

# University Governance

## 大學管治

### Council and Court

The Council is the governing body of the University. Established under the PolyU Ordinance, the Council comprises the following members: the President and Deputy President of the University as ex-officio members; 17 lay members from the business, financial and industrial sectors, and the professions; 3 elected staff members; a member from the alumni; and 2 elected full-time students.

During 2017/18, the Council welcomed Ms Karen Chan Ka-yin, the Hon. Jimmy Ng Wing-ka and Mr Owan Li as new members. Mr Chan Kam-lam, Mr Jimmy Kwok Chun-wah and Mr Benjiman Leung Hok-pan retired from the Council upon completion of their respective terms. (See p.138 for the Council membership as at 30 June 2018.)

The University Court is the supreme advisory body to the Council on matters of direction, with the objective of promoting the well-being of the University.

Honorary Court Member Dr the Hon. Chan Sui-kau passed away in March 2018. During the year, Mr Chan Kam-lam and Mr Jimmy Kwok Chun-wah were appointed by the University Council as new Court members. At the nomination of the President, Executive Vice President Dr Miranda Lou succeeded Vice President (Student and Global Affairs) Prof. Angelina Yuen, who retired in April 2018, as an ex-officio member of the University Court. Mr Lam Wing-hang, upon assuming his role as the 2018/19 President of the PolyU Students' Union, also became an ex-officio member. (See p.139 for the Court membership as at 30 June 2018.)

### 校董會及大學顧問委員會

校董會是大學的管治組織，按香港理工大學條例成立，其組成包括：作為當然成員的校長和常務副校長；十七名來自商業、金融、工業及專業界別的校外成員；三名由選舉產生的教職員；一名校友和兩名全日制學生。

2017/18 年度新任校董會成員包括陳嘉賢女士、吳永嘉議員及李傲然先生。陳鑑林先生、郭振華先生及梁學斌先生則任期屆滿，已於年內退任。(2018年6月30日校董會成員名單見第138頁。)

大學顧問委員會是校董會的最高諮詢機構，負責就大學方向性的事項提供意見，以推動大學的發展。

大學顧問委員會榮譽委員陳瑞球博士於2018年3月去世。校董會於年內委任陳鑑林先生及郭振華先生為大學顧問委員會委員。此外，校長委任行政副校長盧麗華博士接替於2018年4月退休的副校長(學生及環球事務)阮曾媛琪教授出任顧問委員會當然成員，而2018/19年度學生會會長林穎恒先生亦成為當然成員。(2018年6月30日大學顧問委員會成員名單見第139頁。)

### Senate

The Senate is the highest authority on all academic-related matters within the University. It is chaired by the President, and its membership includes representatives from all faculties and academic departments as well as the student body. Under the Senate are a number of faculty and school boards and standing committees with responsibility for various policy and functional areas. These include the Academic Appeals Committee, Academic Planning and Regulations Committee, Faculty/School/College Boards, Learning and Teaching Committee, Quality Assurance Committee (Academic Departments) and Research Committee.

### Internal control and audit

The University has in place policies and guidelines that enable management to operate and monitor effectively through checks and balances. It has also appointed an Audit Committee to ensure the effectiveness of internal control systems, internal audit processes and financial reporting. The Internal Audit Unit performs audits in accordance with the Audit Work Plan approved by the Audit Committee and makes recommendations for improving the effectiveness and efficiency of the areas being reviewed. The Unit also performs follow-up audits to ensure implementation of audit recommendations. To maintain independence, the Unit reports directly to the Audit Committee.

### Human resources management

During the year, the University continued to foster a culture of striving-for-excellence through the implementation of various staffing mechanisms, including the staff appraisal and merit-based salary reward systems, as well as various robust processes for appointment and promotion of academic and non-academic staff.

The University continued to invest in its human capital through in-house training and to provide financial support for pursuing staff development via other channels. To develop talent in a more focused manner, Heads of Departments were encouraged to review their staff members' development needs and implement suitable

### 教務委員會

教務委員會是大學內處理學術事務的最高決策單位，由校長擔任主席，成員包括各學院、學系和學生組織代表。轄下設有多個學院院務委員會及常務委員會，負責不同範疇的政策與職能，包括教務申訴委員會、教務策劃及規章委員會、學院院務委員會、教學委員會、質素委員會(教學部門)及研究委員會。

### 內部監管及稽核

理大除了制定政策和指引，協助管理層透過各項制衡措施，有效地管理及監察大學運作外，亦委任了一個審核委員會，確保大學的內部監管制度、內部稽核程序及財務報告制度行之有效。內部稽核組根據審核委員會批定的審核計劃進行審核工作，並就審核的範疇提出改善工作效能和效益的建議。稽核組還會就各審計建議進行跟進，以確保改善措施得以落實執行。為保持內部稽核組運作的獨立性，該組直接向審核委員會負責。

### 人力資源管理

年內，大學透過相關的人事機制，包括員工評核制度、績效薪酬調整，以及各項用於聘任及晉升學術與非學術人員的嚴謹程序等，持續推動力臻卓越的校內文化。

大學亦繼續投放資源於人力資本，包括提供內部培訓及資助員工以其他途徑進修和增值。為了發展人才的工作做得更適切，大學鼓勵各部門主管仔細評估轄下員工的發展需要，並落實合適的發展安排，例如指派員工負責一些

development options, such as assigning special work tasks to unleash the potential of staff and nominating them for suitable in-house training programmes.

