

# 立法會 *Legislative Council*

立法會FC33/03-04號文件

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發文者：財務委員會秘書

受文者：財務委員會各位委員

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## 財務委員會

### 工務計劃及工務工程計劃的撥款監察

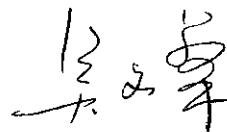
鑒於近月議員曾在多個場合上對政府撥款推行的工程計劃提出疑問，立法會秘書處已要求政府當局提供資料，說明工務工程計劃的規劃程序，以及在財務委員會批准有關工程計劃後，當局如何監察撥款的運用。政府當局已因應此項要求提供有關資料。謹此附上下列文件，供各位委員參閱 ——

立法會文件編號

立法會秘書處於2003年12月27日致政府當局的信件	FC33/03-04(01)
政府當局於2004年1月16日發出的回應	FC33/03-04(02)
立法會秘書處於2004年1月21日致政府當局的信件	FC33/03-04(03)
政府當局於2004年1月28日發出的回應	FC33/03-04(04)

2. 請委員注意，政府當局於2004年1月16日發出的信件所夾附的財務通告第8/2001及8/2002號只備有英文本。

財務委員會秘書



(吳文華女士)

連附件

(譯文)

本函檔號 : CB1/TF/1  
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財經事務及庫務局  
財經事務及庫務局局長  
(經辦人：財經事務及庫務局  
副秘書長(庫務)3謝雲珍女士)

**傳真文件(2523 5722)**

謝女士：

### **工務計劃及工務工程計劃的撥款監察**

鑒於近月議員曾在多個場合上對政府撥款推行的工程計劃提出疑問，立法會秘書處正在編製資料，藉以說明工務工程計劃的規劃程序，以及在財務委員會批准有關工程計劃後，當局如何監察撥款的運用。謹請政府當局協助提供有關資料。

有關規劃程序方面，請閣下提供以下資料 ——

- (a) 把工程計劃納入工務計劃的程序及所需權力；
- (b) 已納入工務計劃的工程計劃的規劃過程及有關的時間安排；
- (c) 當局根據哪些準則(例如迫切性、經濟效益、有否合適的用地等)決定工務計劃下各工程計劃的優先次序，以及有關準則的相對重要性；及
- (d) 決定應否將工程計劃提升為工務計劃甲級工程的程序及所需權力，以致應就提升工程的級別向工務小組委員會及財務委員會提交撥款建議。

由於工務計劃下部分規模較小的工程計劃的費用是在整體撥款項下撥款支付，請亦說明該等工程計劃的有關規劃程序及所需權力。

有關工務工程計劃的撥款監察事宜，請提供以下資料 ——

- (a) 當局現時採用哪些安排，就乙級及丙級工程計劃在施工前進行的勘測及詳細設計提供撥款；當局是否在撥款前已就該等工程計劃訂定優先次序；如優先次序因需要的改變而作出修改，該等開支會否白費；有關個別乙級及丙級工程計劃所需費用的資料是否可讓公眾查閱；
- (b) 在預留用以支付隨後5年的工程計劃開支的1,430億元中，預留給工務計劃下已獲批准施工的工程計劃、正在規劃中的工程計劃及尚未納入工務計劃的工程計劃的撥款額分別為何；
- (c) 過去3年已完成的甲級工程計劃的實際開支與有關的核准工程預算費的比較數字(如能提供按不同主要類別，例如公路、建築物、渠務工程等劃分的比較數字則最為合用)；
- (d) 若批出合約後的合約價格低於有關工程計劃的核准工程預算費，當局會採取哪些措施確保工程計劃的實際開支符合合約價格而不是核准預算費；及
- (e) 若因開支下降而節省若干款項，節省所得的款項會否投放於原先未獲安排提升為甲級的其他工程計劃中，以期充分善用預留給工務工程計劃的1,430億元撥款。

