常运作开支有上升趋势。秘书处订有明确的内部规则及规管各类事务(例如批出顾问合约)的审批权限，并且严格遵守政府在公务员管理、财务及会计方面的规例。此外，金额超过50,000元的顾问合约如透过索取单一报价方式批出，必须获得教资会主席或有关小组委员会召集人同意。超过100万元的中央拨款开支项目，则须征询一般事务及管理小组委员会／其它小组委员会的意见，并获教资会通过。至于年内开支情况及其它内部行政管理及财务事宜，秘书处亦会向一般事务及管理小组委员会汇报。

教资会及辖下各局与小组委员会的本地成员均义务参与教资会的工作，并无领取任何薪酬，只获发每个会议天215元的交通津贴。非本地委员则按以下津贴率获发津贴：

津贴水平经立法会批准，并由政府按核准公式调整。



UGC Funding to Institutions

教资会资助院校的补助金

UGC funding for the UGC-funded institutions is composed of **recurrent grants** and **capital grants**.

教资会给予资助院校的拨款，分为**经常补助金**及**非经常补助金**。

Recurrent grants support institutions' academic work and related administrative activities; and capital grants are used to finance major works projects and minor campus improvement works.

经常补助金用于支援院校的学术活动及相关行政工作，而非经常补助金则用以资助大型工程项目及较小型的校园改善工程。

Recurrent Grants

经常补助金

The recurrent funding for the 2012/13 to 2014/15 triennium was approved by the Finance Committee of the Legislative Council in January 2012. The total approved recurrent funding for the UGC-funded sector in the triennium amounts to \$42,209 million, covering both block grants and earmarked grants.

2012年1月，立法会财务委员会通过资助院校在2012/13至2014/15三年期的经常拨款，核准金额为422.09亿元，当中包括整体补助金及指定用途补助金。

The bulk of the recurrent grants are disbursed to institutions normally on a triennial basis to tie in with the academic planning cycle, and in the form of a block grant to provide institutions with maximum flexibility in internal deployment. Once allocations are approved, institutions have a high degree of freedom in deciding on how the resources available are put to best use. Determination of the grants to institutions is largely based on an established formula.

经常补助金一般按三年期的方式发放予院校，以配合学术发展规划的周期，主要为整体补助金性质，供院校灵活调配。拨款一经批准，院校可自行决定如何善用所得资源。各院校所得的补助金额，大致按既定的拨款公式计算。

The 2012/13 academic year was the first year of the implementation of the New Academic Structure in the UGC-funded sector. From then on, there will be new recurrent funding for the additional year under the New Academic Structure ("new pot of money") in addition to the existing funding ("existing pot of money") for the three years of undergraduate study and other levels of study. In this regard, a "two pots of money" approach/funding methodology has been applied to the whole of the 2012/13 to 2014/15 triennium as detailed below. However, institutions will still receive a lump-sum block grant, and the separate methodology in allocating the new Year 1 funding will not affect the existing autonomy in which institutions deploy their block grant.

教资会资助界别在2012/13学年首度推行新学制。由该年起，除现时拨予三年制学士学位课程以及其它修课程度课程的拨款（「现有拨款」）外，当局还会为新学制下新增的一年修业期额外提供一笔经常拨款（「新增拨款」）。两笔拨款的拨款方法／资助方式已应用于整个2012/13至2014/15三年期，详情载于下文。不过，院校仍会获得一笔过的整体补助金，故用以分配新学制第一年拨款的特定方式，将不会影响院校现时运用整体补助金的自主权。

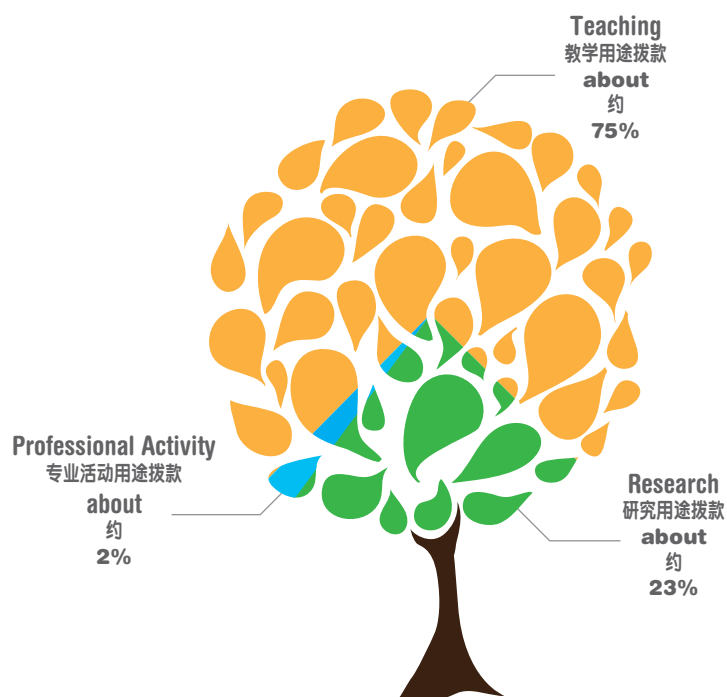
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"Existing pot of money" for the three years of undergraduate study and other levels of study