A continuous effort was made to provide a supportive environment of diversity and inclusiveness in the workplace. The Employee Assistance Programme, for instance, provided professional counselling support to staff in need. The University has also established policies, procedures and proper channels to deal with grievances and issues of concern to colleagues.

特別項目，以啟發他們的潛能，及提名員工參加合適的內部培訓。

大學不斷致力提供一個多元化和共融的工作環境，例如大學設有僱員支援計劃，為有需要員工提供專業諮詢及輔導；大學亦有既定政策、程序和渠道，處理員工的申訴及在工作上的相關問題。



## Risks and mitigation measures

The University strives to maintain high standards of governance and robust risk management process. It has formulated an enterprise risk management framework to systematically identify, assess and manage its financial, operational, compliance and reputational risks while steering its strategic focuses.

The University uses the dimensions of *impact* (the extent to which a risk event would affect the University) and *vulnerability* (the susceptibility of the University to a risk should it arise) to assess risks. It has also developed an institutional risk register for identifying the strategic and key operational risks of the University. The University Management and the Council will review the key risks and mitigation measures on a regular basis to ensure the risk exposure of the University is within its risk appetite. As part of the assurance, the Internal Audit Unit will continue to adopt a risk-based auditing approach with consideration

## 風險和緩解措施

大學致力維持良好的管治原則及和穩健的風險管理流程，並制定了企業風險管理架構，在推動策略性發展的同時，有系統地識別、評估及管理其財務、營運、法規和信譽風險。

大學根據風險產生之影響(風險事件對大學的影響程度)和脆弱性(大學承受風險的能力)作出風險評估，制定了機構風險記錄表，用於識別策略風險和關鍵的營運風險。大學管理層和校董會將定期檢視主要風險和緩解措施，確保其符合大學風險可承受範圍內。內部稽核組亦將繼續採用以風險為基礎的審核方針，在制定年度審核計劃時考慮大學面對的主要風險；以及定期對風險管理政策進行審計，並向校董會轄下的審核委員會報告企

of the key risks when developing its annual audit plan. In addition, it performs regular audits of the risk management policy and reports to the Audit Committee of the Council on the adequacy and effectiveness of the enterprise risk management framework.

## Financial sustainability and control

- **Financial planning**  
The University's strategic focuses and initiatives are well supported by a budget strategy of realistic but prudent resources planning, together with scenario analysis, to ensure financial viability and sustainability. Being one of the five domains of the Strategic Plan for 2019/20–2024/25, “financial health and institutional sustainability” is the key goal in the overall financial planning.

As a supplement to UGC funds, non-UGC-funded income enables PolyU to maintain financial sustainability. To strengthen the fundraising capabilities of the University, The Hong Kong Polytechnic University Foundation was established in 2014 with a strong governance structure. The University will continue its endeavours to diversify its income sources through the generation of various non-UGC revenues and will exercise due diligence in its financial management through regular review and monitoring.

The projected decline in students from secondary schools up to the year 2022 is raising concerns about the recruitment of sufficient number of quality students and the financial sustainability of the College of Professional and Continuing Education (CPCE), a self-financed arm of the University with programmes offered through two wholly-owned subsidiaries of the University, namely, the College of Professional and Continuing Education Limited and Hong Kong Community College. Being a reputable leader in its sector and responsive to market development, CPCE should be able to recruit sufficient numbers of high quality students for the coming years. In addition, CPCE has been making transfers to PolyU for repayment of two related government loans and CPCE also plans to support PolyU in building up reserves for major renovation and the maintenance of the two PolyU campuses used by CPCE. It is expected that CPCE will be able to maintain a healthy level of retained earnings to support its continuing operation.

業風險管理架構的成效，以做好質素保證的工作。

## 財務可持續性及監管

- **財務規劃**  
大學奉行一套切實的財務規劃，在調配資源方面相當審慎，可為各項策略重點和發展計劃提供足夠支援，同時使用方案分析來確保財務上的可行性及可持續性。作為2019/20–2024/25年度策略發展計劃五個綱領中的一項，「財務健康與機構可持續性」亦是整體財務規劃的關鍵目標。

非來自教資會的收入可為教資會撥款作補充，令理大得以維持財務的可持續性。為加強大學的籌款能力，香港理工大學基金於2014年成立，具備嚴格管治架構。大學將繼續致力透過開創各種非教資會收入來源，以令收入多元化，亦會通過定期審查和監管以謹慎執行財務管理。

