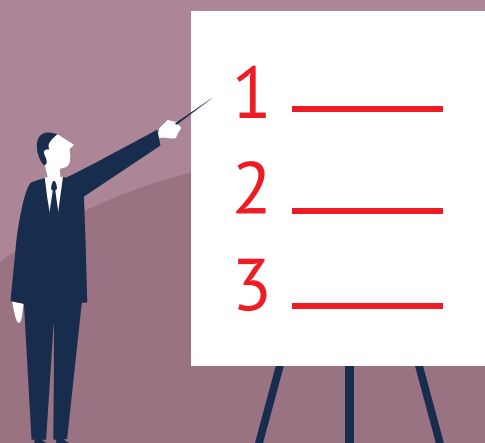# SECRETARY-GENERAL'S REPORT
# 秘書長報告

# SECRETARY-GENERAL'S REPORT
秘書長報告

**DR RICHARD T ARMOUR,**
**SECRETARY-GENERAL, UGC**
教資會秘書長安禮治博士

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 seven such groups. Two Groups completed their tasks in 2014-15 – (i) the Task Force for the Organisation of Discussion Forums after a series of discussion forums in 2014 and 2015 with UGC-funded institutions to discuss important issues pertinent to the future development of the UGC-funded sector were completed; and (ii) Research Assessment Exercise (RAE) Group after the announcement of the RAE 2014 results in January 2015. A review group on the Hong Kong Institute of Education (HKIEd)'s Application for University Title has been established to examine the application for university title submitted by HKIEd in July 2014.

教資會秘書處的職能，是協助教資會（包括轄下各局及小組委員會）充分履行職責，也就是就本港八所公帑資助的高等教育院校的撥款需要及發展事宜，向政府提供持平的意見，維護院校的學術自由，同時確保院校妥善運用公帑。

秘書處約有80名職員負責執行職能，主要包括：協助教資會達致目標，並制訂行動計劃推行教資會各項措施；在教資會職權範圍相關的各個領域與資助院校合作；以及向院校發放撥款，並確保撥款用得其所。

教資會設有小組委員會／工作小組，統領教資會不同範疇的工作。現時，教資會轄下共有七個小組。兩個小組在2014-15年度完成任務：(i)專題討論工作小組已於2014及2015年就有關教資會資助界別未來發展的重要議題，與院校舉辦一系列論壇；及(ii)研究評審工作小組亦隨着2014年研究評審工作結果於2015年1月公布後完成其工作。另外，年內新成立香港教育學院申請獲授大學名銜檢討小組，研究教院於2014年7月提交的有關申請。

# EXPENDITURE STATEMENT OF THE UGC SECRETARIAT

# 教資會秘書處開支報表

Chart 1 below summarises the expenditure of the UGC Secretariat in 2014-15, which covers the recurrent UGC operating expenditure; the recurrent subventions to institutions; and the non-recurrent expenditure.

下面表一簡列教資會秘書處在2014-15年度的開支，當中包括教資會經常運作開支、向院校發放的經常資助金，以及非經常開支。

## Chart 1: Expenditure Statement for the year ended 31 March 2015
## 表一 ：截至2015年3月31日止年度開支報表

| | | | Year Ended 31 March 截至3月31日止年度 | |
|---|---|---|---|---|
| | | | 2015 $'000 | 2014 $'000 |
| **(1)** | **Recurrent UGC Operating Expenditure** | **(1)** 教資會經常運作開支 | | |
| | Staff Related Expenditure | 與員工有關連的開支 | | |
| | • Civil Services Salaries | • 公務員薪酬 | 37,371 | 35,098 |
| | • Allowances and MPF Contribution | • 津貼及公積金供款 | 2,185 | 1,947 |
| | Department Expenditure | 部門開支 | | |
| | • General Department Expenses (Note) | • 一般部門開支（註） | 48,174 | 34,128 |
| | Expenditure for Members | 委員開支 | | |
| | • Honoraria for Overseas Members | • 海外委員津貼 | 17,011 | 8,305 |
| | • Meeting Expenses (i.e. air passage and hotel, etc.) | • 會議開支（即機票和酒店等） | 32,231 | 17,928 |
| | **Sub-total (1)** | **小計(1)** | **136,972** | 97,406 |
| **(2)** | **Recurrent Subventions to Institutions** | **(2)** 經常資助金 | | |
| | Recurrent Grants to Institutions | 資助院校的經常補助金 | 15,597,496 | 14,644,293 |
| | Refund of Government Rent and Rates | 發還地租及差餉 | 322,118 | 268,491 |
| | Subventions for Housing Related Expenses | 資助與房屋福利有關的開支 | 63,352 | 76,331 |
| | **Sub-total (2)** | **小計(2)** | **15,982,966** | 14,989,115 |
| | **Total Recurrent Expenditure (1) + (2)** | **經常開支總額(1) + (2)** | **16,119,938** | 15,086,521 |
| **(3)** | **Non-Recurrent Expenditure** | **(3)** 非經常開支 | | |
| | General Other Non-recurrent | 一般非經常開支 | | |
| | • Sixth Matching Grant Scheme | • 第六輪配對補助金計劃 | **245,816** | 570,244 |
| | **Sub-total (3)** | **小計(3)** | **245,816** | 570,244 |
| | **TOTAL (1) + (2) + (3)** | **總額(1) + (2) + (3)** | **16,365,754** | 15,656,765 |

Note:
This includes salaries for non civil service contract staff and fees for professional and other hire services.
註：
這項目包括非公務員合約僱員的薪酬，以及專業和其他外判服務的費用。