现有拨款(拨予三年制学士学位课程及其它修课程程度课程的拨款)

The amount of block grants comprises three elements:

整体补助金分为三个部分：



Teaching (about 75%)

The Teaching element is based on student numbers, their levels (*i.e.* sub-degree, undergraduate, taught postgraduate and research postgraduate (RPg)), modes of study (*i.e.* part-time and full-time) and disciplines of study. Some subjects are more expensive than the others because they require special equipment, laboratories, more staff time, *etc.* Relative cost weightings by broad academic programme categories (APCs) have been grouped into three price groups with effect from the 2005/06 to 2007/08 triennium. Details are shown at Chart 2.

教学用途拨款(约75%)

教学用途拨款根据学生人数、修课程度(即副学位课程、学士学位课程、研究院修读课程和研究院研究课程)、修课形式(即兼读和全日制)及学科等因素计算。部分学科需要特别设备或实验室,或须占用教职员较多时间,因此成本较高。由2005/06至2007/08三年期起,按概括学科类别划分的相对成本加权数值分为三个成本类别,详情载于表二。

Chart 2: Relative Cost Weightings by Price Groups of Academic Programme Categories

表二：按概括学科类别划分的相对成本加权数值

Academic Programme Categories (APCs) 学科类别		Price Group of APCs 学科成本类别		Relative Cost Weightings 相对成本加权数值	
				Teaching Programme	Research Programme
				修读课程	研究课程
1	Medicine 医学	A	Medicine & Dentistry 医学及牙医学	3.6	1.8
2	Dentistry 牙医学				
3	Studies Allied to Medicine and Health 与医学及卫生有关的学科	B	Engineering & Laboratory Based Studies 工程及实验室为本的学科	1.4	1.4
4	Biological Sciences 生物科学				
5	Physical Sciences 物理科学				
6	Engineering and Technology 工程及科技				
7	Arts, Design and Performing Arts 艺术、设计及演艺				
8	Mathematical Sciences 数学科学	C	Others 其它	1.0	1.0
9	Computer Science and Information Technology 电脑科学及资讯科技				
10	Architecture and Town Planning 建筑学及城市规划				
11	Business and Management Studies 工商管理				
12	Social Sciences 社会科学				
13	Law 法律				
14	Mass Communication and Documentation 大众传播及文件管理				
15	Languages and Related Studies 语言及相关科目				
16	Humanities 人文学科				
17	Education 教育				

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Research (about 23%)

In the 2012/13 to 2014/15 triennium, the Research element comprises two parts. One part is informed by the research performance of academic staff, and the cost of research in respective fields. The number of active research staff in each cost centre is identified in the context of a Research Assessment Exercise which assesses the research performance of different cost centres within institutions. Another part is informed by the success of institutions under the Research Grants Council (RGC) Earmarked Research Grant. The UGC would gradually allocate about 12.5% of the Block Grant, or 50% of the prevailing Research-portion on a more competitive basis according to institutions' success in obtaining RGC Earmarked Research Grant over nine years starting from 2012/13, to fund the indirect/on-costs of research projects approved by the RGC. The new funding arrangement will be reviewed before the end of the first triennium.

研究用途拨款(约23%)

在2012/13至2014/15三年期，研究用途拨款包括两部分：一部分根据教学人员的研究表现和相关学术领域的研究成本批拨。透过研究评审工作，教资会可厘定每个成本中心内活跃于研究工作的人员数目，并评审同一院校内不同成本中心的研究表现；另一部分根据院校申请研资局研究用途补助金的结果批拨。教资会会在2012/13学年起计的九年内，根据院校在申请研资局研究用途补助金的结果，逐步把整体补助金的约12.5%，或相等于当时研究用途拨款的50%，以更具竞争性的方法分配予院校，以资助研资局核准研究项目的间接成本／附加行政费用。教资会会在第一个三年期结束前检讨新拨款安排。

Professional Activity (about 2%)

The Professional Activity element is associated with professional activities expected to be undertaken by all members of academic staff. These include, for example, community service undertaken and advice rendered on societal or professional issues. It is calculated based on the number of academic staff.