從現在至2022年，中學生人數預計將持續減少，這現象令人關注理大轄下自負盈虧營運的專業及持續教育學院能否招收足夠的優秀學生和其財務可持續性。專業及持續教育學院是由理大成立的自資學院，透過專業及持續教育學院有限公司和香港專上學院兩間理大附屬公司提供課程。作為界別內聲譽良好的領導者並積極回應市場的發展，專業及持續教育學院在未來數年都應能招收足夠的優秀學生。另外，專業及持續教育學院一直以來均有向理大給予供款，用以償還兩筆相關的政府貸款。此外，專業及持續教育學院亦計劃支援理大，使理大可預留儲備用於大型翻新和保養兩個供其營運的校園。專業及持續教育學院將能維持健康的累積盈餘水平，以支持其持續運作。

- **Management of capital projects**

PolyU's capital projects are mainly funded by UGC as part of the Capital Works Programme of the Government. The University has assumed full responsibility and accountability for the projects. It will conduct a risk assessment process, which is in line with UGC requirements, before committing to any capital expenditures. A system of cost controls and monitoring has also been established for the major planned capital spending, which has been incorporated into the University's budgeting process and is subject to the scrutiny of the designated committees of the Council. Rigorous procurement procedures are also in place for purchases under capital subvention, with reference to the Government's latest rules and regulations on public capital works. Continuous monitoring/review of the capital project throughout the project programme will be carried out with periodic reports submitted to the Council/its Committee until the completion of the project. The Government has recently approved the launch of a Hostel Development Fund (HDF) which provides a one-off grant to the UGC-funded universities for the development of student hostels to fully address the chronic shortfall in student hostel places. With two upcoming hostel development projects under HDF, PolyU will closely observe the governing regulations to be published and monitor the financial arrangement of the HDF to address/mitigate the risks related to price level fluctuation of the project capital costs.

- **Investment of Working Capital Fund**

Investment and interest income derived from the University Working Capital Fund is an essential source of income for PolyU to build a stronger financial foundation. Investments are generally exposed to various risks including interest rate, market, currency and credit risks.

The University has been strengthening its investment governance through the Investment Committee. Investment risks are managed through cash flow projection and planning, diversified asset allocation, sound rules governing the selection of investment counterparties with reference to their performance, financial strength and credit rating, and the formulation of appropriate investment mandates, portfolio performance measurements and evaluations. The Investment Committee also conducts regular reviews and monitors the performance of investment managers.

- **基建工程管理**

理大的基建工程項目主要由教資會資助，是政府基本工程計劃的一部分，大學須承擔項目的全部責任。在投放資金於基建項目前，大學會根據教資會的要求對基建工程項目進行風險評估，並制訂了成本控制及監察制度以監管所有大型基建項目的支出，並將其納入大學的預算編制過程內，以及受到校董會指定委員會的監管。大學又對由政府撥款的基建項目執行嚴格的採購程序，並參考政府最新的公共基建工程規章和條例。在項目完成之前，將持續監測及審查整個項目的進展，並定期向校董會或其委員會提交報告。政府最近批准推行宿舍發展基金(HDF)為教資會資助的大學提供一次性撥款用作興建學生宿舍，以全面解決學生宿舍長期不足的問題。理大將有兩個受HDF資助的宿舍興建項目，因此理大將密切留意及配合政府未來公布有關HDF的管理規定，並監察其相關的財務安排，以應對或減低與基建成本價格水平波動相關的風險。

- **營運資金的投資**

由大學營運資金所得的投資和利息收入是理大一項重要收入來源，讓其建立更穩健的財務基礎。投資一般面對的風險涉及利率風險、市場風險、匯率風險及信貸風險。

大學透過成立投資委員會加強投資的管治事宜。投資風險管理涵蓋現金流量預測及規劃、資產配置多元化、完備的投資策略評選準則，當中包括參考相關投資經理的過往表現、財政實力及其產品之信貸評級，藉此制定適合大學的投資分配方針和組合，以及對其業績作出衡量及評鑑。投資委員會亦定期檢討和監察個別投資經理的業績和表現。

- **Procurement**

Procurement risks include quotations from fictitious suppliers, financial instability of suppliers leading to supplier failure, splitting of purchases, higher prices than the prevailing market price in a repeat order where the price is lower than the original contract, delivery of a product different from the one specified in the purchase order, exchange rate fluctuations for purchase orders placed in a foreign currency, abuse of procedures and malpractice, among others.

The risks associated with the procurement function are managed and controlled through the promulgation of the Manual of the Purchasing Procedures, setting up of the Equipment and General Purchases Tender Committee, registration of frequent and major suppliers, arrangement of blanket purchase agreements for common items, and segregation of duties among departmental buyers, end users and goods receiving personnel. Exchange rate fluctuations for purchase orders in a foreign currency, especially large-value purchases with long delivery lead times, are managed through currency hedging.