有關由政府撥款但不屬工務計劃範圍的工程計劃，例如以非經常資助金進行的工程計劃，請說明工務計劃下的工程計劃、以非經常資助金進行的工程計劃及任何其他組別的工程計劃的撥款政策、程序及處理方法。

由於秘書處需向議員提供上述資料，以便他們考慮行政長官2004年施政報告及財政司司長2004至05年度擬議財政預算案，請閣下於**2004年1月16日(星期五)**或該日前按照上文的要求提供資料。

若閣下在提供上文所列的任何資料時有任何困難，請隨時聯絡本人或薛鳳鳴女士(電話號碼：2525 3331)。

秘書長

薛鳳鳴女士代簽

(吳文華女士代行)

2003年12月27日

m5221

財經事務及庫務局  
(庫務科)

香港下亞厘畢道  
中區政府合署

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傳真號碼 Fax No. : 2523 5722  
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傳真(2869 6794)及郵遞信件

香港中區  
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立法會秘書處  
助理秘書長  
吳文華女士

吳女士：

工務計劃和工務工程項目的撥款監察

二零零三年十二月二十七日的來信收悉。

在闡述工務工程項目的規劃和監察詳情前，我們先要指出，以非經常資助金進行的工程計劃，一如工務計劃下其他工程計劃，都須經工務小組委員會／財務委員會(下稱「財委會」)以相同方式審核，故以非經常資助金進行的工程計劃的撥款政策、程序和處理方法，與工務計劃下的工程計劃相同。因此，下文各段所述的基本工程項目的規劃和監察程序，同時適用於工務計劃下的工程計劃和以非經常資助金進行的工程計劃。

規劃程序

現應來信的要求，闡述基本工程項目的規劃程序如下—

- (a) 我們以往曾提交PWSCI(2001-02)37號參考文件，載列推行基本工程項目的行政管理和規劃程序(隨信附上該文件，以供參考)。我們在該文件闡釋，在工程計劃獲納入基本工程計劃前，有關的工務部門須先擬備技術可行性說明書，說明根據初步所得的資料工程是否可行、界定工程範圍，以及開列大概所需的費用。工程計劃的技術可行性說明書一經批核，工程計劃便可獲納入基本工程計劃丙級項目。

- (b) 基本工程計劃下的建築工程計劃和土木工程計劃的規劃過程與推行政程序，載於上述工務小組委員會參考文件夾附的流程圖。就基本工程計劃而言，一般中型土木工程計劃，由構思到開始施工所需的籌備時間，通常少於四年，而一般中型建築工程計劃約需兩年。大型或複雜的工程計劃所需的時間則較長。
- (c) 政府會按理據、逼切性、經濟效益、技術可行性和其負擔能力(包括負擔長期經常性開支的能力)等考慮因素，決定基本工程計劃下各工程項目的優先次序。我們亦會評估不進行有關工程計劃或採用其他方案所涉及的機會成本或經濟損益。此外，各決策局對其政策目標所編定的優先次序，亦屬考慮因素之一。
- (d) 有關局長和管制人員在確實決定何時把工程計劃提升為甲級時，須考慮有關詳細設計工作的進度、招標方面的要求，以及整體施工時間表。一般而言，有關方面在進行詳細設計工作期間，會同時就提升工程計劃為甲級而向工務小組委員會／財委會申請撥款，以便在完成招標程序後在工地展開建造工程。為了加快進行工務工程，政府由二零零一年起簡化有關程序，以便管制人員可以選擇在獲批撥款前先展開與工程有關的招標和顧問甄選程序。不過無論如何，都必須先獲批撥款，才可採納任何標書或投標。

## 整體撥款

你亦曾查詢整體撥款項下工程計劃的規劃程序和所需權力的問題。整體撥款項下的項目包括小規模工程、為乙級工程計劃進行的可行性勘測和設計工作，以及一些獨立的斜坡工程和山泥傾瀉預防措施。除斜坡工程外，在整體撥款項下每個項目的開支都不得超過1,500萬元。根據財務通告第8/2001和8/2002號，常任秘書長和管制人員有完全的酌情權，可自行在整體撥款項下開立小規模項目，只要這些項目屬經財委會批准的有關整體撥款涵蓋範圍內的類別。有關根據獲轉授權力規劃和監察整體撥款項下工程計劃的指引和詳細程序，載於夾附的財務通告，以供參閱。

