



Research 研究

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RESEARCH 研究

The UGC supports academic research activities through the allocation of the Block Grant, funding research postgraduate (RPg) places and competitive research funding schemes. Through financial incentives and promoting best practices among universities and with overseas counterparts, the UGC also encourages universities to strengthen and broaden their endeavours in transferring their research outputs into socio-economic benefits with wider impacts.

The UGC's Research Group (RG) has been tasked with advising on the strategy to promote excellence and review the assessment and funding methodology on research. The RG examines issues such as the distribution of research funding¹ and RPg student places so as to encourage research while keeping an appropriate balance with teaching, and the maintenance and promotion of role differentiation, as well as the best and most effective way of research resources allocation. Under the RG, the RAE Group is set up to oversee the planning and implementation of RAE and the Working Group on Open Access is established to steer the implementation of the Open Access Plan.

The RGC is a semi-autonomous advisory body on research matters operating under the aegis of UGC. It is responsible for administering various competitive research funding schemes. The funding of the research funding schemes of RGC mainly comes from the investment income of the Research Endowment Fund (REF). The RGC has also continued its efforts in taking the research results to the community by organising lectures and regularly share the research findings with the community in our publications.

教資會積極為學術研究提供各項支援，包括提供整體補助金、資助研究院研究課程學額，以及推行以競逐方式分配資源的研究資助計劃。此外，教資會給予大學額外撥款，鼓勵他們與本地其他院校及海外院校分享良好做法，藉此推動大學進一步加強及擴大其研究成果以轉化為實質的社會經濟效益，帶來更廣泛的影響，惠及社羣。

教資會成立的研究小組負責就推動卓越研究的策略提供意見，以及就研究評審和撥款方法進行檢討。研究小組積極探討不同議題，包括分配研究撥款¹及研究院研究課程學額，以鼓勵院校在加強研究工作的同時亦適當平衡教學的需要；維持及推動角色分工；以及制訂最佳和有效的方法分配研究資源等。研究小組下設立了研究評審工作小組，監督研究評審工作的規劃和執行工作；及開放取用工作小組，負責督導開放取用計畫的執行。

研資局是教資會轄下一個半獨立的研究事宜諮詢組織，負責管理多項競逐研究資助計劃。研資局各項研究資助計劃的經費主要來自「研究基金」的投資收益。研資局繼續向市民宣揚學者的研究成果，藉舉辦公眾講座和出版通訊，讓大眾瞭解學者的研究成果。

¹ The Research Portion (R-portion) of the UGC Block Grant is disbursed as infrastructure funding to enable universities to provide both the staffing and facilities necessary to carry out research, and to fund a certain level of research.

¹ 研究用途撥款是教資會發放予大學的基礎設施撥款，以聘請研究所需的職員、提供所需設施，以及資助一定程度的研究活動。

UGC Funding Support

A. Research Endowment Fund

The \$18 billion REF was established in February 2009. The Fund has been set up as a trust under the Permanent Secretary for Education Incorporated. With the \$5 billion, \$3 billion and \$20 billion Government injections in 2012, 2018 and 2019 respectively, the total amount has been increased to \$46 billion. Starting from the 2013/14 academic year, all research schemes under the RGC (with the exception of Hong Kong PhD Fellowship Scheme and the Areas of Excellence Scheme) have been funded by investment income from the REF.

► Research Matching Grant Scheme

The Research Matching Grant Scheme (RMGS), with a commitment of \$3 billion from the Government, aims to diversify research funding sources and incentivise more contribution and collaboration from the private sector. The RMGS began accepting applications from 1 August 2019 for an initial operation period of three years. As announced in the 2021 Policy Address, RMGS continues accepting applications until the \$3-billion provision is fully exhausted. Donations/funding from non-government/non-public sectors secured by an individual university/institution for designated research-related purposes, with no restriction on any academic discipline, are eligible for matching. Applications from eight UGC-funded universities and 13 local self-financing degree-awarding institutions are generally processed in cycles on a quarterly basis. Upon the completion of fourteen processing cycles (Q4 2022), applications covering private donations/research contracts of around \$4.72 billion have been received. The corresponding matching grant of around \$2.65 billion has been disbursed to the concerned universities/institutions. Two UGC-funded universities have already reached the matching "ceiling" (\$500 million), with five other UGC-funded universities and three self-financing degree-awarding institutions having reached the matching "floor" (\$50 million). The donation/sponsorship/research contract above the "floor" will be matched on a \$1 for \$2 matching basis.