- **Management of fixed assets**

Records of the fixed assets of the University are maintained in the Inventory Management System supported by the Finance Office. The custody of assets and the corresponding updating of these asset records are the responsibility of the owner departments which also perform regular physical checks according to a set of established procedures.

- **Insurance**

The University maintains comprehensive insurance policies which are appropriate for covering the insurable risks of the University's fixed assets and its related activities, including property all risks, employees' compensation and public liability.

- **採購**

採購風險包括來自虛假供應商的報價、因供應商財政不穩而導致的採購失效、拆分訂單以繞過審批程序、低於原合約訂價但高於現行市場價格的重複訂單、交貨產品與採購訂單指定的產品不符、外幣交易的採購訂單受到匯率波動的影響，以及濫用程序和瀆職等。

大學透過頒布採購程序手冊、成立採購招標委員會、登記常用和主要供應商、對某些經常使用的項目採用定期採購合同，以及界定部門採購員、使用者和收貨人員之間的職責劃分，從而管理和監控採購衍生的風險。外幣交易採購單所面對的匯率波動，尤其對於高價值而送貨時期較長的採購活動，則透過貨幣對沖以收管理之效。

- **固定資產管理**

大學的固定資產均記錄於財務處支援的資產管理系統中。擁有該資產的部門須負責保管資產和更新資產記錄，並根據一套既定程序作定期盤點。

- **保險**

大學購買了全面的綜合保單，適當地保障可受保的固定資產及與大學相關的活動，當中包括財產全險、僱員補償保險和公眾責任保險。

## Human assets

A major challenge for the University is succession planning for senior positions. To address this issue, the University has stepped up its recruitment efforts to attract high quality new hires. The annual Departmental Staffing Planning process continued to function effectively and formulated manpower plans to support the long-term development of the University.

## Cyber security and IT risks

The inherent risk associated with leveraging the Internet for online teaching and learning, collaboration on research activities, and the promotion and marketing of various academic, research and cultural activities are made known to the University community via a Cyber security and IT risk awareness programme.

To decide on the acceptable residual risk level of the exposure, regular assessments of the vulnerabilities of Internet facing systems and the monitoring of abnormal traffic with regard to internal and external access to applications and data are carried out. Mitigating actions are taken to contain identified vulnerabilities and abnormalities based on agreed arbitration with stakeholders and in alignment with business goals.

A baseline information security policy and systems hardening guidelines are made available to staff and students. A series of IT security services, including but not limited to a security incident response service, vulnerability scan and risk assessment service and security education and promotion service are made available to departments.

## Knowledge transfer (KT) and technology commercialisation

Underpinned by an overarching KT policy that seeks impact over financial return, the University has set up robust processes to manage its KT operations effectively and keep our KT operations free from most commercial disputes. The University has deployed PolyU Technology and Consultancy Company Limited (PTeC), a wholly-owned subsidiary, to take responsibility for external dealings concerning technology commercialisation and KT engagements. In January 2018, PTeC successfully upgraded its quality management system from ISO9001:2008 to the new ISO9001:2015

## 人才

大學其中一個主要挑戰是高層職位的人才更替。有鑑於此，大學已加緊進行招聘工作，引進優秀人才。現行的「年度人事策劃程序」則繼續行之有效，以釐訂人力資源方案，支援大學的長遠發展。

## 網絡安全和資訊科技風險

透過網絡安全和資訊科技風險意識項目，大學社群認識到在使用互聯網進行網上教與學、合作研究活動，以及宣傳和推廣各種學術、研究和文化活動時相關的潛在風險。

透過與各持分者協商，及致力實踐大學目標，大學已採取有效的風險緩減措施，定期評估網路系統的漏洞，以及監控內部和外部系統應用和數據的異常流量，有助維持或控制風險以達至可接受水平，遏制已識別的漏洞和異常情況。

基礎信息安全政策和系統強化指引可供員工和學生參考及使用。資訊科技部門提供一系列資訊科技安全服務，包括安全事故應變處理，漏洞掃描與風險評估服務，以及安全教育和推廣服務。

## 知識轉移及技術商品化

理大以行之有效的知識轉移政策為基礎，在追求財務回報的同時也以創造社會影響力為主要目標，制定了嚴格的管理流程以防範潛在的商業風險。理大委託其全資附屬公司—理大科技及顧問有限公司負責處理對外的技術商品化和知識轉移的交易。該公司於2018年1月成功將其質量管理系統從 ISO9001:2008 升級至新的 ISO9001:2015 標準。在新的標準中，風險問題更被重視，包括風險

standard. In this version, increased importance is given to risk issues, i.e. their identification, analysis and mitigation with top management intervention. A comprehensive risk assessment system was implemented for assessing project risks, with risk mitigation countermeasures established according to the level of risk identified. Moreover, the University's academic and KT activities are underwritten by education and profession insurance policies to protect its operations against potential claims on professional indemnity, product liability, public liability, and other fiduciary obligations to employees, directors and officers. As a matter of principle, the University and its subsidiaries will not engage in KT activities in which the risk exposure is beyond mitigation measures for financial and reputational risks.