UNIVERSITY GRANTS COMMITTEE
大學教育資助委員會

The recurrent UGC operating expenditure remains very low as a percentage of total expenditure – at about 0.8%. But it has increased due to the need to appoint more non-local Members to the RGC and the increase in projects to be assessed 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 effective from 1 January 2015:

教資會的經常運作開支約佔開支總額的0.8%，比例依然很小。由於研資局有需要委聘更多非本地成員，而且該局有待評審的研究計劃亦越來越多，因此經常運作開支有所上升。秘書處訂有明確的內部規則及規管各類事務（例如批出顧問合約）的審批權限，並且嚴格遵從政府在公務員管理、財務及會計方面的規例。此外，金額超過5萬元的顧問合約如透過索取單一報價方式批出，必須獲得教資會主席或有關小組委員會召集人同意。超過100萬元的中央撥款開支項目，則須徵詢一般事務及管理小組委員會／其他小組委員會的意見，並獲教資會通過。至於年內開支情況及其他內部行政管理與財務事宜，秘書處亦會向一般事務及管理小組委員會匯報。

教資會及轄下各局與小組委員會的本地成員均義務參與教資會各項工作，並無領取任何薪酬，只獲發按每天會議215元計算的交通津貼。而由2015年1月1日起，非本地委員則按以下津貼率獲發津貼：

| | (HK$ per annum/quality audit)<br>（每年／每次質素核證工作）（港元） |
|---|---:|
| UGC 教資會 | 141,000 |
| RGC/QAC 研資局／質保局 | 88,850 |
| UGC Sub-Committees, RGC Panels* and QAC Audit Panel<br>教資會轄下小組委員會、研資局轄下小組*及質保局評審小組 | 48,950 – 68,600 |

\* payable only to members outside Hong Kong who are co-opted and do not serve on UGC/RGC proper
\* 只適用於加入小組（而非教資會／研資局）的非本地增補成員。

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

津貼水平經立法會批准，並由政府按核准公式調整。

# UGC FUNDING TO INSTITUTIONS

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

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.

## Recurrent Grants

The recurrent funding for the 2012/13 to 2014/15 triennium was approved by 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.

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.

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 has been 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 still receive a lump-sum block grant, and the separate methodology in allocating the new Year 1 funding will not affect the existing autonomy with which institutions deploy their block grant.

The UGC usually conducts academic planning and recurrent grants assessment with its funded institutions on a triennial basis. To allow more time for institutions to study the impact of the New Academic Structure in the higher education sector and to take into account the results of the Research Assessment Exercise 2014 in funding allocation in the next full triennium, a roll-over arrangement is decided to be implemented for the 2015/16 academic year. The arrangement is intended to be a simple extension of the approved financial arrangements for the 2012/13 to 2014/15 triennium to cover the 2015/16 academic year. There is no change in the planning parameters, except to accommodate necessary refinements for specific areas and the increase of senior year places as announced in the Policy Address 2014. The recurrent funding for the 2015/16 roll-over year was approved by the Legislative Council in May 2015. The total approved recurrent funding for the UGC-funded sector amounts to $17,106 million, representing an increase of 19.4% as compared with $14,321 million for 2014/15.

# 教資會資助院校的補助金

教資會給予資助院校的撥款，分為**經常補助金**及**非經常補助金**。

經常補助金用於支援院校的學術活動及相關行政工作，而非經常補助金則用以資助大型工程項目及較小型的校園改善工程。

## 經常補助金

2012年1月，立法會通過在2012/13至2014/15三年期向資助院校提供經常撥款，核准金額總數422.09億元，當中包括整體補助金及指定用途補助金。

經常補助金一般按三年期的方式發放予院校，以配合學術發展規劃的周期，主要為整體補助金性質，供院校在內部靈活調配。撥款一經批准，院校可自行決定如何善用所得資源。各院校所得的補助金額，大致按既定的撥款公式計算。

教資會資助界別在2012/13學年首度推行新學制。由該年起，除現時撥予三年制學士學位課程以及其他修課程度課程的撥款（「現有撥款」）外，當局還為新學制下新增的一年修業期額外提供一筆經常撥款（「新增撥款」）。兩筆撥款的批撥方法／資助方式已應用於整個2012/13至2014/15三年期，詳情載於下文。不過，院校仍會獲得一筆過的整體補助金，故用以分配新學制第一年撥款的特定方式，並不影響院校現時運用整體補助金的自主權。
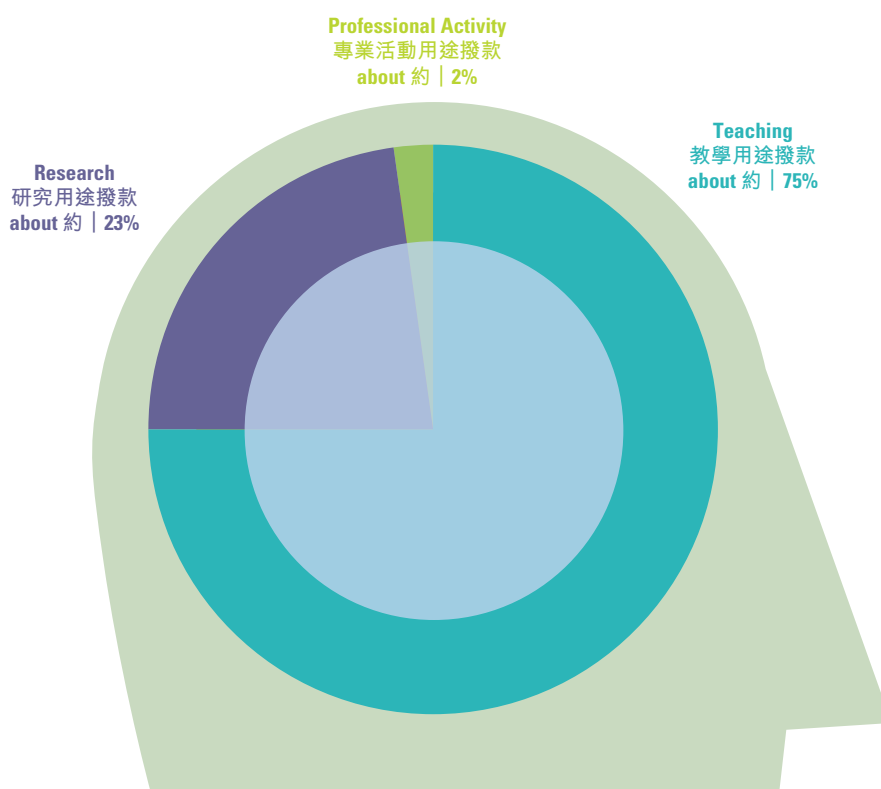
教資會與其資助院校一般每三年進行一次學術發展規劃及經常補助金評估。為了讓院校有更多時間檢視新學制對高等教育界的影響，並在下一個完整三年期的撥款分配工作中，考慮2014年研究評審工作的結果，2015/16學年決定實行延展年度的安排。這項安排主要是純粹把2012/13至2014/15三年期的核准財務安排順延一年，以涵蓋2015/16學年。除了就特定範疇作出必要調整，以及按照《2014年施政報告》所公布增加的高年級學額外，規劃準則不變。立法會已於2015年5月批准2015/16延展年度的經常性撥款，核准總金額為171.06億元，較2014/15學年的143.21億元增加19.4%。