一般而言，整體撥款項下的小規模工程大多屬小型改善工程或改善現有公共設施的工程。這些工程都是因應需要而進行的，是否實施，主要視乎設施現時的狀況而定。另外，亦有很多項目是當局考慮到有關地區的居民就如何改善其鄰近環境提出的意見而進行的。

至於可行性勘測和設計工作，當局會因應基本工程計劃內有關乙級工程所定的推行計劃按時進行。另一方面，防止山泥傾瀉計劃的工程一般則會按照斜坡的危險程度而進行。

經考慮上述因素後，個別常任秘書長和管制人員會在每年十月左右定出預計進行的項目，然後在有關整體撥款項下為這些項目申請整筆撥款。

待工務小組委員會／財委會在整體撥款項下批出整筆撥款後，常任秘書長和管制人員會在各方面準備就緒時，展開有關項目。只要所需撥款不會導致有關整體撥款項下的開支總額超逾獲批的整筆撥款上限，便無須另行就個別項目向工務小組委員會／財委會提交撥款申請。根據財務通告8/2001號和8/2002號，在工程展開前，有關方面仍須擬備類似工務小組委員會文件的撥款申請，提交不同級別獲轉授權力的首長級和決策局人員審批(視乎每個項目的預算費用而定)。為避免撥款未能善用，每個經核准項目的工程都應在核准日期起計六個月內展開，如未能按時展開，則須獲有關的常任秘書長和／或財經事務及庫務局批准延長有效期。

## 撥款監察

有關基本工程項目的撥款監察事宜，來信要求的資料載列如下－

- (a) 一如《預算》的備忘錄所載，基本工程儲備基金項下各整體撥款分目的涵蓋範圍列明，有關項目的開支是用以支付工務計劃乙級或(如獲財經事務及庫務局局長批准)丙級工程計劃的初步可行性研究和小型規模勘測所需的費用，以及可行性勘測和設計(包括擬備招標文件)的顧問費和雜費，惟每個項目的開支不得超過1,500萬元。所依據的原則是，除非工程計劃已屬乙級，否則不應動用撥款支付詳細設計或擬備招標文件方面的開支，以免白費撥款。

我們每年就整體撥款向工務小組委員會／財委會提交撥款申請時，會把有關財政年度內建議在整體撥款項下提供撥款的所有繼續進行項目和計劃進行項目的一覽表，存放在立法會秘書處，供議員參考。此外，在每份提交工務小組委員會審議，建議提升基本工程項目為甲級的文件中，背景資料部分都會說明工程計劃何時納入基本工程計劃和提升為乙級工程項目。該部分亦會載述與工程計劃有關的所有顧問工作詳情，以及工程計劃的現況。我們會在文中清楚說明施工前勘測和詳細設計工作引致的開支款額，以及在哪个開支分目項下撥款支付。

如施工前需要進行的工作估計需要開支超過1,500萬元，政府會把有關的乙級工程計劃的一部分提升為甲級，並向工務小組委員會／財委會申請撥款，以支付施工前需要進行的工作的費用。

- (b) 如二零零三至零四年度《預算》所載，截至二零零三年三月三十一日，基本工程計劃甲級工程項目尚未支付的承擔額估計約為1,036億元，而在二零零三至零四年度內展開的新工程計劃(即屬乙級的項目)，估計總值為580億元。經計算二零零三至零四年度的預算開支252億元後，截至二零零四年三月三十一日，所有甲級工程計劃尚未支付的承擔總額估計為1,364億元。這個數字並不包括整體撥款項下與工程有關的項目的開支。就二零零三至零四年度而言，有關開支約為69億元。

