

Foreword from
the Chairman
主席序言



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This is my fourth year as the Chairman of the University Grants Committee (UGC). 2018–19 has been another busy yet fruitful year for the UGC. Since 2018, the external environment has become unstable and the trade conflict between China and the United States has yet to be resolved. Facing challenges on many fronts, it is of utmost importance that our universities should continue to stay focused in nurturing talent to help Hong Kong sustain its international competitiveness and continued development. The UGC is encouraged that the Central and Hong Kong Governments have set clear objectives of boosting research and development (R&D) as well as positioning Hong Kong as an innovation and technology (I&T) hub. I believe that with the strong research capacity of our universities, the UGC-funded sector is very well-positioned to help Hong Kong seize the enormous opportunities created by favourable government policies and funding support.

It is my pleasure to present to you the Annual Report 2018–19 with highlights on UGC's work.

Being an Influential Advisor by Effective Engagement

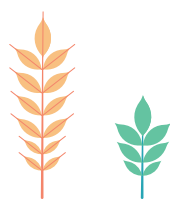
After extensive discussions on UGC's role and priorities in the past two years, UGC Members have reaffirmed that the effectiveness of UGC would hinge on whether we could be an influential advisor to our stakeholders. I believe that we could only do so by effective engagement and regular consultation with universities and other stakeholders. The UGC has launched a number of policies and process reviews and moved forward with the implementation of new initiatives in close partnership with the institutions in our sector.

今年是我出任大學教育資助委員會（教資會）主席的第四年。2018–19 年對教資會來說，又是忙碌而有意義的一年。自 2018 年以來，外在環境變得不穩定，中美貿易衝突至今仍未解決。面對各方挑戰，首要的是，我們的大學應繼續專注培育人才，協助香港維持國際競爭力和持續發展。對於中央和香港政府設下明確的目標，促進研究發展及將香港定位為創新科技中心，教資會感到十分鼓舞。我相信，憑藉我們大學的優良研究能力，教資會資助界別具備有利條件，協助香港捉緊由政府的利好政策和資金支持所帶來的巨大機遇。

我欣然在此向大家介紹 2018–19 年度報告，並重點介紹教資會的工作。

有效溝通以成為具影響力的顧問

在過去兩年深入討論教資會的角色和工作優次後，教資會成員再次確定，教資會的成效取決於教資會可否成為對持份者有影響力的顧問。我認為要做到這一點，我們必須與大學和其他持份者有效溝通和定期諮詢。教資會已推行多項政策及程序檢討，並與院校緊密合作，推行新措施。



2019-22 Triennium Planning Exercise and Signing of the University Accountability Agreements

The University Accountability Agreement (UAA) was established with the earnest support of the UGC sector to assure the public that our universities are accountable and are committed to continuous improvement. The finalisation of the UAA was made much easier as a result of the ongoing and constructive dialogue between the universities and the UGC over a three-year period since 2016. I am very pleased with the signing of and the publication of the first UAA which illustrate the concerted efforts of both the UGC and the universities. Our common goal is to enhance accountability and transparency of the universities on their performances in educating our young and their efforts in driving continuous improvement. The UGC will closely work with the universities on improving the implementation of the UAA in light of future development and operational experience.

The 2019–22 Triennium Planning Exercise was the first triennial planning exercise conducted in alignment with the UAA by covering the entirety of the universities' activities and enabled more holistic forward planning by taking into account institutional performances and challenges, as well as the policy direction of the Government and Hong Kong's development.

With the positive responses from the universities and valuable contributions from the UGC Members, we have made the funding recommendations for the 2019–22 triennium to the Government in late 2018. The triennial recurrent funding of \$60.47 billion to the eight UGC-funded universities was approved by the Legislative Council (LegCo) in May 2019.

To better incorporate and reflect on the strategic priorities for the development of Hong Kong, we have also carried out a post implementation Review of the Planning Exercise. On the basis of feedback from the universities, some enhancement measures have been recommended to the existing planning process. We will continue to discuss with the Government on the detailed parameters and implementation of the proposed recommendations.