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

## 現有撥款（撥予三年制學士學位課程及其他修課程度課程的撥款）

**The amount of block grants comprises three elements:**

整體補助金分為三個部分：



Professional Activity
專業活動用途撥款
about 約｜2%

Research
研究用途撥款
about 約｜23%

Teaching
教學用途撥款
about 約｜75%

### 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.

### 教學用途撥款（約佔75%）

教學用途撥款根據學生人數、修課程度（即副學位課程、學士學位課程、研究院修課課程和研究院研究課程）、修課形式（即兼讀制和全日制）及學科等因素計算。部分學科需要特別設備或實驗室，或須佔用教職員較多時間，因此成本較高。由2005/06至2007/08三年期起，按概括學科類別劃分的相對成本加權數值分為三個成本類別，詳見表二。

## Chart 2: Relative Cost Weightings by Price Groups of Academic Programme Categories
## 表二： 按概括學科類別劃分的相對成本加權數值

| Academic Programme Categories (APCs)<br>學科類別 | | Price Group of APCs<br>學科成本類別 | | Relative Cost Weightings<br>相對成本加權數值 | |
| --- | --- | --- | --- | --- | --- |
| | | | | Teaching Programme<br>修課課程 | Research Programme<br>研究課程 |
| 1 | Medicine<br>醫學 | A | Medicine & Dentistry<br>醫學及牙醫學 | 3.6 | 1.8 |
| 2 | Dentistry<br>牙醫學 | | | | |
| 3 | Studies Allied to Medicine and Health<br>與醫學及衞生有關的學科 | B | Engineering & Laboratory Based Studies<br>工程及實驗室為本的學科 | 1.4 | 1.4 |
| 4 | Biological Sciences<br>生物科學 | | | | |
| 5 | Physical Sciences<br>物理科學 | | | | |
| 6 | Engineering and Technology<br>工程及科技 | | | | |
| 7 | Arts, Design and Performing Arts<br>藝術、設計及演藝 | | | | |
| 8 | Mathematical Sciences<br>數學科學 | C | Others<br>其他 | 1.0 | 1.0 |
| 9 | Computer Science and Information Technology<br>電腦科學及資訊科技 | | | | |
| 10 | Architecture and Town Planning<br>建築學及城市規劃 | | | | |
| 11 | Business and Management Studies<br>工商管理 | | | | |
| 12 | Social Sciences<br>社會科學 | | | | |
| 13 | Law<br>法律 | | | | |
| 14 | Mass Communication and Documentation<br>大眾傳播及文件管理 | | | | |
| 15 | Languages and Related Studies<br>語言及相關科目 | | | | |
| 16 | Humanities<br>人文學科 | | | | |
| 17 | Education<br>教育 | | | | |

## Research (about 23%)

The Research element comprises two parts. One part is informed by the research performance of institutions, and the cost of research in respective fields. The research quality of institution is identified in the context of the Research Assessment Exercise which assesses the research activity of different cost centres within institutions through expert review by subject panels. Another part is informed by the success of institutions under the Research Grants Council (RGC) Earmarked Research Grant. Starting from 2012/13, the UGC has gradually allocated about 50% of the prevailing Research Portion on a more competitive basis according to institutions' success in obtaining RGC Earmarked Research Grant over nine years. The mechanism serves as a proxy reference for the allocation of the Research Portion.