专业活动用途拨款(约占2%)

专业活动用途拨款与院校全体教学人员均应参与的专业活动相关。该些活动包括社区服务或就社会或专业问题提供意见。拨款额按教学人员的数目计算。

"New pot of money" for the additional year under the New Academic Structure

The new funding for the additional year under the New Academic Structure is treated as a separate pot of money and is allocated wholly as "teaching funding", while recognising differentiation in the teaching cost among faculties with price weights of 1.4 and 1.0 for (i) Medicine, Dentistry, Engineering and Laboratory-based studies; and (ii) Others respectively.

The funding formula is the key parameter used to assess institutions' needs. But in finalising its funding recommendations, the UGC also takes into account the special needs of individual institutions and other factors not captured by the formula and will introduce extra-formulaic adjustments where required.

新增拨款(为新学期下新增一年修业期提供的拨款)

为新学期新增一年修业期提供的新增拨款会当作一笔独立的款项处理，并全数分配给院校作「教学用途拨款」。教资会明白各学院的教学成本不同，因此，会分别按(一)1.4的成本加权数值计算医学、牙医学、工程及实验室为本学科的拨款，以及(二)1.0的成本加权数值计算其它学科的拨款。

拨款公式计得的结果，是教资会评估院校拨款需要的主要参数。不过，教资会拟定最终拨款建议时，亦会考虑个别院校的特殊需要和公式没有计算的其它因素，视乎情况作出公式以外的调整。

Earmarked grants for specific purposes are allocations outside the block grant system. Examples are the earmarked research grants, grants for knowledge transfer activities, and grants for the Areas of Excellence Scheme.

Once determined, recurrent funding for a triennium will not be adjusted during the period except for adjustments to take into account changes in the indicative tuition fee levels, new initiatives from the Government and civil service pay adjustments. Following the civil service 2012 pay rise which took effect on 1 April 2012, the subvention for 2012/13 was increased by approximately \$670 million.

The Academic Development Planning Exercise and Grant Recommendation for the 2012-15 Triennium

The UGC conducts academic planning and recurrent grants assessment with its funded institutions on a triennial basis. As a regular practice, institutions would need to submit Academic Development Proposals (ADPs) for assessment by the UGC. ADPs are proposals that serve three purposes: (i) a platform for institutions to put forward development proposals for the immediate future; (ii) the foundation for the institution's costed estimates for the next grant triennium; and (iii) where approved academic programmes are to meet specific manpower needs, ADPs provide an assurance of anticipated supply of graduates. It must be stressed that the UGC does not seek to micro-manage our institutions, and thus would not intervene in their internal planning and allocation of places to individual programmes, except for those subject to specific manpower requirement.

With the approval of the LegCo in January 2012 on the grant recommendation for the 2012-15 triennium, the UGC had informed individual institutions about the details of their respective funding allocation in February 2012. The UGC is currently working with the institutions on the next round of the ADP and funding allocation exercise.

在整体补助金制度以外，教资会还会向院校发放有特定目标的指定用途补助金，例如研究用途补助金、供进行知识转移活动的补助金及卓越学科领域计划补助金。

经常补助金额一经厘定，在有关三年期内不会更改，除非指示性学费水平有变、政府推出新措施或调整公务员薪酬。由于公务员在2012年加薪(2012年4月1日起生效)，2012/13学年的补助金亦相应增加约6.7亿元。