教資會提供的資助

A. 研究基金

政府於2009年2月撥款180億元成立研究基金。研究基金以信託基金形式在教育局常任秘書長法團下成立。政府其後分別在2012年、2018年及2019年向研究基金注資50億元、30億元及200億元，令基金的總注資額增加至460億元。由2013/14學年起，研資局轄下所有研究計劃（香港博士研究生獎學金計劃及卓越學科領域計劃除外），已由研究基金的投資收入資助。

► 研究配對補助金計劃

研究配對補助金計劃獲政府提供30億元，為高等教育界開拓更多研究經費來源，並鼓勵私營機構加強在研發方面的財政支援及協作。原為期三年的計劃於2019年8月1日開始接受申請，2021年施政報告中宣布，計劃會繼續接受申請直至30億元的研究配對補助金用罄。大學/院校從私營機構及慈善家籌募的研發開支和捐款，不限學科，均可獲政府提供配對款項，作研究相關用途。由八所教資會資助大學及13所參與計劃的本地自資學位頒授院校遞交的申請，一般會以每個季度為一個申請期處理。截至2022年第四季（即第十四個申請期）結束，配對的申請已涉及共約47.2億元捐款/贊助/研究合約，而累積發放予相關大學/院校的配對補助金已達26.5億元。目前已有兩間大學獲發放5億元「預設上限」的配對補助金，另有五間大學及三間院校獲發放超過5,000萬元「最低款額」的配對補助金。當配對補助金超過「最低款額」後，大學/院校就每2元捐款/贊助/研究合約，可申請發放1元的配對補助金。

► Three RGC Research Fellowship Schemes

Three RGC research fellowship schemes, namely RGC Senior Research Fellow Scheme (SRFS), RGC Research Fellow Scheme (RFS) and RGC Postdoctoral Fellowship Scheme (PDFS), were launched in 2019 with recurrent annual funding of about \$190 million. SRFS and RFS provide sustained support and relief from teaching and administrative duties for outstanding researchers at full Professor rank and Associate Professor rank at UGC-funded universities; with a view to facilitating their full dedication to research and development, and nurturing the next generation of researchers for Hong Kong. PDFS aims to encourage doctoral graduates in pursuing career in research in Hong Kong and provide promising researchers with support at a pivotal time in their very early career. The three schemes, conferring fellowship to 10 SRFS, 10 RFS and 50 PDFS awardees in each exercise operated on an annual basis, intend to help universities attract and retain research talent for propelling research development in Hong Kong. The third exercise of the three schemes concluded smoothly by mid-2022, with high commendation from the selection panels on the quality of nominees. The third cohort (2022/23) of SRFS, RFS and PDFS awardees, together with awardees of the Humanities and Social Sciences Prestigious Fellowship Scheme and recipients of the Early Career Award in the same year, were honoured at the RGC award presentation ceremony in November 2022.

► Hong Kong PhD Fellowship Scheme

The objective of the Hong Kong PhD Fellowship Scheme is to attract the best and brightest students in the world, irrespective of their country of origin and cultural background, to pursue their PhD studies and research in the UGC-funded universities. It helps widen our pool of research talent and network. It also furthers internationalisation of the higher education sector. The Fellowship provides a monthly stipend, and annual conference and research-related travel allowance for the awardees for a period of three years. In 2022/23, the scheme awarded 300 top students from 43 countries/regions.