## 研究用途撥款（約佔23%）

研究用途撥款包括兩部分：一部分根據院校的研究表現和相關學術領域的研究成本批撥。透過研究評審工作，教資會可釐定院校的研究質素，以學科小組的專家評核，評估院校內不同成本中心的研究活動；另一部分根據院校申請研資局研究用途補助金的結果批撥。教資會在2012/13學年起計的九年內，根據院校在申請研資局研究用途補助金的結果，逐步把大約相等於當時研究用途撥款的50%，以更具競爭性的方法分配予院校，此機制是分配研究用途撥款的參考指標。

## 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.

## 專業活動用途撥款（約佔2%）

專業活動用途撥款與院校全體教學人員均應參與的專業活動相關，範圍涵蓋社區服務或就社會或專業問題提供意見。撥款額按教學人員的數目計算。

## "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.

## 新增撥款（為新學制下新增一年修業期提供的撥款）

為新學制新增一年修業期額外提供的撥款會當作一筆獨立的款項處理，並全數分配給院校作為教學用途撥款。教資會明白各學院的教學成本不同，因此，會分別按（一）1.4的成本加權數值計算醫學、牙醫學、工程及實驗室為本學科的撥款，以及（二）1.0的成本加權數值計算其他學科的撥款。

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.

Earmarked grants for specific purposes are allocations outside the block grant system. Examples are the 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 2014 pay rise which took effect on 1 April 2014, the subvention for 2014/15 was increased by approximately $1,850 million.

### The 2016/17 to 18/19 Triennium Academic Development Planning Exercise

The UGC usually conducts academic planning and recurrent grants assessment with its funded institutions on a triennial basis. To ensure the precious publicly-funded student places are put to their best use for the benefit of the community, we need to have a mechanism to encourage institutions to review periodically their institutional strategy and academic priorities, as well as to advance institutions' international competitiveness in line with the role of individual institutions and the higher education sector as a whole. To this end, the UGC has initiated the academic development planning process for the 2016/17 to 2018/19 triennium with the broad parameters set by the Government.

The Academic Development Planning (ADP) Exercise is interactive and transparent. We consulted institutions, and took their views on board, before taking forward the principles, evaluation criteria, rules and procedures of the exercise. The institutions generally agreed to continue to adopt the competitive allocation mechanism of First-Year First-Degree (FYFD) places. In a similar vein as the 2012/13 to 2014/15 triennium, Lingnan University and six other UGC-funded institutions were each required to notionally set aside 4% and 6% respectively of their FYFD places that were not subject to manpower requirements to a central pool, for subsequent possible re-distribution among institutions to reflect the comparative merits of their ADP proposals as assessed against agreed criteria. The remaining bulk of the FYFD places, which in effect accounted for 95.1% of all FYFD places, were unaffected.

撥款公式計得的結果,是教資會評估院校撥款需要的主要參數。不過,教資會擬定最終撥款建議時,會一併考慮個別院校的特殊需要和公式沒有計算的其他因素,視乎情況作出公式以外的調整。

教資會還會在整體補助金制度之外,向院校發放有特定目標的指定用途補助金,例如供進行知識轉移活動的補助金及卓越學科領域計劃補助金。

經常補助金額一經釐定,在有關三年期內不會更改,除非指示性學費水平有變,又或者政府推出新措施或調整公務員薪酬。由於公務員在2014年增薪(2014年4月1日起生效),2014/15學年的補助金亦相應增加約18.5億元。

### 2016/17至2018/19三年期學術發展規劃工作

教資會與資助院校一般每三年進行一次學術規劃及經常補助金評估。為確保珍貴的公帑資助學額能夠用得其所,惠及社會,我們有需要設立機制,不時重新分配學額,藉此鼓勵各院校定期檢討院校策略和學術優次,並在切合個別院校以至整個高等教育界的角色下,提升院校的國際競爭力。為此,教資會已根據政府訂下的規劃準則,開展2016/17至2018/19三年期的學術發展規劃工作。

學術發展規劃工作的過程互動及具透明度。我們已就這項工作諮詢各院校,在推出規劃工作的大原則,評審準則,規條和程序之前,考慮了院校的意見。院校均大致同意繼續採用「優配學額」機制調配第一年學額。與2012/13至2014/15三年期的做法一樣,嶺南大學及其他6所資助院校須分別預留4%及6%不受人力需求影響的第一年學額,讓教資會根據協定的準則進行評審,按院校學術發展建議書的優劣,集中處理並重新調配學額予各院校。餘下絕大部分的第一年學額(即全部第一年學士學位課程95.1%的學額),則不受影響。

We published the four broad evaluation criteria used to evaluate institutions' Academic Development Proposals as follows:

1. Strategy, Mission and Vision – The institution has effective strategy in enabling it to advance its mission, vision and agreed role, with respect to enhancing its competitiveness in Hong Kong and internationally, collaboration within and outside the UGC sector, capacity building in mission-critical areas such as internationalisation and knowledge transfer, the opportunities arising from the "3+3+4" new academic structure, development of the self-financing sector, and incorporation of the outcomes of the QAC audits and experience in preparing for the RAE 2014 into future strategic planning.

2. Teaching & Learning – The institution provides teaching and learning opportunities, in both taught and research programmes, which are effective in enabling students to achieve intended learning outcomes, attest to their personal and intellectual development, and prepare for their future careers.

3. Academic Programme Design – The institution has effective processes to design and restructure its academic portfolio (including both publicly-funded and self-financing programmes) in line with its mission and agreed role.

4. Addressing the Needs of Society in General – The institution is eduction provision is effective in meeting the wider needs of society and in preparing students both for their careers and to become engaged citizens.

The Academic Development Proposals Group under the UGC undertook a rigorous process to evaluate the institutions' ADPs against the above criteria and met with institutions face-to-face in May 2015 to exchange views on the ADPs. We informed the institutions of UGC's advice on their ADPs in June 2015. The UGC plans to submit its funding recommendations for the new triennium to the Government in the third quarter of 2015.