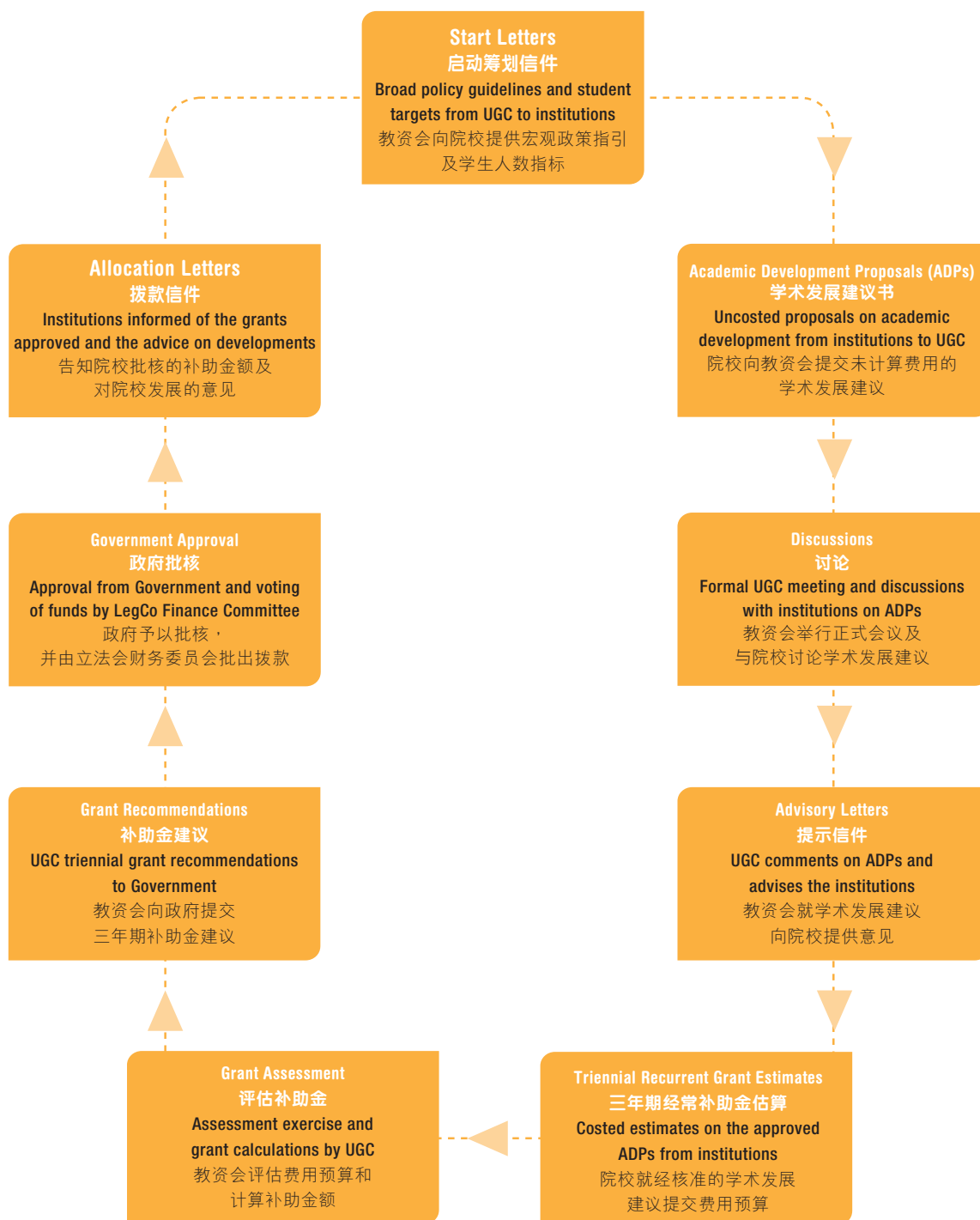
2012-15 三年期的学术发展规划及补助金建议

教资会每三个学年与资助院校进行一次学术规划及经常补助金评估工作。按惯常做法，院校须提交学术发展建议书供教资会审核。建议书有三个用途：(一)让院校提出短期发展建议；(二)让院校制订随后三年拨款期的费用预算；(三)如获准开办的学术课程是为了应付特定行业的人力需求，学术发展建议书可确保该等课程能提供预期数量的毕业生。必须强调的是，教资会无意对院校进行微观管理，因此不会干预院校的内部规划及个别课程的学额分配(有特定人力需求的学科除外)。

立法会于2012年1月批准2012-15三年期的补助金建议。教资会于2012年2月知会个别院校其获配补助金额的详情。教资会现正与各院校着手预备下一轮的学术发展建议及补助金分配工作。

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Diagrammatic Illustration of UGC Recurrent Grant Cycle 教资会经常补助金周期的图解



Financial Reporting and Monitoring

The UGC-funded institutions are autonomous statutory bodies governed by their respective Ordinances. They enjoy institutional autonomy in such areas as curriculum design, selection and recruitment of staff and students, and internal allocation of finances.

To provide institutions with substantial financial freedom, the bulk of the subvention to institutions are in the form of the block grant, which provides for a “one-line” allocation of resources for a funding period (usually a triennium) without prescription attached as to how it should be spent. The major requirement is that such grant must be used within the ambit of “UGC-fundable activities” while adhering to approved student number targets. The precise amount of the block grant has to be approved by the Finance Committee of the Legislative Council before the start of every triennial funding period, after which the responsibility falls squarely upon the institutions to apply those funds appropriately.

