

# ANNEXES

## 附錄



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### Annex I: Terms of Reference of the UGC, its Councils and Sub-Committees/Groups

#### University Grants Committee (UGC)

The UGC is appointed by the Chief Executive of the HKSAR with the following terms of reference:

- a. To keep under review in the light of the community's needs:
  - (i) *the facilities in Hong Kong for education in universities and such other institutions as may from time to time be designated by the Chief Executive of the HKSAR;*
  - (ii) *such plans for development of such institutions as may be required from time to time;*
  - (iii) *the financial needs of education in such institutions; and*
- b. To advise the Government:
  - (i) *on the application of such funds as may be approved by the Legislature for education in such institutions; and*
  - (ii) *on such aspects of higher education which the Chief Executive of the HKSAR may from time to time refer to the Committee.*

#### Research Grants Council (RGC)

- a. To advise the SAR Government, through the UGC, on the needs of the institutions of higher education in Hong Kong in the field of academic research, including the identification of priority areas, in order that a research base adequate for the maintenance of academic vigour and pertinent to the needs of Hong Kong may be developed; and
- b. To invite and receive, through the institutions of higher education, applications for research grants from academic staff and for the award of studentships and post-doctoral fellowships; to approve awards and other disbursements from funds made available by the SAR Government through the UGC for research; to monitor the implementation of such grants and to report at least annually to the SAR Government through the UGC.

### 附錄一：教資會及其轄下委員會／小組的職權範圍

#### 大學教育資助委員會（教資會）

教資會由香港特別行政區行政長官委任，職權範圍如下：

- a. 按社會的需要，檢視下列事項：
  - (i) 香港各所大學及行政長官指定的其他院校的教育設施；
  - (ii) 各院校的發展計劃；
  - (iii) 各院校所需的教育經費；以及
- b. 就下列事項向政府提供意見：
  - (i) 如何在各院校運用獲立法機關批核作教育用途的撥款；以及
  - (ii) 行政長官向教資會提出的各項高等教育事宜。

#### 研究資助局（研資局）

研資局的職權範圍如下：

- a. 透過教資會，向香港特別行政區政府建議香港高等教育機構在學術研究上的需要，包括鑑定優先範圍，以發展一個足以維持學術蓬勃發展和合乎香港需要的學術研究基礎；以及
- b. 透過高等教育機構，邀請和接受學術人士申請研究資助及各類研究生申請獎學金；將香港特別行政區政府透過教資會提供的經費撥作研究資助和其他有關支出之用。此外，並負責監管這些撥款的運用，以及最少每年一次透過教資會向香港特別行政區政府報告。



### Quality Assurance Council (QAC)

- a. To advise the UGC on quality assurance matters in the higher education sector in Hong Kong and other related matters as requested by the Committee;
- b. To conduct audits and other reviews as requested by the UGC, and report on the quality assurance mechanisms and quality of the offerings of universities;
- c. To promote quality assurance in the higher education sector in Hong Kong; and
- d. To facilitate the development and dissemination of good practices in quality assurance in higher education.

### General Affairs and Management Sub-Committee

- To advise on and improve the UGC management information and statistical systems to meet the strategic, policy and monitoring needs of the UGC;
- To consider matters related to space and accommodation requirements of UGC-funded universities, including capital and other works projects;
- To consider ad hoc proposals requiring funding and monitor progress;
- To advise the UGC on all matters relating to public relations and publicity in respect of the activities of the UGC and the UGC-funded sector; and
- To foster understanding and communication between the UGC and the community in general, and the relevant professions/sectors in particular.

### Research Group

- To advise the UGC on the strategy to promote research within the UGC sector; how it should formulate a strategy in allocating publicly-funded research postgraduate places; and the balance between teaching and research within the UGC-funded institutions and of the whole sector in general.

### 質素保證局（質保局）

質保局的職權範圍如下：

- a. 就香港高等教育界的質素保證事宜及應教資會要求就其他相關事項向教資會提供意見；
- b. 應教資會要求就院校的質素保證機制及課程質素進行檢視和核證，並就此作出報告；
- c. 在香港高等教育界促進質素保證工作；以及
- d. 在高等教育範疇，協助發展及推廣質素保證的良好實踐方法。

### 一般事務及管理小組委員會

- 就教資會的管理資訊系統和統計系統，提供意見，並作出改善，以應付教資會在策略上、政策上和監察方面的需要；
- 研究有關教資會資助院校校園空間及校舍需求的事宜，包括基本工程和其他工程項目；
- 審議須撥款推行的特別建議，並監察這些建議的推行進度；
- 就教資會及該會資助界別的活動的公關及宣傳事宜向該會提供意見；以及
- 促進教資會與社會大眾（特別是與相關專業／界別）的了解及溝通。

### 研究小組

- 就教資會界別內推動研究工作的策略，如何釐定策略以分配公帑資助的研究課程研究生學額，以及如何令教資會資助院校以至整個教資會界別在教學及研究工作取得平衡等事宜，向教資會作出建議。

### Research Assessment Exercise Group

- To take forward the Research Assessment Exercise (RAE) planned for 2020, and, through the Research Group (RG), advise the UGC on non-funding matters relating to the RAE.
- To oversee the implementation and provide guidance on the management and operation of the RAE 2020.
- To report the RAE results to the RG and UGC.