我們公布了四項總體準則,以評審院校提交的學術發展建議書,詳情如下:

1. 策略、使命及願景－院校是否具有效的策略推展其使命和願景,以及發揮議定角色,特別是有關下列的工作範疇:提升院校在香港及國際上的競爭力;加強教資界別內外的協作;鞏固與使命有關的重要範疇(例如在國際化及知識轉移方面);把握「3+3+4」新學制帶來的機遇;發展自資界別;綜合質保局質素核證的結果,以及總結2014年研究評審工作的前期經驗,以訂定未來的策略計劃。

2. 教與學－院校能否提供有效的教與學機會(包括在修課及研究課程內),培育學生取得預期的學習成果、彰顯學生個人和知識發展,以及為學生日後就業作準備。

3. 學術課程設計－院校是否有有效的程序,設計和重整學術課程組合(包括公帑資助及自資課程),以配合其使命和議定角色。

4. 切合社會整體需要－院校能否提供有效及切合社會的整體需要的教育,為學生就業作準備,並培育他們成為關心社會的公民。

教資會轄下的學術發展規劃小組按上述評審準則,嚴格評核學術發展建議書,並於2015年5月與院校會面,交流對學術發展建議書的意見。我們於2015年6月告知院校有關教資會對其學術發展建議書的意見。教資會計劃在2015年第三季向政府提交新一個三年期的撥款建議。

## Diagrammatic Illustration of UGC Recurrent Grant Cycle
## 教資會經常補助金周期圖解

**START LETTERS**
**啟動籌劃信件**
Broad policy guidelines and student targets
from UGC to institutions
教資會向院校提供宏觀政策指引
及學生人數指標

**ACADEMIC DEVELOPMENT PROPOSALS**
**學術發展建議書**
Uncosted proposals on academic development
from institutions to UGC
院校向教資會提交未計算費用的
學術發展建議

**ALLOCATION LETTERS**
**撥款信件**
Institutions informed of the
grants approved and advice on
developments
告知院校批核的補助金額及
對院校發展的意見

**DISCUSSIONS**
**討論**
Formal UGC meeting and
discussions with institutions on
ADPs
教資會舉行正式會議及
與院校討論學術發展建議

**GOVERNMENT APPROVAL**
**政府批核**
Approval from government and voting
of funds by the Legislative Council
政府予以批核，
並由立法會批出撥款

**ADVISORY LETTERS**
**提示信件**
UGC comments on ADPs and
advises the institutions
教資會就學術發展建議
向院校提供意見

**GRANT RECOMMENDATIONS**
**補助金建議**
UGC triennial grant
recommendations to
Government
教資會向政府提交
三年期補助金建議

**GRANT ASSESSMENT**
**評估補助金**
Assessment exercise and
grant calculations by UGC
教資會評估費用預算和
計算補助金額

**TRIENNIAL RECURRENT GRANT ESTIMATES**
**三年期經常補助金估算**
Cost estimates on the approved
ADPs from institution
院校就經核准的學術發展
建議提交費用預算

## 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 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 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.

## 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.

## 財務報告及監察

教資會資助院校是獨立自主的法定組織，受各自的條例規管。院校在設計課程、甄選學生、招聘員工及內部調配資金方面，均享有自主權。為了讓院校在財政方面享有高度自主權，教資會主要以整體補助金形式資助院校。整體補助金以整筆撥款方式，為院校提供資助期間（通常為三年期）所需的資源。教資會並無規定院校應如何運用該筆款項，惟整體補助金必須用於「教資會可資助活動」所涵蓋的範圍，同時院校須按照核准學生人數指標提供學額。整體補助金的確實金額須於有關三年資助期開始前，經立法會批准。此後，院校全權決定如何善用該筆款項。

## 院校須交代未動用的公帑

教資會尊重院校分配和管理內部資金的自主權，同時依循有關問責性及透明度的方針，確保撥予院校的公帑用得其所、合乎效益。院校可備存部分經常補助金，以作為應付日後新發展需要的一般儲備金。儲備金上限為該三年期獲批經常補助金總額（不包括指定用途補助金）的20%。超逾該上限的款項須退還教資會。經常補助金的使用規則及規例，同樣適用於一般儲備金。至於指定用途補助金，在財政年度或核准資助期結束後如有餘款，須悉數退還教資會。

## 院校須定期向教資會提交財務報告

院校會在每個財政年度完結後向教資會提交年度報表，匯報各項撥款的使用情況。此外，各院校校長每年亦會向教資會呈交一份責任證明書，確認經教資會批撥的公帑按照院校與教資會議定的規則和指引使用。

## 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 of Institutions

From time to time, the UGC may undertake review of 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. The Group completed its review and published a Report in October 2013, offering recommendations in cost allocation practices and financial transparency in institutions with a view to providing more assurance to the public that the use and application of public funds is appropriate. While new arrangements on disclosures were rolled out in 2014, the UGC will continue to work with the institutions on the implementation of the other recommendations.

## 教資會資源不可補貼非教資會資助活動

教資會向資助院校提供經常補助金,以支持院校在核准的教資會資助活動範圍內,舉辦學術和相關活動。因此,教資會的資源不能用於補貼非教資會資助活動(包括但不限於自資活動)。為免變相津貼非教資會資助活動(包括其他政府部門／機構資助的項目及院校轄下自負盈虧的附屬或聯營機構所辦的項目／課程),院校應對該些活動收取間接費用。

## 院校的財務狀況須按專業會計準則記錄並經外聘核數師審核

院校須按照香港會計師公會頒布的《香港財務報告準則》,另參考教資會根據建議會計準則而訂定的指引(如適用),妥善保存會計記錄。院校每年亦須自行外聘核數師,按審計行業普遍採用的審核準則,審核財務報表及年度報表。為確保公帑運用得宜,院校亦須接受審計署署長審核。