2019-22 三年期規劃工作和簽署大學問責協議

我們在教資會界別的大力支持下訂立了大學問責協議，旨在保證我們的大學向公眾問責，並致力精益求精。自 2016 年起，三年內教資會與各大學之間持續而建設性的對話，令商定協議的過程更見順暢。我很高興簽署並公布首份協議，展示了教資會及大學的共同努力，提升大學在培育青年人方面的問責性及透明度，並推動大學繼續精益求精。教資會將與各大學緊密合作，根據未來發展和運作經驗，檢視協議的推行情況。

2019–22 三年期規劃工作是第一次與大學問責協議一同涵蓋整體大學活動的三年期規劃工作，並考慮了大學的表現和所面對的挑戰，以及政府政策的方針和香港的發展，從而制定更全面的前瞻性規劃。

在得到大學的積極回應以及教資會成員的寶貴意見後，教資會於 2018 年年底向政府提出 2019–22 三年期的撥款建議。立法會於 2019 年 5 月通過提供合共 604.7 億元經常撥款予八所教資會資助大學。

為更好地考慮和反映香港發展的策略性優次，我們檢討了規劃工作。於整合大學的意見後，教資會已就規劃工作提出改善措施。我們會繼續與政府討論相關建議的細節及推行詳情。



Strengthening Research Capacity

Given the policy goal of developing Hong Kong as an I&T hub, the Government is committed to strengthening the research capacities of our universities. The Chief Executive has set a goal to double the Gross Domestic Expenditure on R&D as a percentage of the Gross Domestic Product from 0.73% to 1.5% by the end of the current Government's five-year term of office. The UGC sector has been very encouraged by the staunch support from the Central and Hong Kong Governments in this regard. The national-level support for the development of Hong Kong as an international I&T hub has been most heartening to the UGC and the universities.

Following the Government's full acceptance of the recommendations of the Review Report on Research Policy and Funding led by Prof Tsui Lap-chee and with Legislative Council's support and approval, the UGC has proceeded in full swing to take forward the recommendations, in particular the initiatives highlighted in the 2018 Policy Address, i.e. the \$20-billion injection to the Research Endowment Fund (REF) with more flexible deployment of the different "pots" of the REF, launching of a \$3-billion Research Matching Grant Scheme (RMGS) and the introduction of three new regular Research Grants Council (RGC) research fellowship schemes.

\$20-billion REF Injection and Rationalisation of REF Pots

The investment income generated from the \$20-billion injection to REF will substantially boost the REF disbursement budget for the purposes of (i) sustaining the level of research funding; (ii) increasing the funding for the General Research Fund, the Early Career Scheme and Equipment Grant; (iii) providing funding for the Research Impact Fund to render continued funding support for impactful research; and (iv) providing additional funding for the RGC's collaborative research funding schemes to encourage cross-institutional / cross-disciplinary collaborations. Furthermore, rationalising the use of different pots of endowment of the REF will ensure more effective and flexible deployment of funding. In anticipation of the injection to the REF, the RGC has decided to increase the budget of different research funding schemes by generally 10% for the 2019/20 academic year to meet the expectation of researchers. We will consider more interim measures to further boost research spending for the 2020/21 academic year before we receive the investment income from the new \$20-billion injection into the REF.

提升科研能力

鑑於發展香港為創新科技中心的政策目標，政府致力加強我們大學的研究能力。行政長官已定下目標，在本屆政府五年任期結束前把本地研發總開支相對本地生產總值的比率，每年由約 0.73% 倍升至 1.5%。中央政府和香港政府對此的堅定支持令教資會界別備受鼓舞。得到國家層面的支持，幫助香港發展成為國際創新科技中心，令教資會和大學十分振奮。

在政府全面接納徐立之教授領導的檢討研究政策及資助專責小組的建議及得到立法會的支持後，教資會一直全力推行相關建議，特別是 2018 年施政報告中強調的優先措施，即向研究基金注資 200 億元及更靈活運用研究基金內不同款項、推出 30 億元的研究配對補助金計劃，並新設三項恒常的研資局傑出學者計劃。