## Internal communication

PolyU enhances communication across the different sections of the University by encouraging management to gather feedback from staff and students. Communication channels include regular meetings between management and representatives of the Polytechnic University Staff Association and the Students' Union. Open forums are also held to facilitate discussion on University issues. In addition, President's Communication Forums are regularly organised to enhance communication with staff members.

Given the ever-changing environment, the University is bound to encounter expected or unexpected issues that might interrupt the operation of the institution. A set of Issues Management Procedures has thus been developed that set out guidelines and procedures for effective issue management and recovery.

識別、分析、緩解及管理層的介入。該公司採用了全面的風險評估系統評估承辦項目的風險，並根據風險水平制定緩解對策。此外，大學按有關的教育和職業保障政策，為學術和知識轉移活動購買保險及提供保障以應對可能的索賠責任，當中包括專業賠償、產品責任、公眾責任，以及受委托的僱員、董事和負責人所負的責任。原則上，大學及其附屬公司不會從事財務和聲譽風險超越緩解措施可承擔的知識轉移活動。

## 內部溝通

理大積極促進校內各階層的溝通，讓管理層收集員工及學生的意見。其中的渠道包括管理層與教職員協會和學生會的代表定期會面，並舉行公開論壇，就大學事宜進行討論。此外，大學更定期舉行校長與員工交流會，以加強與員工的溝通。

考慮到不斷變化的環境，大學會遇到不少預計之內或意料之外的情況，並可能因此影響機構的運作。因此，大學制定了一份事故處理程序，就如何有效處理及修復事故制訂了指引及程序。



## The Hong Kong Polytechnic University University Governance Statement\*

### 香港理工大學 管治原則和架構 \*

#### Principles

The Hong Kong Polytechnic University (PolyU) is committed to the principles of good governance so as to ensure that the University is ‘fit for its purpose’ – as an institution of teaching and research, which also provides consultancy and other professional services to the community. These principles emphasise academic freedom and autonomy, performance in terms of added value to student education and academic advancement, public accountability and social responsibility, transparency, ethics and professionalism. These principles are to be upheld through the following provisos:

##### 1. Academic freedom and autonomy

PolyU will uphold and defend academic freedom and institutional autonomy so as to ensure that its education and academic pursuits are not subject to undue intervention.

##### 2. Performance, ethics and professionalism

The University will strive for exemplary performance with the highest possible standards of professionalism and ethics and seek to provide high quality services at a reasonable and affordable cost.

##### 3. Transparency and public accountability

The Council and the Management of the University will conduct their activities in a transparent manner, subject to legal restrictions and the need to protect the overall interests of the University.

##### 4. Social responsibility

The University will strive to fulfil its social responsibilities. As such, the University will, as far as is reasonable and possible, facilitate the participation of its staff and students in community development activities and public services.

#### 原則

香港理工大學(理大)恪守良好管治原則，務求令理大達致其作為一所教研學府，並為社會提供顧問及專業服務的既定目標。理大重視學術自由和自主、致力在教學及學術發展方面作出貢獻、肩負對公眾和社會的責任、並確保有高透明度、合乎道德標準和專業水平的運作。本校將通過以下條目維護此等原則：

##### 1. 學術自由和自主

理大堅守和捍衛學術自由和制度上的自主，以確保教育和學術追求不會受到不適當的干預。

##### 2. 表現、道德和專業

理大以最高的專業和道德標準為依歸，追求卓越的表現，並以合理和可負擔的成本提供高質素的服務。

##### 3. 透明度和公眾問責

大學校董會和管理層執行職務時，當在法律約制和維護理大整體利益的前提下，保持適當的透明度。

##### 4. 社會責任

理大致力履行其社會責任，據此，理大會盡量在合理和可能的情況下，為教職員和學生參與社會建設活動及公眾服務提供方便。

#### Structures and processes

PolyU is committed to the mission of achieving academic excellence in a professional context. The emphasis is to provide holistic education and training so as to equip students with all-round personal development as well as professional knowledge and skills through application-oriented programmes, and to undertake research, emphasising those of an applied nature which are relevant to industrial, commercial and community needs. Towards this end, the University recognises the importance of establishing and implementing an effective framework of governance and management in directing and monitoring its operation and financial performance. The University has put in place the following governance structures and processes:

##### 1. Council

The Council of PolyU is composed of members appointed in accordance with The Hong Kong Polytechnic University Ordinance. The majority of Council members, including the Council Chairman, are external to the University. As the supreme governing body of the University, Council will do its best to govern the University by ensuring effective management of the University by the University Management team led by its President who is the Chief Executive Officer of the University. All Council members are expected to provide support and advice to the University so as to ensure its well-being and sustainable development. Council members will diligently and faithfully discharge their duties in the best interests of the public, the University’s students, employees and other sectors of the University community.