## 院校財務事宜

教資會會審視資助院校的財務狀況,不時就教資會界別的特定財務事宜向院校查詢。教資會於2011年1月設立由專業人士組成的財務工作小組,通過與院校合作,協助院校維持良好的財務管治及作出穩健的財務規劃。工作小組完成檢視工作後,於2013年10月發表報告,就院校的成本分攤方法及財政透明度提出建議,以期更充分地向公眾保證,公帑會得到妥善使用和運用。有關資料披露的新安排已於2014年實行;教資會會繼續與院校合作,落實其他有關建議。

## Capital Grants

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:
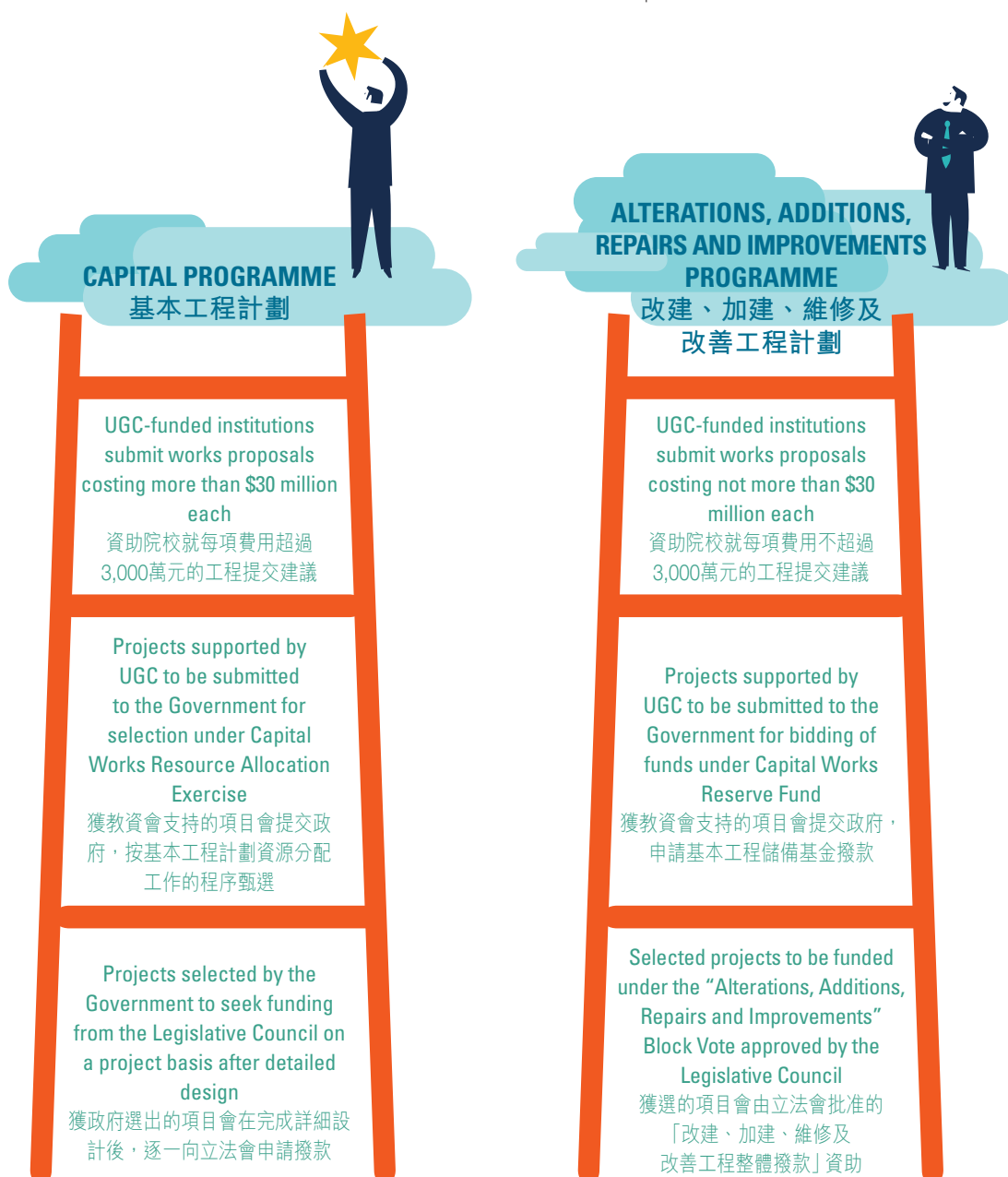
## 非經常補助金

教資會以非經常補助金的形式，資助院校為教資會核准活動進行的基本工程項目。院校每年透過「基本工程計劃」和「改建、加建、維修及改善工程計劃」，向政府申請非經常補助金進行工程項目。上述兩項計劃的流程圖如下：

### CAPITAL PROGRAMME
### 基本工程計劃

UGC-funded institutions submit works proposals costing more than $30 million each
資助院校就每項費用超過3,000萬元的工程提交建議

Projects supported by UGC to be submitted to the Government for selection under Capital Works Resource Allocation Exercise
獲教資會支持的項目會提交政府，按基本工程計劃資源分配工作的程序甄選

Projects selected by the Government to seek funding from the Legislative Council on a project basis after detailed design
獲政府選出的項目會在完成詳細設計後，逐一向立法會申請撥款

### ALTERATIONS, ADDITIONS, REPAIRS AND IMPROVEMENTS PROGRAMME
### 改建、加建、維修及改善工程計劃

UGC-funded institutions submit works proposals costing not more than $30 million each
資助院校就每項費用不超過3,000萬元的工程提交建議

Projects supported by UGC to be submitted to the Government for bidding of funds under Capital Works Reserve Fund
獲教資會支持的項目會提交政府，申請基本工程儲備基金撥款

Selected projects to be funded under the "Alterations, Additions, Repairs and Improvements" Block Vote approved by the Legislative Council
獲選的項目會由立法會批准的「改建、加建、維修及改善工程整體撥款」資助

In 2014-15, there were 19 ongoing capital works projects under the Capital Programme with a total estimated project cost of about $10.8 billion. The building and building service works of most projects have already been completed. The expenditure on these projects in 2014-15 was some $452 million. The spending in 2015-16 is anticipated to be decreased to about $283 million.