### Task Force on the Review of the Research Grants Council (RGC) (Phase I)

- To oversee the implementation of Phase I of the RGC Review;
- To report progress and findings of the study to the Research Group and the UGC; and
- To submit comments and recommendations on findings to the Research Group and the UGC.

### Strategy Sub-Committee

- To advise on emerging policy issues and directions pertaining to the development of the local higher education sector and system-wide policy development and strategic planning.
- To consider matters related to institutional and academic development of UGC-funded institutions.
- To devise methodologies to assess the funding requirements of UGC-funded institutions, and measures to assess quality and encourage enhancement within the UGC-funded institutions.

### Task Force on Implementation of the Governance Report Recommendations

- To provide guidance and assistance to institutions on the implementation of the recommendations of the "Governance in UGC-funded Higher Education Institutions in Hong Kong" report (the Governance Report) by institutions;
- To monitor progress on the implementation of the recommendations of the Governance Report;

### 研究評審工作小組

- 推行擬於2020年進行的研究評審工作，並通過研究小組，就撥款以外的研究評審工作事宜，向教資會提供意見。小組會考慮教資會議定的研究評審工作目標、原則及框架；以及視乎需要，就研究策略及研究政策的事宜，向研究小組尋求指引；
- 監察2020年研究評審工作的執行，並就諮詢、提交項目和進行評審的指引及程序、設立評審小組和開發研究評審工作電子系統等管理和運作事宜，提供引導；以及
- 向研究小組及教資會匯報研究評審工作的結果。

### 研究資助局檢討（第一階段）專責小組

- 監察第一階段研資局檢討的推行；
- 向研究小組及教資會匯報檢討的進度及結果；以及
- 就檢討結果向研究小組及教資會提交意見及建議。

### 策略小組委員會

- 就本地高等教育界發展政策及路向，以及整個高等教育體制的政策制訂與策略規劃事宜，向教資會提供意見；
- 研究教資會資助院校的體制和教務發展有關的事宜；以及
- 制訂用以評估教資會資助院校撥款需求的方法，以及制訂質素評核的措施，並鼓勵教資會資助院校自我提升學術水平。

### 落實管治報告建議工作小組

- 指導及協助院校落實《香港教資會資助高等教育院校的管治》報告（「管治報告」）的建議；
- 監督落實管治報告建議的進度；



- To advise the Strategy Sub-Committee on matters relating to the implementation of the recommendations of the Governance Report;
- advise the UGC on the planning exercise of the 2019-22 triennium; and
- where necessary, to engage external professional services/experts to support the work.

#### Financial Affairs Group

- To oversee the implementation of the recommendations in the Financial Affairs Working Group ("FAWG") Report;
- To advise UGC on the implementation of the recommendations in the FAWG Report;
- To advise UGC on the appropriate mechanism by which the cost allocation practices of the institutions can be periodically reviewed and endorsed;
- To consider and endorse Financial Affairs Expert Working Group ("FAEWG")'s proposals necessary for the implementation of the recommendations in the FAWG Report;
- To advise UGC on any issues relating to the good financial governance and sound financial planning of the UGC-funded institutions; and
- Where necessary, to engage external professional services to support the work.

#### Financial Affairs Expert Working Group

- To work with UGC-funded institutions on the implementation of recommendations in respect of cost allocation and financial transparency in the Financial Affairs Working Group ("FAWG") Report;
- To review the cost allocation recommendations with a view to establishing detailed guidance for institutions;
- To explore the possibility of introducing the Transparent Approach to Costing and full Economic Costing guidelines;
- To advise Financial Affairs Group ("FAG") on drawing up and updating related guidelines, and any financial matters in connection with the implementation of recommendations in the FAWG Report; and
- Where necessary, to engage external professional services to support the work.

- 就落實管治報告建議的事宜向策略小組委員會提供意見；
- 就2019-22三年期規劃工作向教資會提供意見；及
- 如有需要，僱用專業服務／專家以履行工作。

#### 財務小組

- 監察財務工作小組報告中建議的執行情況；
- 就財務工作小組報告中建議的執行情況向教資會提供意見；
- 就定期檢視及確認院校成本分攤方法的合適機制向教資會提供意見；
- 審議及確認財務專家工作小組就執行財務工作小組報告中建議所作出的提議；
- 就任何有關教資會資助院校於良好財務管治和穩健財務規劃方面的事宜向教資會提供意見；以及
- 如有需要，僱用專業服務，以履行工作。

#### 財務專家工作小組

- 與教資會資助院校合作執行財務工作小組報告中有關改善成本分攤方法及財政透明度的建議；
- 檢視成本分攤的建議，以期為院校制訂具體指引；
- 研究引入「透明為本計算成本法」及「全部經濟成本法」作為指引的可能性；
- 就制定及更新相關指引，及有關執行財務工作小組報告中建議的任何財務事宜向財務小組提供意見；以及
- 如有需要，僱用專業服務，以履行工作。