##### 2. Council committees

The Council will appoint Standing Committees to support the governance of the major activities of the University. These Committees will include, but not be limited to, an Executive Committee, a Campus Development Committee, a Finance Committee and an Audit Committee. These Committees will discharge their responsibilities according to the terms of reference prescribed by Council. The Council may also appoint ad hoc Committees or equivalent to take on matters of particular importance.

#### 架構及治事程序

理大致力追求以專業為基礎的卓越學術成就。我們著重提供全人教育，培育學生的全面發展，並透過以應用為本的課程，向學生傳授專業知識與技能。同時，理大亦致力進行應用研究，以配合工商界及社會的需要。為達致以上目標，大學必須建立有效的管治及管理架構，藉以指導及監察大學的運作與財政管理。理大的管治架構及治事程序如下：

##### 1. 校董會

理大校董會成員乃按照《香港理工大學條例》委任。大部分校董會成員，包括主席，均為校外人士。作為大學最高的管治機構，校董會須盡力執行管治工作，藉以確保以校長為首的大學管理層能夠有效地管理大學。校董會成員有責任向大學提供意見和協助，務求為大學謀福祉及確保其持續發展。校董會成員須忠誠地盡力履行職務，並以公眾、學生、員工及大學社群名持分單位的整體利益為依歸。

##### 2. 校董會轄下委員會

校董會可委任常設委員會，以支援大學主要活動的管治工作。這些委員會包括常務委員會、校園發展委員會、財務委員會、審核委員會等。委員會數目可按需要而增加。各委員會按照校董會訂下的職權範圍執行職務。校董會亦可以就個別重要事項設立臨時委員會或同類組織。

### 3. Senate

The Council will appoint a Senate, as provided in the University's Ordinance, to act as the supreme body in the academic governance of the institution. Senate is chaired by the President, with membership drawn from different quarters of the University community.

### 4. Management

The University adopts an executive-led management system in which executives will assume full responsibility and accountability for their respective portfolios and will be given corresponding authority for the purpose of discharging their responsibilities. University executives are expected to exercise their authorities in an equitable, fair and compassionate manner, and to make decisions after adequate consultation in a collegial spirit through various formal and informal processes which cover diverse perspectives to facilitate executives in reaching balanced and informed decisions.

### 5. Internal control and external reporting

The University Management will ensure high-level performance and cost-effectiveness in all aspects of the University's academic and service operations through appropriate delegation of responsibility and authority as well as the deployment of check-and-balance mechanisms. It will also maintain an effective internal control system to appropriately monitor the exercise of executive authorities, safeguard the university's assets and ensure their appropriate use or disposition, maintain proper accounts and records, and comply with relevant legal and regulatory requirements as well as to ensure appropriate risk management.

The University will publish an annual report and audited financial statements after the end of each financial year. To provide an objective and independent review of the financial reporting of the University and to ensure transparency and accountability in the use of financial resources, an external auditor is appointed by the University to conduct an annual audit of its financial statements.

The Audit Committee will provide an independent review of the effectiveness of the financial reporting process, internal audit process, internal control system and risk management of the University. The Audit Committee will receive reports from both the internal

### 3. 教務委員會

校董會依照大學條例設立教務委員會，作為管治大學學術事務的最高組織。教務委員會由校長擔任主席，成員則來自大學的名持分單位。

### 4. 管理層

理大採取行政主導的管理模式，管理人員獲賦予相關權力執掌職務，同時亦須為其職務問責。他們須以公平、公正及體恤的態度執行職務，在作出任何決定時，須透過正式及非正式渠道進行適當諮詢，廣納意見，務求作出深思熟慮、不偏不倚的決定。

### 5. 內部監管及對校外的披露

大學管理層透過下放權力，並採取制衡措施，確保大學在學術及各項運作均能達致高水準及符合成本效益。大學設有有效的內部監管制度，以監察行政權力的運用；保護大學資產，並確保資產恰當運用；保持清楚賬目及紀錄；遵守有關法律及規管條文，以及確保適當的風險管理。

大學將於每個財政年度後出版年報及經審核的財務報表。為確保大學以高透明度及問責態度運用資源，大學每年均委任校外核數師，負責審核大學的財務報表，並就大學的財務報告方式提供客觀和獨立的意見。

審核委員會須就大學的財務匯報程序、內部稽核程序、內部監管制度及風險管理的成效進行獨立檢討。校內的稽核處和校外核數師須向審核委員會提交報告。審核委員會須確保核數

and external auditors and will ensure their adequate and fair disclosure in the University's annual accounts, and the appropriate development, maintenance and implementation of control measures to address risks.

### 6. Human resources management

The University is a caring employer for all its employees, offering equal opportunity to qualified and suitable persons. It will provide a favourable and facilitating environment and opportunities for employees' career advancement.