In 2014-15, the UGC supported a total of 38 new Alterations, Additions, Repairs and Improvements projects submitted by institutions with a total estimated cost (to be spread over up to three years) of some $836 million. To meet the expenditure of the ongoing and newly approved projects in 2014-15, a total of $600 million was allocated to institutions. The allocation will be increased to about $616 million in 2015-16.

在2014-15年度，基本工程計劃下有19項基本工程項目正在進行，估計工程費用總額約為108億元。大部分項目的建築及裝備工程均已完竣。該些工程計劃在2014-15年度的開支約為4.52億元，2015-16年度的開支預計會減至約2.83億元。

在2014-15年度，教資會支持總數38項由院校新提交的改建、加建、維修及改善工程項目，估計工程費用（最長在三年內撥付）合共約8.36億元。為應付進行中和新核准工程項目在2014-15年度的開支，教資會已向各院校合共撥款6億元。2015-16年度的撥款會增至6.16億元。



Spatial reorganisation of
Chung Chi Tang, CUHK
香港中文大學眾志堂空間改善工程



Reorganisation of space at
Hung Hing Ying Building, HKU
香港大學孔慶熒樓重整工程



Research and Academic Building, HKUST
香港科技大學科研與教學大樓

Replacement of existing chiller plant in Phase 5 Building, PolyU
香港理工大學更換五期製冷機組工程



Baptist University Road Campus Development (Entrance Plaza), HKBU
香港浸會大學浸會大學道校園發展（入口廣場）



Weather protection cover on G/F at Areas Adjacent to the Central Plaza, HKIEd
香港教育學院中央廣場兩側及通道有蓋空間加建工程



Construction of Footbridge linking the Patrick Lee Wan Keung Academic Building and Indoor Sports Complex to the existing Public Footbridge, LU
嶺南大學建設行人天橋連接李運強教學樓及現有公眾行人天橋工程



Enhancement of barrier-free facilities on campus, CityU
香港城市大學無障設施改善工程

## 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.

## 財務報告及監察

非經常補助金來自基本工程儲備基金,是政府基本工程計劃的一部分。院校在處理由非經常補助金資助的工程項目時,會遵循基本工程計劃有關開立及管理工程項目的程序。院校須就非經常補助金資助的項目承擔全部責任並作出交代,嚴格確保工程開支不會超逾核准工程範圍內的核准工程預算,即不得超出立法會就費用逾3,000萬元的基本工程項目所核准的工程範圍,或教資會就費用不超逾3,000萬元的改建、加建、維修及改善工程項目所核准的工程範圍。

院校已制訂合適的成本監控機制,管理公帑的使用,以確保工程項目既合乎經濟原則,亦具效率與成效。院校尤應參考適用於公共基本工程的最新政府規則及規例,制訂適當的採購程序。

教資會按月向院校發放工程項目的核准撥款,而院校須按月提交財務狀況報表,以及按季提交工程進度報告。工程項目完成後,院校須向教資會提交經核證的決算帳目,並把結餘或未核准的開支款項退還政府。基本工程項目的決算帳目,須經院校的外聘核數師獨立核證。

# HONG KONG INSTITUTE OF EDUCATION'S APPLICATION FOR UNIVERSITY TITLE

# 香港教育學院申請獲授大學名銜

At the invitation of the Government, the UGC set up a review group in September 2014 to examine the application for university title submitted by the Hong Kong Institute of Education (HKIEd) in July 2014. The Review Group is tasked to assess HKIEd's application in accordance with the terms of reference provided by the Government. Membership of the Review Group comprises both overseas academics and local educators/community leaders who are conversant with university management and experienced in teaching and research assessment, as well as familiar with the higher education sector in Hong Kong.

The Review Group adopts an evidence-based approach, consider all essential issues from multiple perspectives, conducts the review with an open mind and maintains a close dialogue with HKIEd, the Government and other stakeholders throughout the process.

The Review Group plans to submit a report to the UGC for consideration by the third quarter of 2015.

應政府的邀請,教資會於2014年9月成立檢討小組,研究香港教育學院(教院)於2014年7月向政府提交要求獲授大學名銜的申請。檢討小組的工作是根據政府訂定的職權範圍,評估教院的申請。檢討小組成員包括海外學者及本地教育家／社區領袖,他們熟悉大學管理工作,在教學與研究的評審方面富有經驗,而且了解本地高等教育界的情況。

檢討小組採用實證為本的探究方式,從不同角度考慮所有相關事宜,在整個檢討過程持開放態度,並與教院、政府及其他持份者保持緊密聯繫。

檢討小組計劃於2015年第三季將報告提交予教資會考慮。

# COMMUNICATIONS/INTERFACE WITH STAKEHOLDERS

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 our stakeholders on sector-wide issues, including resource allocation and strategic development. Effective communication with stakeholders brings transparency and accountability.