► 研資局三項傑出學者計劃

研資局高級研究學者計劃、研資局研究學者計劃及研資局博士後獎學金計劃三項計劃於2019年推行，每年涉及約1.9億元的經常性撥款。研資局高級研究學者計劃及研資局研究學者計劃旨在為卓越非凡的教授級和副教授級學者提供教學及行政職務方面的持續支援，令他們可以專注於研究及發展工作，並為香港培育下一代研究人員。研資局博士後獎學金計劃則旨在鼓勵博士畢業生在香港投身研究工作，以及為具潛質的研究人員在事業里程早期提供支援。三項傑出學者計劃每年推行，每屆頒發各10個獲獎名額予研資局高級研究學者計劃及研資局研究學者計劃，以及50個獲獎名額予研資局博士後獎學金計劃，以助大學吸引和挽留人才，推展香港的研究及發展工作。三項計劃的第三屆評選工作已於2022年中或之前完成，競逐各獎項的候選人均獲遴選小組高度讚賞其質素。第三屆（2022/23）研資局高級研究學者計劃、研資局研究學者計劃及研資局博士後獎學金計劃的得獎者，與同年度的人文學及社會科學傑出學者和傑出青年學者，於2022年11月的研資局頒獎典禮上同獲嘉許。

► 香港博士研究生獎學金計劃

香港博士研究生獎學金計劃的目的，是吸引世界各地最優秀的尖子研究生（不論國籍和文化背景）來港修讀教資會資助博士研究生課程及進行研究。本計劃推動本港研究工作更上層樓，擴大本地人才庫及聯絡網，進一步促進本地高等教育院校國際化。獎學金計劃為獲獎的博士研究生提供每月津貼，以及每年的會議及研究活動交通津貼，為期三年。2022/23學年，本計劃頒發獎學金予來自全球43個國家及地區共300位優秀學生。

► Young Collaborative Research Grant

Young Collaborative Research Grant (YCRG) was launched under CRF of the RGC in 2022/23 to support early stage researchers in gaining experience in leading and managing collaborative research, so that they will be better prepared in competing for larger collaborative research funding in the next stage of their career. In the 2022/23 exercise, 14 projects were funded at a total of \$52.5 million.

► Strategic Topics Grant

With the successful experience of the UGC and RGC's special research funding schemes for combating COVID-19, the Strategic Topics Grant (STG) was established in August 2022 to support collaborative research in specific areas which can help Hong Kong overcome imminent challenges and capture emerging opportunities. Research topics under the first round (2023/24) exercise cover public health, information technology and sustainable environment. Application had been invited from UGC-funded universities.

In addition to the above, the RGC also administers a number of competitive research funding schemes to promote research excellence, including –

- (i) General Research Fund;
- (ii) Early Career Scheme;
- (iii) Areas of Excellence Scheme;
- (iv) Theme-based Research Scheme;
- (v) Research Impact Fund; and
- (vi) Collaborative Research Fund etc.

Details of all funding schemes administered by the RGC can be found on the RGC website (www.ugc.edu.hk/eng/rgc) and in its Annual Report.

► 新進學者協作研究補助金

自2022/23年起，研究資助局的協作研究金推行新進學者協作研究補助金，以支持新進學者進行協作研究，增進經驗，以備將來競逐更具規模的協作研究撥款。在2022/23學年，14個新進學者研究項目獲得共5,250萬元的資助。

► 香港博士研究生獎學金計劃

教資會和研資局曾就應對2019冠狀病毒病推出特別研究資助計劃。憑藉相關的成功經驗，策略專題研究資助金於2022年8月成立，旨在資助就協助香港應對當前挑戰及抓緊新興發展機遇的協作研究項目。首輪（2023/24年度）研究題目涵蓋公共衛生、資訊科技及可持續發展的環境。教資會資助院校均獲邀提交研究撥款申請。

除上述計劃外，研資局亦推行多項以競逐方式分配資源的研究資助計劃，包括以下計劃，推動卓越研究 –

- (i) 優配研究金;
- (ii) 傑出青年學者計劃;
- (iii) 卓越學科領域計劃;
- (iv) 主題研究計劃;
- (v) 研究影響基金;及
- (vi) 協作研究金

所有由研資局管理的研究資助計劃，詳見研資局網站 (www.ugc.edu.hk/big5/rgc/) 和該局年報。

B. Research Expenditure of the Academic Departments of UGC-funded Universities 2021/22

The UGC-funded universities continue to pursue excellent research. Their reported aggregate expenditure of their academic departments on research in 2021/22 AY amounted to about HK\$14 billion, representing 48% of the total expenditure in the academic departments of the universities, and 0.49% of Hong Kong GDP. The UGC and the RGC funding, in the form of Block Grants and competitive research grants respectively, constituted the bulk of research funding for the universities. The two sources of funding made up about 70% of the total research expenditure in 2021/22 with the following breakdown at Table 1.