Institutions are accountable for any unspent balances of the public funds

While respecting the institutional autonomy of our funded institutions in allocating and managing their internal finances, the UGC adopts an accountable and transparent approach in ensuring the public money entrusted to the institutions are applied meaningfully and provide value for money. Institutions are entitled to maintaining a general reserve of up to 20% of the institution's total approved recurrent grants (excluding any earmarked grants) in a triennium for future and new development needs. Any excess of that level has to be returned to the UGC. The use of the general reserve is subject to the same rules and regulations governing the use of recurrent grants. For grants earmarked for specific purposes, any amount unspent after the close of financial year or approved funding period must be returned.

财务报告及监察

教资会资助院校是独立自主的法定组织，受各自的条例规管。院校在设计课程、甄选学生、招聘员工及内部调配资金方面，均享有自主权。

为了让院校在财政方面享有高度自主权，教资会主要以整体补助金形式资助院校。整体补助金以整笔拨款方式，为院校提供资助期间（通常为三年期）所需的资源。教资会并无规定院校应如何运用该笔款项，惟整体补助金必须用于「教资会可资助活动」所涵盖的范围，同时院校须按照核准学生人数指标提供学额。整体补助金的确实金额须于有关三年资助期开始前，经立法会财务委员会批准。此后，院校全权决定如何善用该笔款项。

院校须交代未动用的公帑

教资会尊重院校分配和管理内部资金的自主权，同时依循有关问责性及透明度的方针，确保拨予院校的公帑用得其所、合乎效益。院校可备存部分经常补助金作一般储备金，以应付日后新的发展需要。储备金上限为该三年期获批的经常补助金总额（不包括指定用途补助金）的20%。超逾该上限的款项须退还教资会。经常补助金的使用规则及规例，同样适用于一般储备金。至于指定用途补助金，在财政年度或核准资助期结束后如有余款，须悉数退还教资会。

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Institutions provide regular reports on their finances to the UGC

Institutions submit for each financial year an annual return on the use of all UGC funds. Heads of Institutions also provide a Certificate of Accountability to the UGC annually to confirm that the public funds allocated via the UGC have been spent in accordance with the rules and guidelines as agreed with the UGC.

No cross-subsidisation of UGC resources to non-UGC-funded activities

Recurrent grants are provided to the UGC-funded institutions to support their academic and related activities based on approved UGC-funded activities. As such, there should be no cross-subsidisation of UGC resources to non-UGC-funded activities (including, but not limited to, self-financing activities). To avoid hidden subsidy to non-UGC-funded activities, the institutions should levy overhead charges on such activities, including projects funded by other Government departments/agencies and projects/programmes conducted by their self-financing subsidiaries or associates.

Institutional finances are subject to professional accounting standards and external audit processes

Institutions are required to keep proper accounting records in accordance with the Hong Kong Financial Reporting Standards and the house guidelines on recommended accounting practice adopted by the UGC where appropriate. Institutions also arrange their own external annual audits on their financial statements and the annual return, in accordance with prevalent assurance engagement standards adopted by the audit profession. For the purpose of efficient use of public funds, institutions are also subject to examination by the Director of Audit.

Financial Affairs Working Group

From time to time, the UGC may express interest in the financial well-being of UGC-funded institutions and enquire on specific financial issues concerning the UGC sector. The UGC established a Financial Affairs Working Group in January 2011 with professional expertise to work with institutions to help ensure their continuing good financial governance and sound financial planning.

院校须定期向教资会提交财务报告

院校会在每个财政年度完结后向教资会提交年度报表，汇报各项拨款的使用情况。此外，各院校校长每年亦会向教资会呈交一份责任证明书，确认经教资会批拨的公帑按照院校与教资会议定的规则和指引使用。

教资会资源不可补贴非教资会资助活动

教资会向资助院校提供经常补助金，以支持院校在核准的教资会资助活动范围内，举办学术和相关活动。因此，教资会的资源不能用于补贴非教资会资助活动（包括但不限于自资活动）。为免变相津贴非教资会资助活动（包括其它政府部门／机构资助的项目及院校辖下自负盈亏的附属或联营机构举办的项目／课程），院校应对该些活动收取间接费用。

院校的财务状况须按专业会计准则记录并经外聘核数师审核

院校须按照香港会计师公会颁布的《香港财务报告准则》，另参考根据教资会所采纳的建议会计准则而订定的指引（如适用），妥善保存会计记录。院校每年亦须自行外聘核数师，按审计行业普遍采用的核证准则，审核财务报表及年度报表。为确保公帑运用得宜，院校亦须接受审计署署长审核。