The University will endeavour to provide competitive compensation and benefits to its employees so as to attract and retain quality employees to provide high quality education services.

The Council will determine the employment policy and terms of employment of the University's employees while the President, under delegated authority of the Council, will determine the terms of employment of individual employees in accordance with established regulations and procedures.

Management will establish and implement an effective system and mechanism to handle staff grievances and appeals in a fair and reasonable manner.

師報告中的資料在大學的年度賬目適當披露，並確保大學制定適當的風險管理措施和妥善執行，以管理風險。

### 6. 人力資源管理

作為關懷員工的僱主，大學為符合資格及合適的人士提供平等機會，並為員工提供有利環境及機會，協助他們發展事業。

大學致力提供具競爭力的薪酬及福利，藉以吸引及保留優秀員工，為社會提供優質的教育和服務。

校董會負責釐訂大學員工的聘用及服務條款政策。校長獲校董會授權，根據規例及程序決定個別員工的聘用條款。

大學管理層須訂立及執行有效機制，公平及合理地處理員工的申訴。

\* The Chinese translation is based on the English version endorsed by the Council.

\* 此譯文以校董會通過的英文原文為本。

## Membership of Council (as of 30 June 2018) 校董會成員 (2018年6月30日名單)

### Chairman 主席

Mr Chan Tze-ching 陳子政先生, *BBS, JP* \*

### Deputy Chairman 副主席

Dr Lam Tai-fai 林大輝博士, *SBS, JP* \*

### Treasurer of the University 大學司庫

Dr Lawrence Li Kwok-chang 李國祥醫生, *JP* \*\*

### Members 成員

#### (a) The President and the Deputy President

##### 校長及常務及學務副校長

Prof. Timothy W. Tong, President 校長唐偉章教授, *JP*  
Prof. Philip C.H. Chan, Deputy President and Provost  
常務及學務副校長陳正豪教授, *BBS*

#### (ii) *eight shall be appointed by the Council*

八名須由校董會委任  
Ms Shirley Chan Suk-ling 陳淑玲女士, *BBS, JP*  
Ir Dr James Lau Chi-wang 劉志宏博士工程師, *BBS, JP*  
Ms Julia Lau Man-kwan 劉文君女士  
Ir Dr Humphrey Leung Kwong-wai 梁廣偉博士工程師, *JP*  
Dr Raymond Leung Siu-hong 梁少康博士  
Mr Richard Leung Tim-chiu 梁甜昭先生  
Ms Amy Lung Pui-ying 龍佩英女士

#### (b) Three elected staff members appointed by Council

##### 三名經推選並由校董會委任的員工成員

(i) *elected by and from full-time staff*  
由全職員工從全職員工中選出  
Dr Jonathan Chan Ming-yin 陳銘賢博士  
Dr Rodney Chu Wai-chi 朱偉志博士  
(ii) *elected by and from the Senate*  
由教務委員會從教務委員會中選出  
Ir Prof. Edwin Cheng 鄭大昭教授工程師

#### (d) One member from the alumni who is not an employee of the University and who shall be appointed by the Council

一名由校董會委任和非大學僱員的校友成員

Mr Alex Wong Chun-bong 王振邦先生

#### (e) Two members from the full-time students appointed by the Council

兩名由校董會委任的全日制學生成員

(i) *elected by and from undergraduate and sub-degree students*  
由全日制本科生及學位以下程度課程學生從全日制本科生及學位以下程度課程學生中選出  
Mr Owan Li 李傲然先生  
(ii) *elected by and from postgraduate students*  
由全日制研究生從全日制研究生中選出  
(*to be elected* 有待選出)

#### (c) Seventeen members who are not employees or students of the University or public officers, of whom

##### 十七名非大學僱員或學生或公職人員的成員，其中

(i) *nine shall be appointed by the Chief Executive*  
九名須由行政長官委任  
Ms Karen Chan Ka-yin 陳嘉賢女士, *JP*  
Mr Lau Ping-cheung 劉炳章先生, *GBS, JP*  
Mr Stephen Liu Ling-hong 廖凌康先生  
The Hon. Jimmy Ng Wing-ka 吳永嘉議員, *JP*  
Mr Peter Sit Kien-ping 薛建平先生  
Mr Jaime Sze Wine-him 施榮忻先生, *JP*  
Mr Augustus Tang Kin-wing 鄧健榮先生

### Secretary 秘書

Miss Connie Chan Yuk-wa 陳育華小姐

\* Members appointed under category (c)(i) 根據類別(c)(i)獲委任的成員

\*\* Member appointed under category (c)(ii) 根據類別(c)(ii)獲委任的成員

## Membership of University Court (as of 30 June 2018) 大學顧問委員會成員 (2018年6月30日名單)

### Chairman 主席

Dr the Hon. Victor Lo Chung-wing 羅仲榮博士, *GBM, GBS, OBE, JP*

### Honorary Chairmen 榮譽主席

Dr Roy Chung Chi-ping 鍾志平博士, *GBS, JP*  
Dr Tung Chee-chen 董建成博士, *GBS, JP*  
Dr Sir Gordon Wu Ying-sheung 胡應湘爵士, *GBS, KCMG, FICE*