上述數字是根據現金流量預測和工程進度估算得出，並會按工程計劃的實際進展作出調整。在二零零四至零五年度展開的新工程計劃預算費和該年度的基本工程開支預算，會載於在三月公布的《預算》草案內。

- (c) 我們一直都有提交周年報告，向工務小組委員會委員(下稱「委員」)說明在剛過去的財政年度結帳的基本工程項目的結算開支。據本月初發出的PWSCI(2003-04)32號文件所載，在二零零二至零三年度完成的甲級工程計劃，最終結算開支平均約為原本／修訂預算的87.4%。至於在二零零零至零一和二零零一至零二兩個年度完成的工程計劃，其相關比率則分別為91.5%和89.2%。PWSCI(2003-04)32號文件亦附有按組別劃分的工程計劃的分項數字比較。
- (d) 根據現行安排，我們會就每份價值超過3,000萬元的合約，定期向委員提交有關中標標書投標價的資料，以供參考。如工程計劃的中標標書投標價較核准預算低，則庫務科會在行政上作出安排，把撥予有關計劃的資源相應下調。經調低的開支限額會成為工程計劃開支總額的行政上限。除非有充分理由，並獲庫務科批准，否則工務部門的有關開支不得超出這個上限。
- (e) 在進行每年的資源分配工作時，工務部門會因應工程計劃的規劃發展情況和工程實際進度，修訂甲級和乙級這兩類工程的現金流量需求。政府促請工務部門在進行有關工作時，就所需費用提交切實的預算，以免不必要地攔住寶貴資源。因結算開支低於預算開支而節省所得的任何款項，會反映在每年修訂的工程計劃預算費中。在計及經修訂的現金流量需求、可能出現的計劃延誤，以及可動用的撥款額後，政府會盡量把資源用於確定有需要進行的新工程計劃。透過這項安排，我們希望能確保所有資源都得到充分善用。

希望上述資料有助澄清有關情況。如有進一步查詢，歡迎再與本人聯絡。

財經事務及庫務局局長

(謝雲珍代行)

副本送：財經事務及庫務局局長政務助理 2537 1736

二零零四年一月十六日

# 財務委員會 工務小組委員會參考文件

## 基本工程計劃推行政程序的資料

### 引言

本文件載列基本工程計劃推行政程序的資料摘要，說明有關工程計劃的行政管理和規劃程序，供工務小組委員會委員參閱。

### 加快推行工程計劃

2. 我們在近期採取新措施後，一般土木工程計劃和建築工程計劃由構思到開始施工所需的籌備時間，已由六年縮短至不足四年，有關措施列述如下－

- (a) 簡化評定是否把工程計劃納入工務計劃的初步技術可行性評估程序，並盡可能在四個月內完成評估工作；
- (b) 容許各局整年(即一年一度資源分配周期之間)都可提出撥款申請；
- (c) 簡化開立小型工程項目(費用不超過 1,500 萬元)的程序；
- (d) 容許管制人員可選擇在取得撥款前，進行與工程有關的招標和顧問甄選工作，惟必須在撥款申請獲得批准，以及符合批准撥款的條件的情況下，始可接納標書或報價；
- (e) 同時進行環境影響評估和刊憲工作；以及



- (f) 簡化費用不超過 5,000 萬元的基本工程計劃的招標程序(例如取消在憲報刊登公告的規定,因為現時招標公告會在互聯網刊登);以及容許管制人員可選擇在特定情況下,批出一些比較簡單的工程計劃的標書。