B. 2021/22學年教資會資助大學學術部門的研究開支

教資會資助大學繼續從事卓越研究工作。2021/22學年，各大學的部門研究總開支達約140億港元，佔大學學術部門總開支的48%，相當於本地生產總值的0.49%。教資會及研資局分別以整體補助金及具競逐性研究補助金形式提供的資助，是各大學主要的研究經費。2021/22學年，該兩種資助來源約佔研究總開支的70%，分項數字載於下面表一。

Total Expenditure of Research: About HK\$14 billion

研究總開支：約140億元

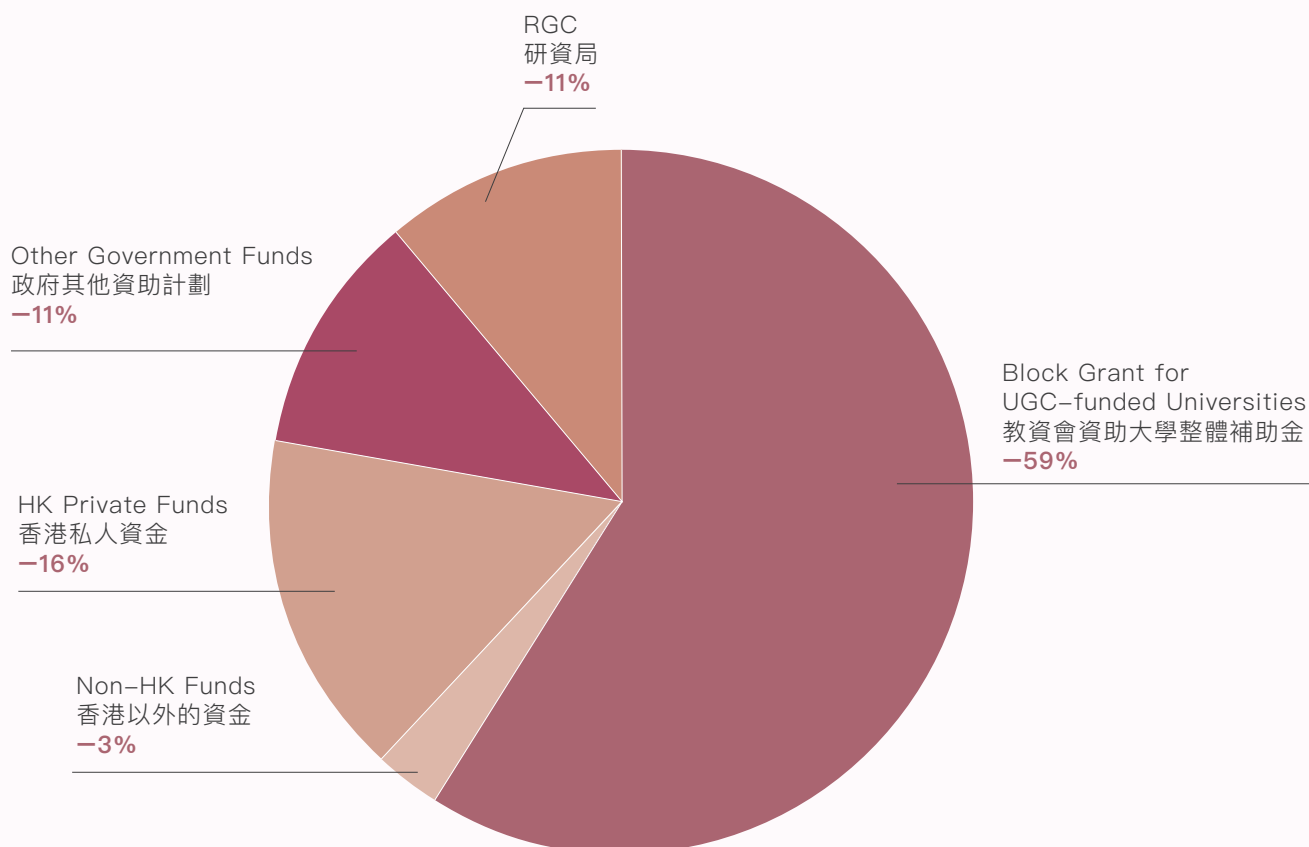


Table 1: Research Expenditure of the Academic Departments of UGC-funded Universities 2021/22
表一：2021/22學年教資會資助大學學術部門的研究開支