### Ex-officio Members 當然委員

#### *Chairman of Council* 校董會主席

Mr Chan Tze-ching 陳子政先生, *BBS, JP*

#### *Deputy Chairman of Council* 校董會副主席

Dr Lam Tai-fai 林大輝博士, *SBS, JP*

#### *Treasurer of the University* 大學司庫

Dr Lawrence Li Kwok-chang 李國祥醫生, *JP*

#### *President of the University* 校長

Prof. Timothy W. Tong 唐偉章教授, *JP*

#### *A member of Senior Management nominated by the President* 由校長指派的大學高層人員

Dr Miranda Lou 盧麗華博士  
Executive Vice President 行政副校長

#### *President of Federation of the PolyU Alumni Associations* 香港理工大學校友會聯會會長

Mr Alex Wong Chun-bong 王振邦先生

#### *President of Students' Union* 學生會會長

Mr Lam Wing-hang 林穎恒先生

#### *Immediate Past Chairman of Council* 上屆校董會主席

Dr Marjorie Yang Mun-tak 楊敏德博士, *GBS, JP*

### Honorary Members 榮譽委員

Dr Patrick Fung Yuk-bun 馮鈺斌博士, *JP*  
Dr the Hon. Stanley Ho Hung-sun 何鴻燊博士, *GBM, GBS*  
Ms Katherine Hung Siu-lin 洪小蓮女士  
The Hon. Jeffrey Lam Kin-fung 林健鋒議員, *GBS, JP*  
Mr Kenneth Lam Yiu-kin 林耀堅先生  
Mr Lawrence Lam Yin-ming 林彥明先生, *PMSM*  
Dr Allen Lee Peng-fei 李鵬飛博士, *JP*

Dr the Hon. Lui Che-woo 呂志和博士, *GBM, MBE, JP*  
Ir Ng Sai-ho 吳世豪工程師  
Dr Danny Ngai Kam-fai 倪錦輝博士, *JP*  
Mr James Pei-chun Tien 田北俊先生, *GBS, JP*  
Dr Henry Tseng Chee 曾琦博士  
Dr Allan Wong Chi-yun 黃子欣博士, *GBS, JP*  
Dr the Hon. Jose Yu Sunsay 楊孫西博士, *GBM, GBS, JP*

### Members 委員

Mr Dennis Chan Shui-lun 陳瑞麟先生  
Mr Chan Kam-lam 陳鑑林先生, *GBS, JP*  
Dr Raymond Chan 陳煒文博士, *JP*  
Dr Francis Choi Chee-ming 蔡志明博士, *GBS, JP*  
Dr Jonathan Choi Koon-shum 蔡冠深博士, *GBS, JP*  
Ms Irene Chow Man-ling 周雯玲女士  
Mr Oscar Chow Vee-tsung 周維正先生  
Ir Johnny Fan Siu-kay 樊紹基工程師  
Ms Pansy Ho 何超瓊女士, *JP*  
Mr Jimmy Kwok Chun-wah 郭振華先生, *SBS, MH, JP*  
Mr Billy Lam Chung-lun 林中麟先生, *GBS, JP*  
Mrs Yvonne Law Shing Mo-han 羅盛慕嫻女士, *BBS, JP*  
Mr Lee Ka-shing 李家誠先生, *JP*  
Mr Laurence Li Lu-jen 李律仁先生, *JP*  
Mr Liu Sing-cheong 廖勝昌先生, *JP*

Mr Andrew Lo Ching-leung 羅正亮先生  
Mr Joseph Lo Kin-ching 勞建青先生  
Mr Alex Lui Chun-wan 雷震寰先生  
Mr Ng Wai-hung 伍偉雄先生, *MH*  
Ms Winnie Ng Wing-mui 伍穎梅女士, *JP*  
Dr Katherine Ngan Ng Yu-ying 顏吳餘英博士, *MH, JP*  
Mr Kenneth Pang Tsan-wing 彭贊榮先生, *SBS*  
Dr Patrick Poon Sun-cheong 潘樂昌博士, *SBS*  
Mr Irons Sze Wing-wai 施榮懷先生, *BBS, JP*  
Mr Cliff Sun Kai-lit 孫啟烈先生, *BBS, JP*  
Dr Henry Tan 陳亨利博士, *BBS, JP, LHD*  
Ir Dr Peter Wong Kwok-keung 王國強博士工程師, *GBS, JP*  
Mr Eric C. Yim 嚴志明先生, *JP*  
Dr Yu Kwok-chun 余國春博士, *GBS, SBS, JP*  
Mrs Betty Yuen So Siu-mai 阮蘇少湄女士, *JP*

### Secretary 秘書

Miss Connie Chan Yuk-wa 陳育華小姐