—— 經修訂的一般土木工程計劃和建築工程計劃推行政程序流程表載於附件。

### 土木工程計劃

3. 附件 1 的流程表說明一般中型土木工程計劃的主要推行政程序。
4. 所有土木工程的基本工程計劃都必須先在短時間內擬備技術可行性說明書,說明根據初步所得的資料工程是否可行、界定工程範圍,以及開列大概所需的費用。
5. 任何土木工程計劃,一經納入基本工程計劃,便即進入初步設計階段,以制定初步技術細節和進行各項影響評估,包括環境影響評估、交通影響評估和排水影響評估。如工程計劃不會對環境造成太大影響,則法定刊憲程序可與《環境影響評估條例》規定的環境影響評估工作和程序同時進行。
6. 在定妥初步技術細節和完成上述條例規定的程序後,工程計劃便進入詳細設計階段,可制定詳細設計和擬備工程合約招標文件,同時進行其他條例規定的程序和收地程序。
7. 在進行詳細設計工作時亦會同時提出撥款申請,以便招標程序完成後可立即動工。

### 建築工程計劃

—— 8. 附件 2 的流程表說明中型建築工程計劃的主要推行政程序。

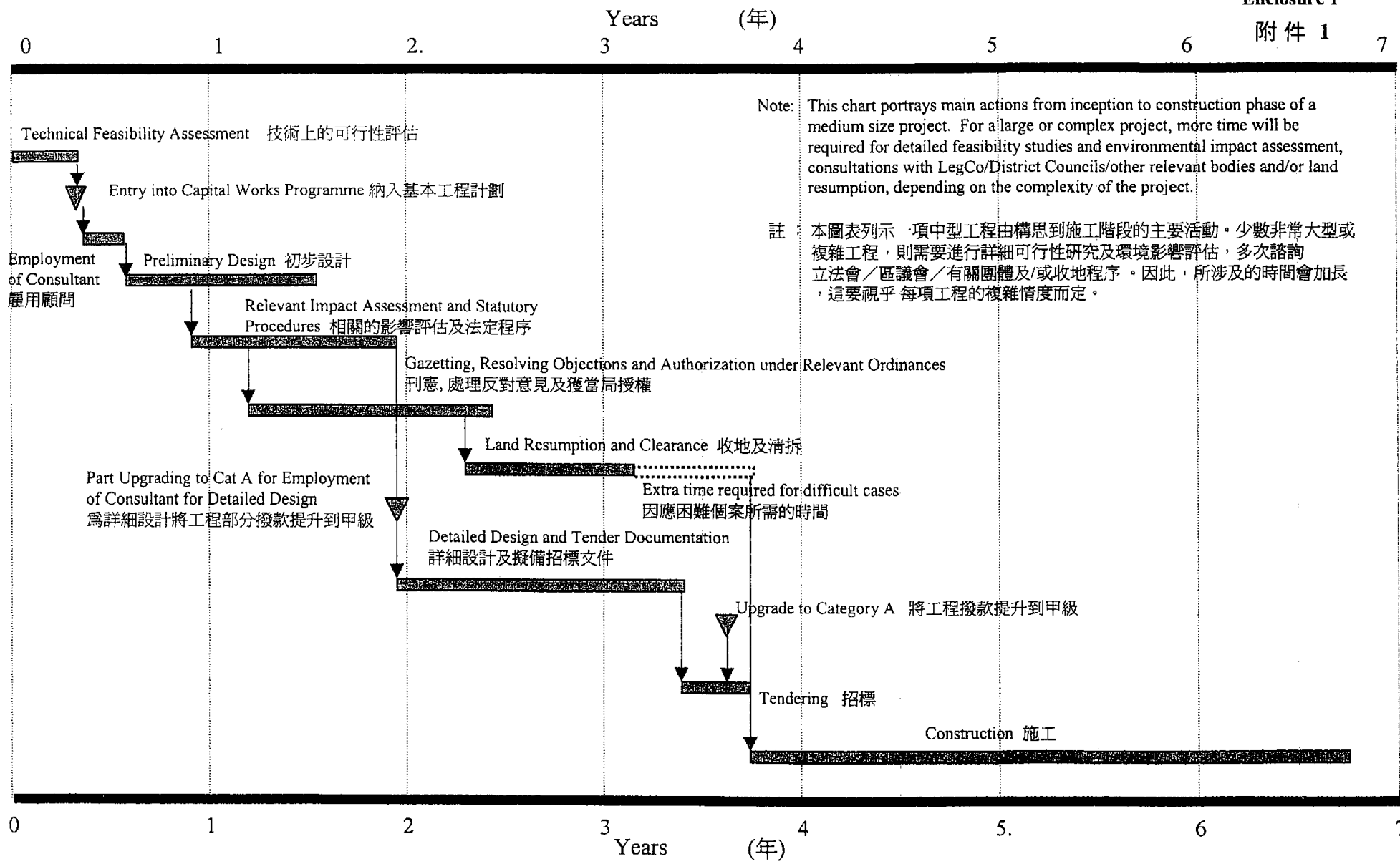
9. 建築工程計劃的推行政程序較土木工程計劃簡單，因為建築工程計劃一般不會對環境造成太大影響，而這類工程計劃通常無須收地。