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:

## Institutional Management

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. From May 2014 to January 2015, UGC held a number of discussion forums and follow-up sessions for the Heads of institutions, UGC and Members of the Task Force for the Organisation of Discussion Forums to collectively discuss a number of important issues pertaining to the development and future of higher education in Hong Kong. The first discussion forum on research was held in May 2014, followed by the second discussion forum on teaching and learning and the third discussion forum on funding in September 2014 and January 2015 respectively. Follow-up sessions to the discussion on research and teaching and learning have been held to further explore interesting ideas that came up at the respective discussion forums.

The Chairman, UGC conducted 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

# 與持份者的溝通／接觸

教資會重視與持份者增進溝通,藉此讓他們確切明白教資會的職能和運作,同時讓教資會了解持份者對教資會的決定和政策的看法。高等教育界有不同持份者,包括院校管理層、教職員和學生、政府、立法會、傳媒及市民大眾。教資會一直就涉及整個界別的議題,包括資源分配和策略性發展,與相關持份者緊密合作。有效溝通能提高透明度,並加強向持份者問責。

教資會的傳訊小組專責處理與教資會及教資會資助界別相關的一切公關及宣傳事宜,目的是促進了解,加強溝通。與不同持份者保持良好溝通,往往要依循不同途徑。傳訊小組會繼續制訂計劃,透過一系列活動,促進與以下持份者的關係:

## 院校管理層

教資會與院校緊密合作,定期及就特定議題與八所資助院校的校董會主席、校長及副校長舉行正式或非正式會議,環繞共同關心的議題交換意見。教資會在2014年5月及2015年1月期間,舉辦了數個論壇及相關後續會議,讓院校校長、教資會與轄下專題討論工作小組成員一同探討多個關乎香港高等教育發展及未來的重要議題。第一次論壇以研究為題,於2014年5月舉行。第二次及第三次論壇分別聚焦教與學及撥款,先後於2014年9月及2015年1月舉行,隨後更分別有後續會議,進一步探討源自論壇、值得深思的構思。

此外,教資會主席於2013年3月至2014年12月進行第二輪院校巡迴訪問,與八所院校的學院院長、系主任及

from March 2013 to December 2014. At the visits, he briefed them on the aspirations and operations of the UGC and exchange thoughts with them on issues related to the higher education sector.

前線教學人員會面。主席在訪問中向院校闡述教資會的抱負和運作，並就關乎高等教育界的議題與院校交換意見。



The second discussion forum on Teaching and Learning is held at the PolyU in September 2014.
有關教與學的第二個論壇於2014年9月在理大舉行。



The third discussion forum on Funding is held at the Asia Society Hong Kong Centre in January 2015.
有關院校撥款的第三個論壇於2015年1月在亞洲協會香港中心舉行。

## Students

Students are the key stakeholders of the UGC. Thus their views are 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. UGC Members as a group visited HKBU in May 2014, CityU in September 2014 and PolyU in May 2015. During the visits, Members exchanged views with student representatives on a wide 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.

## 學生

學生為教資會重要的持份者，因此教資會十分重視學生的意見。教資會委員定期到八所院校進行訪問，當中一個重要環節是與學生見面。委員分別於2014年5月、2014年9月及2015年5月到訪浸大、城大及理大。訪問活動期間，委員與學生代表就多項雙方關注的議題交換意見。會面不設議程，讓雙方在輕鬆融洽的氣氛中積極討論，坦誠交流。



HKBU in May 2014　浸大，2014年5月



CityU in September 2014　城大，2014年9月

PolyU in May 2015    理大，2015年5月

UGC Members visit HKBU, CityU and PolyU and meet their students.
教資會委員訪問浸大、城大及理大，並與學生會面。

## 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 January 2015 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.

## 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 detailed biographies of UGC members.

## 立法會議員

教資會重視與立法會合作的機會，樂於向議員闡述其工作。教資會主席於2015年1月與立法會教育事務委員會的委員非正式會面，聽取他們對高等教育不同方面的意見。此外，教資會會視乎情況派員出席立法會會議，向議員講解教資會的工作。

## 市民大眾

市民對公共機構的要求日益提高，期望訴求盡早得到回應，教資會正好借互聯網之便，適時快捷地收集和發放資訊。教資會網站介紹教資會職能、成員組合、工作及最新動向，另設「常見問題」專欄，並提供教資會委員簡歷。

Starting from 12 July 2013, the UGC launched the revamped statistics page which seeks to provide the public with convenient access to statistical data on UGC-funded institutions. These initiatives have facilitated better understanding of the UGC structure and policies by the readers.

At the same time, the UGC also holds briefings with the media after UGC meeting as necessary, 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.

由2013年7月12日起，教資會推出經革新的統計數據網頁，讓市民以便捷的方式查閱資助院校的各種統計資料。新功能有助市民更深入了解教資會的架構和政策。

教資會會在教資會會議後按需要舉行傳媒簡報會，由教資會主席向傳媒扼述教資會的審議事項及最新決策。對傳媒提出的查詢，教資會會盡力一一回應。



UGC media briefing in January 2015.
教資會於2015年1月舉行傳媒簡報會。

The UGC is committed to openness, transparency and accountability in promoting excellence in Hong Kong's higher education sector. To achieve this goal, we will continue to explore more effective and innovative ways to communicate with our various stakeholders, and continually seek ways to foster better understanding and engagement with the community.

教資會一向恪守開放、透明及問責的原則，推動香港高等教育界更臻完善。為此，我們將繼續探求更有效、更創新的方式，與持份者保持緊密聯繫，讓公眾更深入了解並積極參與教資會的工作。

**Dr Richard Armour, JP**
*Secretary-General*
University Grants Committee

大學教育資助委員會
*秘書長*
**安禮治博士, JP**