财务工作小组

教资会关注资助院校的财务状况，不时就教资会界别的特定财务事宜向院校查询。教资会于2011年1月设立由专业人士组成的财务工作小组，负责与院校合作，协助院校维持良好的财务管治及作出稳健的财务规划。

Capital Grants

非经常补助金

The UGC supports capital works projects of institutions for UGC-approved activities by capital grants sought from the Government on an annual basis under the Capital Programme, and the Alterations, Additions, Repairs and Improvements Programme. Details of the two capital grants programmes are illustrated in the flowcharts below:

教资会以非经常补助金的形式，资助院校为教资会核准活动进行基本工程项目。院校每年透过「基本工程计划」和「改建、加建、维修及改善工程计划」，向政府申请非经常补助金进行工程项目。上述两项计划的流程图如下：



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In 2012-13, there were 25 ongoing capital works projects under the Capital Programme with a total estimated project cost of some \$12.2 billion. The expenditure on these projects in 2012-13 was about \$2.8 billion. With the completion of superstructure works of most projects, the spending in 2013-14 is anticipated to decrease to some \$974 million.

In 2012-13, the UGC supported a total of 31 new Alterations, Additions, Repairs and Improvements (AA&I) projects submitted by institutions with a total estimated cost (to be spread over up to three years) of some \$528 million. To meet the expenditure of the ongoing and newly approved projects in 2012-13, a total of \$458 million was allocated to institutions. The allocation will be increased to some \$560 million in 2013-14 as institutions carry out more major spatial reorganization works to support the new four-year academic structure.

在2012-13年度，基本工程计划下有25项基本工程项目正在进行，估计工程费用总额约为122亿元。该些工程项目在2012-13年度的开支约为28亿元。随着大部分工程项目完成上盖工程，2013-14年度的开支预计会减至约9.74亿元。

在2012-13年度，教资会支持合共31项由院校新提交的改建、加建、维修及改善工程项目，估计工程费用（最长在三年内拨付）共约5.28亿元。为应付进行中和新核准工程项目在2012-13年度的开支，教资会已向各院校合共拨款4.58亿元。2013-14年度的拨款会增至约5.60亿元，让各院校为配合四年制新学制而进行更多大型空间重组工程。



CUHK's newly completed student hostels
中大新落成的学生宿舍



CUHK's Two Integrated Teaching Buildings
中大两座综合教学大楼



HKUST's newly completed Institute for Advanced Study
科大新落成的高等研究院



HKUST's newly completed student residences
科大新落成的学生宿舍



PolyU's newly completed student hostel
理大新落成的学生宿舍



HKIEd's new study centre in Tseung Kwan O
教院将军澳新教学中心



HKU's newly completed student residences at Lung Wah Street
港大于龙华街新落成的学生宿舍



PolyU's Logo Square
理大校徽广场

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Financial Reporting and Monitoring

The capital grants are charged to the Capital Works Reserve Fund and are part of the Capital Works Programme of the Government. Institutions' projects under capital subvention follow the procedures for creating and managing a capital works project under the Capital Works Programme. Institutions assume full responsibility and accountability for their projects under capital subvention. They should ensure that works expenditure stays strictly within the approved project estimate in accordance with the approved project scope *i.e.* the scope approved by the Legislative Council for capital works projects exceeding \$30 million, and the scope approved by the UGC for Alterations, Additions, Repairs and Improvements projects up to \$30 million.

Institutions have in place an appropriate system of cost control and monitoring mechanism for overseeing the spending of public money having regard to economy, efficiency and effectiveness in the delivery of their projects. In particular, institutions have to ensure that proper procurement procedures are in place, taking reference from Government's latest rules and regulations applicable to public capital works.

Approved funds for the projects are released to the institutions on a monthly basis. Institutions are required to submit a monthly statement on the financial position and a quarterly report on the progress of their projects. Upon completion of a project, the institution will submit a certified statement of final accounts to the UGC and return any unspent balance or unapproved expenditure to the Government. For the final accounts of capital works projects, a separate assurance engagement should be carried out by an external auditor engaged by the institutions.