向研究基金注資 200 億元及理順研究基金內不同款項的運用限制

向研究基金注資 200 億元所得的投資收益將增大研究基金的撥款預算，支援以下研究用途：(一)維持研究撥款水平；(二)增加優配研究金、傑出青年學者計劃和設備補助金的撥款；(三)為研究影響基金提供撥款，以持續資助具影響力的研究；及(四)為研資局的協作研究撥款計劃提供額外撥款，以鼓勵跨院校／跨學科協作。再者，理順研究基金內不同款項的運用，有助更有效和彈性地調配資源。基於將有注資，研資局決定在 2019/20 學年先將各研究資助計劃的撥款預算提高 10%，以回應研究人員的期望。我們亦會在收取新注資 200 億元的投資回報前，考慮進一步推出中期措施，增加 2020/21 學年的研究經費。



Research Matching Grant Scheme

The RMGS aims to allow the sector to diversify research funding sources and incentivise more contribution from and collaboration with the private sector. Following the \$3-billion funding approval by the LegCo's Finance Committee, the novel RMGS is scheduled to commence from 1 August 2019 and to run for three years. As the scheme is designated for all research-related purposes with no restriction on any academic discipline, we believe that the scheme will encourage more private support for research projects with wider social relevance across the whole spectrum of research activities in the higher education sector.

Three New RGC Fellowship Schemes

Recurrent funding of \$190 million has been secured and the RGC will introduce the three new fellowship schemes in the 2019/20 academic year with debut call for nominations commencing from August / September 2019. The three new fellowship schemes, namely the RGC Postdoctoral Fellowship Scheme, the RGC Research Fellow Scheme and the RGC Senior Research Fellow Scheme, will be run on a regular basis thereafter. We hope that the new fellowship schemes will provide further support and recognition to our researchers and assist universities to attract and retain talent.

Research Grants Council Review Phase II

Phase I of the Review of the RGC was completed in 2017. The Phase II Review, commenced in 2018, focused on operational matters and also took into account relevant recommendations of the Task Force on Review of Research Policy and Funding led by Prof Tsui Lap-chee. From June to September 2018, our consultant conducted 19 interviews and focus group meetings. We collected and analysed over 5,000 written responses and comments from the stakeholders, including Heads of Universities / Institutions, front-line researchers, RGC council / committee / panel members, external reviewers, research postgraduate students and research administrators. Upon the publication of an interim report setting out observations and preliminary recommendations, we held a symposium in July 2019 for further exchange of views with front-line researchers. After collecting further comments from the stakeholders, we expect to publish the final report on the Phase II Review by October 2019. I look forward to the review

研究配對補助金計劃

研究配對補助金計劃旨在讓高等教育界的研究經費來源更趨多元化，及積極推動私營機構提供研發開支和捐款，並加強協作。隨着立法會財委會批准 30 億元的撥款後，此開創性的研究配對補助金計劃將於 2019 年 8 月推行，為期三年。由於此計劃特為所有研究相關目的而設，不限學科，我們相信高等教育界將能藉此獲得更充足的條件，以作卓越研究。

研資局三項全新傑出學者計劃

推展三項新計劃所需的每年約 1 億 9 千萬元經常開支獲批後，研資局將於 2019/20 學年推行此三項計劃，於 2019 年 8 月或 9 月開始接受首輪提名。三項計劃分別名為研資局博士後獎學金計劃、研資局研究學者計劃及研資局高級研究學者計劃，其後每年恒常由研資局推行。我們冀望推行三項新計劃後，能為本地研究界提供更有力的支援及認同，有助大學吸引和挽留研究人才。

研資局檢討第二階段

研資局檢討的第一階段已於 2017 年完成。第二階段檢討於 2018 年展開，主要檢討運作事宜，亦會考慮由徐立之教授領導的檢討研究政策及資助專責小組提出與研資局有關的建議。2018 年 6 月至 9 月期間，我們的顧問進行了 19 次面談和聚焦小組會議，並收集和分析超過 5,000 份持份者的書面回覆及意見，當中包括大學 / 院校校長、前線研究員、研資局及其委員會 / 小組的成員、外部評審員、研究生，以及研究行政人員。在載有觀察所得和初步建議的中期報告發表後，我們於 2019 年 7 月舉行了一個研討會，與前線研究員面對面交流。我們期望在收集持份者的進一步意見後，於 2019 年 10 月



outcome which will surely assist the RGC to further streamline its operation and enhance its efficiency and effectiveness in the allocation of competitive research funding.