10. 一般來說，建築工程計劃的地基工程會在工程計劃構思後約兩年展開，而上層結構工程則會在地基工程完成後動工。

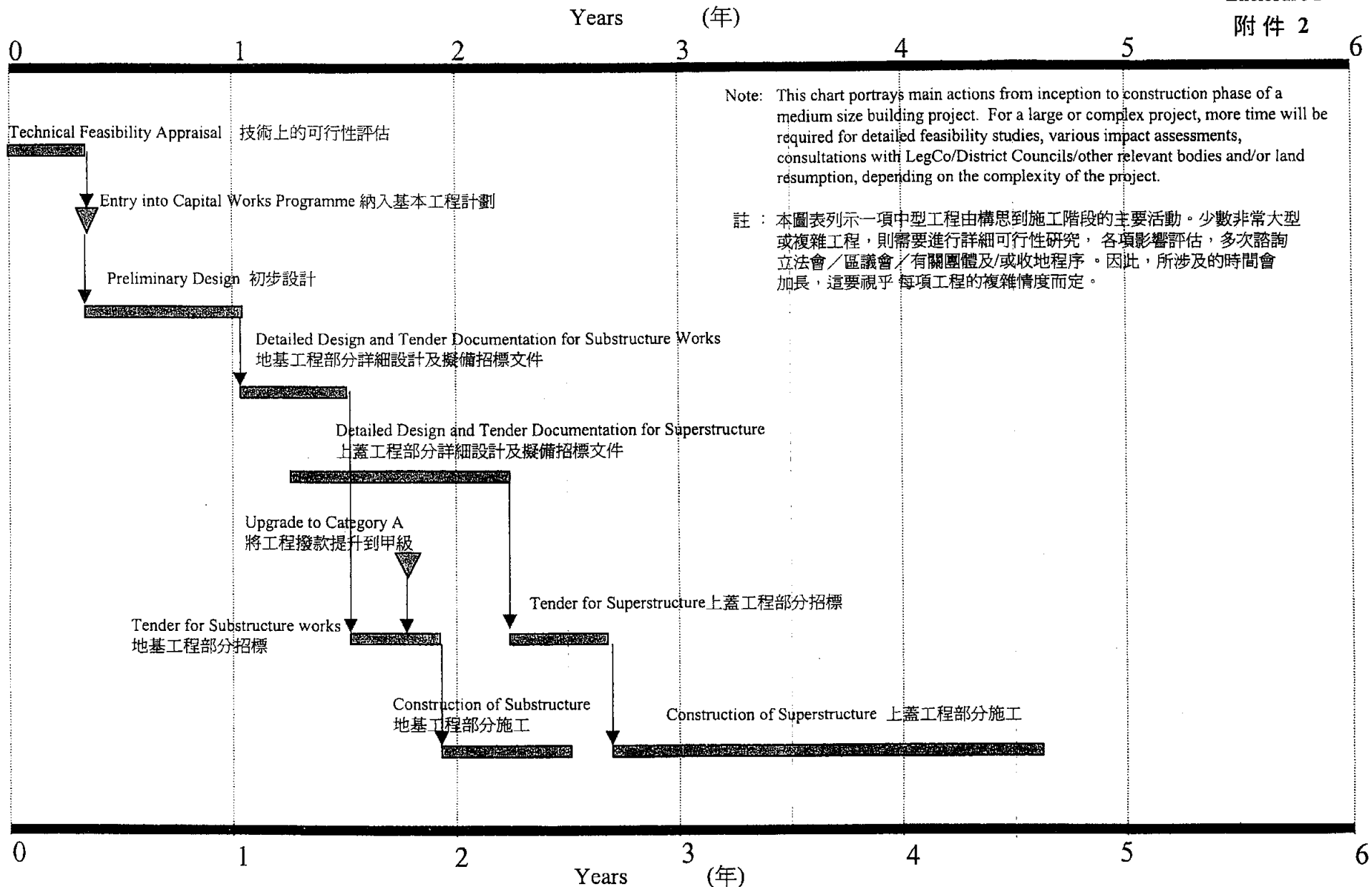
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工務局