财务报告及监察

非经常补助金来自基本工程储备基金，是政府基本工程计划的一部分。院校在处理非经常补助金资助的工程项目时，会遵循基本工程计划有关开立及管理工程项目的程序。院校须就非经常补助金资助的项目承担全部责任并作出交代，严格确保工程开支不会超逾核准工程范围内的核准工程预算，即不得超出立法会就费用逾3,000万元的基本工程项目所核准的工程范围，或教资会就费用不超过3,000万元的改建、加建、维修及改善工程项目所核准的工程范围。

院校已制订合适的成本监控机制，管理公帑的使用，以确保工程项目既合乎经济原则，亦具效率与成效。院校尤应参考适用于公共基本工程的最新政府规则及规例，制订适当的采购程序。

教资会按月向院校发放工程项目的核准拨款。院校须按月提交财务状况报表，以及按季提交工程进度报告。工程项目完成后，院校须向教资会提交经核证的决算帐目，并把结余或未经核准的开支退还政府。基本工程项目的决算帐目，须经院校的外聘核数师独立核证。



Communications/Interface with Stakeholders

与持份者的沟通／接触

We attach great importance to enhancing communications with our stakeholders so they can understand accurately the functions and operations of the UGC, and also for the UGC to get to know our stakeholders' views on its decisions and policies. There is a wide range of stakeholders in higher education – the institutional management, staff and students, the Government and Legislature, the media and the community at large. The UGC works in close partnership with stakeholders on sector-wide issues, including resource allocation and strategic development. Effective communication with stakeholders brings transparency and accountability.

教资会重视与持份者增进沟通，藉此让他们确切明白教资会的职能和运作，同时让教资会了解持份者对教资会的决定和政策有何看法。高等教育界有不同持份者，包括院校管理层、教职员和学生、政府、立法会、传媒及市民大众。教资会一直就涉及整个界别的议题，包括资源分配和策略性发展，与相关持份者紧密合作。有效的沟通能提高透明度，加强向持份者问责的能力。

The UGC's Communications Group looks into all matters concerning public relations and publicity in respect of the activities of the Committee and the UGC-funded sector, with the objective of fostering better understanding and communication. Effective communication with the various stakeholder groups often takes different forms. The Group continues to devise plans and undertakes a range of activities to enhance our stakeholder relations, including:

教资会的传讯小组专责处理与教资会及教资会资助界别相关的一切公关及宣传事宜，目的是促进了解，加强沟通。与不同持份者保持良好沟通，往往要采取不同途径。传讯小组会继续制订计划，透过一系列的活动，促进与持份者的关系，包括：

Institutional Management

院校管理层

The UGC works closely with institutions and conducts meetings – regular and ad hoc, formal and informal – with the Council Chairmen, Heads and Vice Presidents of the eight funded institutions to share our thoughts and suggestions on various subjects of mutual concern. In January 2013, the UGC held the first retreat between senior management of funded institutions and UGC members, who collectively discussed a wide range of issues. The Chairman, UGC has also engaged in his second round of campus tours to meet with the Faculty Deans and Department Heads as well as frontline faculty in each of the eight institutions starting March 2013. He aims to brief them on the aspirations and operations of the UGC and exchange thoughts with them on issues related to the higher education sector. This round of engagement will be completed in early 2014.

教资会与院校紧密合作，定期及就个别议题与八所资助院校的校董会主席、校长及副校长举行正式或非正式会议，环绕共同关心的议题交换意见。教资会于2013年1月与资助院校高层管理人员及教资会委员举办首次集思会，双方探讨了多项议题。此外，教资会主席于2013年3月展开第二轮院校巡回访问，与八所院校的学院院长、系主任及前线教学人员会面。访问旨在向院校阐述教资会的抱负和工作，并就有关高等教育界的议题与院校交换意见。此轮访问将于2014年年初结束。

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The first retreat between UGC Members and the Heads and senior management of the UGC-funded institutions was held in January 2013.

教资会委员、资助院校校长及高层管理人员的首次集思会于2013年1月举行



Chairman, UGC met with the Faculty Deans and Department Heads of HKIEd (top left), Poly U (top right) and LU (bottom) in March and April 2013.

主席于2013年3至4月期间与教院(左上)、理大(右上)及岭大(下)的学院院长及系主任会面

Students

Students are perhaps the key stakeholders in the work of the UGC. Their views are thus very important to us. Members of the UGC visit the eight institutions on a regular basis, of which an important part is to meet with the students. The UGC has expedited such visits. UGC Members as a group visited CityU and PolyU in September 2012 and CUHK in January 2013. During the three visits, Members exchanged views with student representatives on a whole array of topics of mutual concern. There was no set agenda for these meetings, which were conducted in a more relaxed and friendly environment to encourage more active participation in the discussions and freer exchange.