Preparation of Research Assessment Exercise 2020

The Research Assessment Exercise (RAE) for UGC-funded universities is conducted to drive excellence and encourage world-class research. With reference to international benchmarks, the exercise provides useful information on Hong Kong higher education sector's areas of relative strengths and opportunities for development in research.

The preparation of the RAE 2020 is in good progress. We organised a three-day meeting cum open forum for setting the panel-specific guidelines on assessment criteria and working methods as well as a workshop on impact submissions to facilitate universities in the preparation of impact submissions. Response from the sector has been enthusiastic. With the useful views from academics and stakeholders, the four canonical documents for the RAE 2020: Framework, Guidance Notes, General Panel Guidelines and Panel-specific Guidelines on Assessment Criteria and Working Methods have been finalised. The UGC will continue to engage the universities in implementing the exercise.

I would like to highlight that RAE 2020 will be the first time when research impact is included as part of the assessment to encourage more researchers to develop projects with broader social relevance that can bring economic and social benefits to Hong Kong.

Review of Research Portion

To enhance the sustainability of the research in Hong Kong, UGC has established the Working Group on the Review of Research Portion in early 2019 to take forward a review of the "Research Portion" of the Block Grant. The first phase of the review will consider the purposes of funding, coverage of various drivers and their weighting in the calculation methodology, etc.

Our independent consultant met the Heads of Universities in mid-2019 for their initial views, and we are conducting

發表第二階段檢討最終報告。我期待檢討結果，有助研資局進一步簡化其運作，提升分配競逐性研究撥款工作的效率和成效。

研究評審工作 2020

為教資會資助大學推行研究評審工作，旨在推動學者追求卓越，並進行世界級研究。研究評審工作會採用國際基準作評估，以找出香港高等教育界在研究方面的相對優勢及可發展的機遇。

2020 年研究評審工作正按計劃推行。教資會舉辦了為期三天的會議暨公開論壇，以制定個別評審小組的評審標準及工作模式指引，又舉辦研究影響項目工作坊，以協助各大學籌劃提交研究影響項目。教資會界別對這些活動反應踴躍。參考了學者和持份者的寶貴意見，2020 年研究評審工作的四份主要文件：框架、指引、評審小組一般工作指引和個別小組評審標準及工作模式指引，均已經落實。教資會會繼續邀請各大學參與擬訂評審工作的推行細節。

我想指出，2020 年研究評審工作首次把研究影響納入評審，以鼓勵更多研究人員開展與社會相關的研究，從而為香港帶來經濟和社會效益。

研究用途撥款檢討

為加強香港研究工作的可持續發展，教資會於 2019 年初成立檢討研究用途撥款專責小組進行檢討工作。第一階段的檢討工作會檢視研究用途撥款的目的、計算機制中覆蓋的研究資助項目及個別項目的比重等。

我們的獨立顧問已於 2019 年中與大學校長的會面中收集他們的初步意見，教資會亦已經展開正式的諮詢工作，收集大學及前線研究人員



a formal consultation with the universities and frontline researchers and research / finance administrators. The first phase of the review is expected to complete by around mid-2020. Depending on the result of the review, we will further consider if a second phase review should be launched to address other more macro issues.