2001 年 11 月



**Flow Chart A - Programme of a Typical Medium Size Public Engineering Project**  
**流程表A - 一般中型工務工程的實施程序**



**Flow Chart B - Programme of a Typical Medium Size Public Building Project**  
**流程表 B - 一般中型工務建築工程的實施程序**

**FINANCIAL CIRCULAR NO. 8/2001**

**Capital Works Reserve Fund  
Delegated authorities in respect of block allocations**

(Note: Distribution of this Circular is Scale C. Policy Secretaries, Controlling Officers and Resource Management Unit officers of Policy Bureaux, and all officers dealing with expenditure proposals under the block allocations of the Capital Works Reserve Fund should read it.)

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**INTRODUCTION**

This circular –

- (a) introduces new levels of sub-delegations to facilitate the creation of minor items under the Capital Works Reserve Fund (CWRF);
- (b) provides guidelines to assist Policy Secretaries and Controlling Officers to exercise their delegated authorities; and
- (c) approves an increased over-commitment level for all block allocation subheads (excluding Head 701) under the CWRF.

Financial Circulars No. 8/96 and 10/96, promulgated in April and May 1996 respectively, are hereby cancelled.

/ DEVOLUTION .....

To : Policy Secretaries  
Controlling Officers

## DEVOLUTION OF RESPONSIBILITY TO APPROVE THE CREATION OF MINOR ITEMS

2. In 1996, the Secretary for the Treasury (S for Tsy) delegated to Policy Secretaries and Controlling Officers the authority to approve the creation of "pre-identified" minor items; for non pre-identified items, the ultimate authority rested with S for Tsy. Since the distinction between pre-identified and non pre-identified items is no longer particularly meaningful, we are extending the delegation to all minor items, whether pre-identified or not. We are also devolving more authorities to directorate officers in Bureaux and Departments, and streamlining arrangements whereby a Policy Secretary is also acting as the Controlling Officer (or vice versa). The net effect of the proposed changes is that Policy Secretaries and Controlling Officers will have full discretion to create minor items under the CWRP provided the items are within the ambit of the relevant block allocation approved by Finance Committee.

### Overview

3. There are 25 CWRP block allocations. A summary setting out the scope for each, the Policy Secretary and Controlling Officer in charge and the new levels of delegated authorities is at Enclosure 1.

Encl. 1

### Block allocations affected

4. The changes introduced in paragraph 2 above affect 17 of the CWRP block allocations. For 14 subheads for which the Policy Secretary is not the same as the Controlling Officer (namely, 2001AX, 2002AX, 2003AX, 2005AX, 3100GX, 4100DX, 5101CX, 5101DX, 6100TX, 7014CX, 7015CX, 7100CX, 8100BX and 9100WX), the new set of delegated authorities for approving the creation of minor items is as follows -

	Approving limit per item
Policy Secretary	\$15 million
Deputy Secretary	\$12 million
Controlling Officer	\$10 million
Deputy to Controlling Officer (or officer at D3 level)	\$7 million
Directorate Officer of the vote controlling department (as designated by Controlling Officer)	\$3 million

/ 5. ....