学生

对教资会来说，学生大概是至为重要的持份者，因此教资会十分重视学生的意见。教资会委员定期到八所院校进行访问，其中一个重要环节是与学生见面。教资会已加紧进行访校活动，委员于2012年9月分别到访城大及理大，另于2013年1月到访中大。在三次访问中，委员与学生代表就多项双方关注的议题交换意见。会面不设议程，让双方在轻松融洽的气氛中积极参与讨论，坦诚交流。



UGC Members visited PolyU (left), CUHK (middle) and CityU (right) and met with their students
教资会委员到访理大(左)、中大(中)及城大(右)，并与院校学生会面

Legislators

The UGC welcomes the opportunity to work with, and explain aspects of our work to, the Legislative Council. Informally, the Chairman, UGC met with members of the Legislative Council Panel on Education in November 2012 and January 2013 to listen to their views on various topics in relation to higher education. We also attend meetings of the Council whenever appropriate to explain our work.

立法会议员

教资会重视与立法会合作的机会，乐于向议员阐述本会各方面的工作。教资会主席先后于2012年11月及2013年1月与立法会教育事务委员会的委员作非正式会面，听取他们对高等教育不同方面的意见。教资会亦会适时派员出席立法会会议，向议员解释教资会的工作。

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The Community

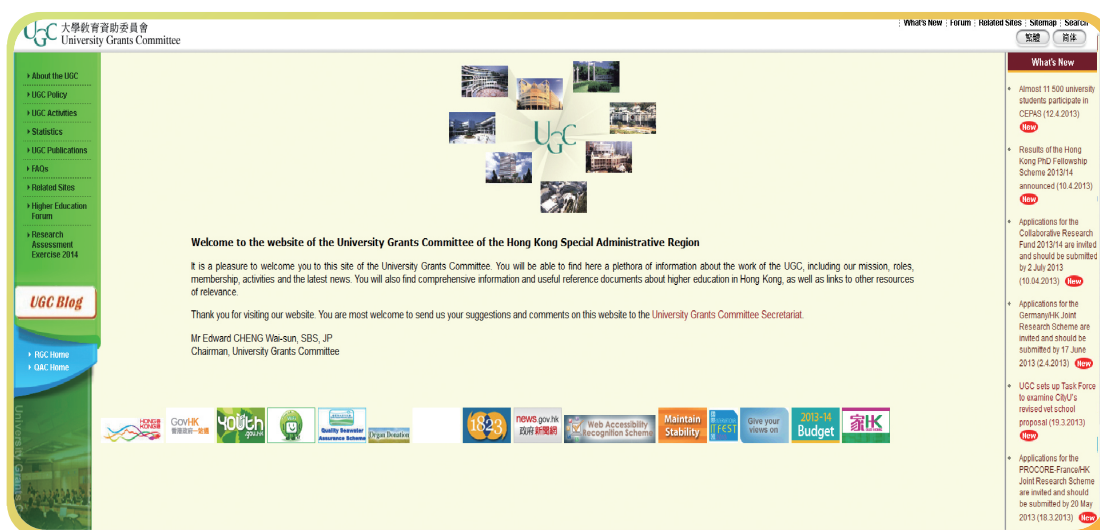
With escalating public expectations on the responsiveness of public agencies, the cyber network allows us to gather and disseminate information in a more timely and instantaneous fashion. The UGC website describes our roles, membership, activities, and the latest news. It includes also a "Frequently Asked Questions" section and a Higher Education Forum, through which we welcome all parties including students and staff to leave messages and share their opinions on the work and policies of the UGC. These initiatives have enhanced and facilitated a more accurate understanding of UGC policies and practices by the readers.

At the same time, the UGC also holds briefings with the media after each UGC meeting, where the Chairman, UGC keeps the media informed of the latest decisions and deliberations of the Committee. The UGC also responds to media enquiries whenever they arise.

市民大众

市民对公共机构的要求日益提高，期望诉求尽早得到回应，教资会正好借助互联网之便，适时快捷地收集和发放资讯。教资会网站介绍教资会职能、成员组合、工作及最新动向，还设有「常见问题」专栏及「高等教育论坛」，欢迎教职员及学生等各界人士留言，就教资会的工作和政策尽抒己见。该些措施有助浏览网站的市民更清楚了解教资会的政策及工作。

教资会在每次会议后均会举行传媒简报会，由教资会主席向传媒讲述教资会的审议事项及最新决策。对传媒提出的每项查询，教资会均会尽力回应。



Richard Armour
Secretary-General
University Grants Committee

大学教育资助委员会
秘书长
安礼治