Teaching and Learning & Internationalisation

We value good teaching. The UGC recognises teaching excellence in the sector and has always encouraged and supported UGC-funded universities in striving for continuous improvement of the learning experiences for our students through various initiatives. We will continue to implement these initiatives including competitive funding to universities for teaching and learning projects to incentivise them in exploring and developing further in the sector-wide strategic areas of teaching and learning, language enhancement and internationalisation under the Funding Scheme for Teaching and Learning Related Proposals in the 2016–19 Triennium. Under the Funding Scheme, 38 projects with a total project cost of about \$256 million were supported. These funded projects are ongoing this year, with planned completion dates from mid-2019 to early 2021. Instead of launching another round of the competitive funding scheme, we will inject the relevant resources into the annual provision of the Teaching Development and Language Enhancement Grant (TDLEG) to UGC-funded universities. As a result, TDLEG provided to universities in the 2019–22 triennium will amount to \$781.2 million, an increase of \$268.4 million from the previous triennium. We would like to encourage the universities to focus on completing the funded projects and support their efforts in implementing the meaningful initiatives from the previous funding schemes while signaling our commitment to quality teaching and learning in the sector. The annual UGC Teaching Award continues to honour those who excel in teaching in the UGC sector. I am also pleased to announce that we are setting up a new network for UGC Teaching Fellows to widen and deepen the impact of the Teaching Award.

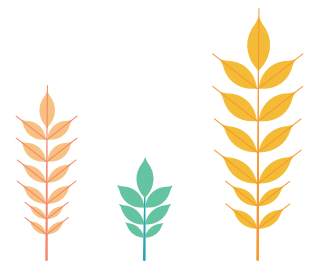
The Quality Assurance Council (QAC)'s sub-degree audit cycle is approaching completion, with the last audit visit in January 2019. To continue assuring that the quality of

和研究 / 財務管理人員的意見。第一階段的檢討工作預計於 2020 年中完成。根據檢討結果，教資會將考慮是否進行第二階段的檢討，以考慮其他宏觀事宜。

教與學及國際化

我們珍視優質的教學。教資會表揚界別內優秀的教學表現，亦通過各種措施鼓勵及支持教資會資助大學進一步改善學生的學習體驗。我們將繼續推行這些措施，例如透過 2016–19 三年期的教與學資助計劃，提供競逐性質撥款予大學推行教與學項目，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。在此資助計劃下，38 個項目獲撥款資助，項目總開支約為 2.56 億元。這些資助項目於本年度仍在進行中，預計在 2019 年年中至 2021 年年初完成。在 2019–22 三年期，我們不會推出另一輪競爭性撥款計劃，而是將相關資源注入向資助大學提供的教學發展及語文培訓補助金的年度撥款。因此，教資會向大學發放的教學發展及語文培訓補助金金額為 7.812 億元，比上一個三年期增加了 2.684 億元。我們希望讓大學專注完成受資助項目和繼續推行過往資助計劃下具意義的措施，並傳達教資會重視教與學的信息。每年舉辦的教資會傑出教學獎會繼續嘉許教資會界別中教學表現卓越的教師。我也很高興地宣布，我們現正籌備成立一個網絡，加強教資會傑出教學獎的影響力。

質素保證局（質保局）的副學位核證周期即將完結，並在 2019 年 1 月完成最後一所大學的核證訪問。我們已開始籌備第三輪質素核證周期，以繼續確保教資會資助大學的教育體驗質素維持在國際公認水平。



the educational experience in UGC-funded universities is sustained at an internationally recognized level, we have already commenced the preparation for the third audit cycle.

For the 2019–22 triennium, the UGC has launched a \$50-million funding scheme to support universities in widening their internationalisation endeavours and enhancing learning experience of all students, with the local undergraduate students as the primary beneficiaries. The funding scheme targets at student learning experience both in the local and non-local context, e.g. in the Greater Bay Area and Belt & Road regions. Adopting flexible funding requirements, I am glad that we have received many interesting and new proposals covering different elements, including student exchange activities and internships, integration of local and non-local students, service learning, student entrepreneurship and innovation activities, and STEM-related activities.

Further Support from the Government

The UGC believes that hostel experience will greatly benefit local students and also help attract non-local students to study in Hong Kong, creating more internationalised campuses. With the support from the Government, the \$10.3-billion Hostel Development Fund (HDF) was established in 2018. Capital grants to all universities concerned have been disbursed and construction works of four hostel projects under HDF have commenced already. The projected shortfall of some 13 500 student hostel places is expected to be fully met within ten years.