Source of Funding 資助來源	Amount (HK\$m) 金額 (百萬港元)
Block Grant for UGC-funded Universities 教資會資助大學整體補助金	8,279.8
RGC 研資局	1,497.7
Other Government Funds 政府其他資助計劃	1,531.7
HK Private Funds 香港私人資金	2,251.6
Non-HK Funds 香港以外的資金	465.2
Total 總額	14,025.9 (Up 5.1% compared with 2020/21 AY) (較2020/21學年增加5.1%)

Notes:

- Figures do not add up to the total due to rounding.
- The amount of research expenditure by academic departments is affected by how a university apportions its departmental expenditure between teaching and research as well as how it apportions total expenditure between academic departments and central activities.

註：

- 由於四捨五入，數字的總和可能與實際的總計略有出入。
- 大學如何劃分教學和研究兩者的部門開支，以及如何劃分學術部門和中央活動兩者的總開支，皆影響學術部門的研究開支額。

Policy Issues

A. Increase in Research Postgraduate (RPg) Places

The Chief Executive announced in his Policy Address in October 2022 to increase the publicly-funded RPg places gradually from 5 595 (allocated since 2012/13 academic year) to 7 200 in the 2024/25 academic year.

UGC established the Working Group on the Review of the Allocation Mechanism of Research Postgraduate Places (WGRPg) in November 2021 to review the RPg allocation mechanism in light of the emerging needs of the universities, and to propose refinements to the mechanism as needed. The WGRPg conducted a Special Allocation Exercise (SAE) for the 1 605 new RPg places. The eight UGC-funded universities were invited to submit proposals to bid for the additional RPg places in January 2023.

B. Liaison Group on Research

The Liaison Group, comprising representatives from the Chief Executive's Policy Unit, the Education Bureau, the Environment and Ecology Bureau, the Health Bureau, the Innovation and Technology Commission, as well as the UGC Secretariat was set up in May 2019 with the objective to serve as an interdepartmental platform for sharing research directions, latest trends and best practices in administration of research funding schemes, enhancing communication and facilitating any possible collaboration for the benefits of the research sector. Pursuant to the endorsement of the Liaison Group, the UGC Secretariat has implemented several coordination initiatives. The Hong Kong Research Portal was fully launched in January 2022 to provide more comprehensive information on Hong Kong's research landscape and Government's research policy and funding support. Another initiative is to devise a technical solution to crack down duplicate applications by identifying suspicious duplicates of a previously funded project and alert funding agencies for further investigation. A three-year pilot project was concluded in March 2023. The UGC Secretariat is conducting a review on the effectiveness of the technical solution.

政策事項

A. 增加研究院研究課程學額

在2022年10月的施政報告中，政府同意增加研究院研究生的學額，從2012/13學年的5 595個逐步增加到2024/25學年的7 200個學額。

教資會於2021年11月成立了「檢討研究課程研究生學額分配機制工作小組」（學額分配小組），就研究院研究課程學額分配機制的新的需求進行檢討，並按需要建議改善研究課程學額分配機制。學額分配小組透過「2023年特別分配工作」分配額外的1 605個研究生學額，八所教資會資助大學於2023年1月獲邀提交建議書以競投額外的研究生學額。

B. 研究聯絡小組

研究聯絡小組於2019年5月成立，由特首政策組、教育局、環境及生態局、醫務衛生局、創新科技署以及教資會秘書處的代表組成，旨在提供跨部門平台以分享研究方向、最新趨勢、管理研究資助計劃的最佳做法，以及加強研究資助機構間的交流，促進不同形式的合作，從而讓研究業界得益。在聯絡小組的支持下，教資會秘書處已推行多項協調措施。「香港研究一站通」已於2022年1月全面啟用，旨在於香港研究領域的各方面，為公眾提供更全面的資訊，包括政府有關研究的政策和資助。另一項措施是以技術方案打擊重複資助申請，該技術方案旨在識別出與先前已獲資助項目相似的可疑重複申請，並提醒資助機構作進一步調查。為期三年的試行計劃於2023年3月完成，教資會秘書處現正檢討該技術方案的成效。