To enhance campus facilities, the Government further set aside \$16 billion for UGC-funded universities to enhance campus facilities, in particular the provision of additional facilities essential for R&D activities. I believe that the new resources will allow students and researchers to conduct teaching and research activities in an optimal environment.

The 8th round of Matching Grant Scheme (MGS) for the publicly-funded post-secondary education sector was launched in July 2019 to help institutions tap more funding sources and foster a philanthropic culture for the further improvement of the quality of higher education. The

在 2019–22 的三年期，教資會推出了一項五千萬的資助計劃，支持大學擴展國際化的工作，提升所有學生的學習經驗，並以本地本科生為主要受益人。資助計劃希望加強學生本地和非本地的學習經驗，例如在大灣區和一帶一路地區的學習經驗。計劃採用了彈性的資助要求，我很高興收到很多有趣和涉及不同範疇的新建議，包括學生交流及實習、本地和非本地學生融合、服務學習、學生創業和創新活動，以及 STEM 相關的活動。

政府的進一步支持

教資會認為宿舍經驗將大大有利於本地學生，亦有助吸引非本地學生到香港學習，創造更多國際化校園。在政府的支持下，103 億元的宿舍發展基金於 2018 年設立。政府已向所有有關大學發放補助金，宿舍發展基金下的四個宿舍項目工程亦已開展。預計可在十年內全數補足估算欠缺的約 13 500 個學生宿位。

為加強校園設施，政府進一步預留 160 億元，供教資會資助大學增強校園設施，尤其是添置必需的科研設備。我相信新預留的資源可讓學生和研究人員在最佳環境中進行教學和研究活動。

為公帑資助專上教育界別而設的第八輪配對補助金計劃已於 2019 年 7 月推出。第八輪計劃旨在協助院校開拓經費來源，促進捐獻文化，以及提升教育質素。今輪計劃總額為 25 億元，為期三年至 2022 年 6 月。我很高興從大學得知，新一輪配對補助金計劃為慷慨的捐贈者提供了新的動力，以支持大學的策略發展。



\$2.5-billion MGS will last for three years until June 2022. I am glad to learn from the universities that another round of MGS has provided renewed impetus to generous donors to support universities' strategic development.

Closing Remarks

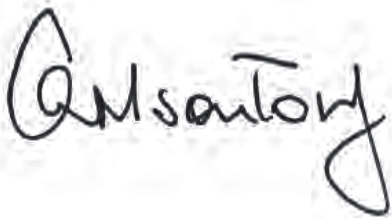
With the highlights of our current work, I trust we have demonstrated our commitment to continue our work in serving the community.

I would like to take this opportunity to thank all UGC Members and members of all the sub-committees and task forces as well as members of the RGC and QAC for their hard work and dedication to the Committee. I also appreciate the continued support of the Government, the university community, all our partners and friends, and the UGC Secretariat to the Committee. The UGC will continue to serve as a bridge between the Government and the universities for the interest of Hong Kong. As long as we can capitalise on our strengths and all of us working closely together, I am confident that the future of the sector and Hong Kong is bright.

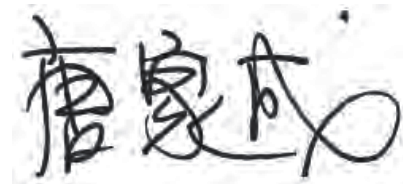
總結

我相信介紹了我們當前的重點工作後，已充分展示我們繼續服務社會的決心。

我想藉此機會感謝所有教資會成員，各小組委員會、工作小組、以及研資局和質保局成員的辛勤工作和奉獻。我也很感謝政府、大學界別，所有良朋好友和教資會秘書處一直支持教資會。為了香港，教資會將繼續擔當政府與大學之間的橋樑。只要我們能夠發揮所長，共同努力，我相信香港和高等教育界的未來一片光明！



Carlson Tong, GBS, JP
Chairman
July 2019



主席
唐家成, GBS, JP
2019年7月