C. Review of Research Portion

Around 20% of the Block Grant is disbursed to the universities, known as the Research element, i.e. the R-portion, as infrastructure funding for staffing and facilities (e.g. accommodation and equipment) necessary to carry out research, and to fund a certain level of research. To promote research excellence, the funding of the R-portion is driven by two engines: the universities' performance in RAE (hereafter "the RAE component") and the universities' success in obtaining peer-reviewed RGC designated research grants (hereafter "the RGC component").

Prior to 2012/13, allocation of the R-portion was solely driven by the universities' performance in the RAE. But there was a shared view that such basis for the allocation of the R-portion could not sufficiently capture the vitality of the system as the RAE is conducted once every six years. In this regard, the RGC component was introduced with a progressively increasing weighting from 0% since 2012/13 AY to 50% in 2020/21 AY, while the remaining portion would continue to be based on the RAE component. This revised arrangement, however, was opined by some stakeholders to be amplifying certain institutional behaviours. The percentage of the RGC component was therefore frozen at 26% with effect from 2017/18 AY pending a further R-portion Review. The same percentage has been adopted for the 2019-22 triennium.

C. 檢討研究用途撥款

研究用途撥款是教資會發放予大學的基礎設施撥款，佔整體補助金約20%，以聘請研究所需的職員、提供所需設施（例如辦公地方及設備），以及資助一定程度的研究活動。為推動研究工作達至卓越水平，研究用途撥款主要由兩方面釐定：一方面根據大學在研究評審工作中的表現計算（下稱「研究評審工作部分」），另一方面參考大學申請研資局經學者評審的指定撥款計劃的結果（下稱「研資局競逐部分」）。

早於2012/13年以前，研究用途撥款的分配全是由大學在研究評審工作中的表現所計算的。因研究評審工作僅每六年進行一次，有普遍意見認為僅僅基於研究評審工作的結果分配研究用途撥款的安排難以充分地反映大學研究方面的發展。因此，研究用途撥款的分配加入了「研資局競逐部分」，所佔的百分比由2012/13學年的0%逐漸增加至2020/21學年的50%，其餘撥款部分則會繼續按大學在研究評審工作的表現分配。然而，有持份者認為經修定的競爭性分配機制加劇了某些院校行為，教資會遂臨時把「研資局競逐部分」所佔百分比由2017/18學年起「凍結」在26%，直至進一步檢討研究用途撥款。2019-22三年期的撥款安排仍繼續沿用相關百分比。

The UGC established the Working Group on the Review of R-portion in 2019 to take forward the Review of the R-portion, with the assistance of an independent consultant. Series of consultation sessions were conducted in 2019 and 2020 and the views of the stakeholders were carefully considered by the Working Group. The Review of R portion was completed and the Heads of Universities were informed of the results in October 2020. After the results announcement of RAE 2020 in May 2021, the UGC finalised the new methodology in allocating the R-portion in September 2021. Starting from the 2022-25 triennium, a changing RAE:RGC ratio over a span of six years after the RAE (viz. 85:15 for 2022-24, 80:20 for 2024-26 and 75:25 for 2026-28) has been implemented. This new methodology can strike a balance between dynamism and funding stability for the universities.

教資會於2019年初成立檢討研究用途撥款專責小組負責有關檢討工作，並由獨立顧問提供協助。教資會分別於2019年及2020年進行一系列的諮詢工作，各持份者的意見已提交專責小組考慮。整項研究用途撥款檢討工作已完成，有關結果已於2020年10月通知各大學。在2021年5月公布「2020年研究評審工作」結果後，教資會於2021年9月確定新的研究用途撥款計算機制。自2022-25三年期開始，在研究評審工作完成後的六個學年，以浮動比例分配「研究評審工作部分」及「研資局競逐部分」的研究用途撥款（即2022-24年的85：15、2024-26年的80：20及2026-28年的75：25）。有關撥款分配可兼顧大學最新研究發展表現與撥款的穩定性。