5. For three subheads for which the relevant Policy Secretary is also the Controlling Officer (namely, **8100MX**, **8100QX** and **B100HX**), the new set of delegated authorities for approving the creation of minor items is as follows –

	<b>Approving limit per item</b>
Policy Secretary	\$15 million
Deputy Secretary	\$12 million
Principal Assistant Secretary	\$7 million
Directorate Officer of the Policy Bureau (as designated by Policy Secretary)	\$3 million

**Block allocations not affected**

6. There is no change to the delegated authorities for the following eight subheads –

**(a) Subheads 1004CA and 1100CA under Head 701 - Land Acquisition**

The Director of Lands remains authorised to approve expenditure for individual items under these two compensation-related subheads without a cap, subject to the Director's compliance with relevant statutory and administrative requirements<sup>1</sup> and provided the aggregate expenditure for each subhead as a whole does not exceed the allocation Finance Committee approved for that relevant subhead that year.

**(b) Subheads 3004GX and 3101GX under Head 703 - Buildings**

The Director of Architectural Services remains the Controlling Officer for these two subheads. The detailed arrangements for minor building works and refurbishment items to be approved on the advice of the Minor Building Works Committee, Government Property Agency and/or the Accommodation Strategy Group are set out in **Enclosure 2**.

Encl. 2

/ (c) .....

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<sup>1</sup> There are, for example, various formulae and rates which the Director of Lands must adopt in assessing the levels of payment that he can make in respect of acquiring land. These are set out in other Circulars or arise from decisions made by the Chief Executive in Council, the Legislative Council and Finance Committee.

(c) **Subhead 5001BX under Head 705 - Civil Engineering**

The Director of Civil Engineering remains authorised to approve individual items under this slope works-related item without limit provided the aggregate expenditure for the subhead as a whole does not exceed the allocation approved by Finance Committee.

(d) **Subheads 8100EX and 8001SX under Head 708 - Capital Subventions and Major Systems and Equipment**

For Subhead 8100EX, the Secretary General of the University Grant Committee (SG,UGC) remains authorised to approve expenditure up to \$5 million per item and, where UGC has approved the item, up to \$15 million per item. SG,UGC should consult the Secretary for Education and Manpower (SEM) in drawing up the annual estimate for this subhead and seek SEM's endorsement, where necessary, in authorising expenditure on individual projects.

For Subhead 8001SX, the Director of Social Welfare (DSW) remains authorised to approve expenditure up to \$15 million per item; and DDSW, up to \$6 million per item. DSW should consult the Secretary for Health and Welfare (SHW) in drawing up the annual estimate for this subhead and seek SHW's endorsement, where necessary, in authorising expenditure on individual projects.

(e) **Subhead A007GX under Head 710 - Computerisation**

Expenditure from this non-works subhead follows procedures stipulated in Financial Circular No. 4/98 - Funding for Computerisation under the CWRP Head 710 Computerisation dated 8 April 1998. S for Tsy has delegated to the Secretary for Information Technology and Broadcasting the authority to approve projects not exceeding \$10 million each and to the Director of Information Technology Services the authority to approve all projects not exceeding \$5 million each. Both delegations are subject to the proviso that the approved provision for A007GX will not be exceeded as a result of the exercise of the delegated authorities.

**Underspending**

7. To avoid underspending, works on each approved item should start within six months of the date of approval. Beyond that, the approval will automatically lapse unless special dispensation is obtained from the Policy Secretary to extend the validity period for six more months. Requests to extend the validity period for a second time must also be addressed to S for Tsy.

/ GUIDELINES .....



## **GUIDELINES ON THE EXERCISE OF DELEGATED AUTHORITIES**

### **Responsibilities under the Public Finance Ordinance**

8. The CWRF was established in April 1982 by Resolution of the Legislative Council under the Public Finance Ordinance (Cap. 2) for the purpose of financing the capital works programme and the acquisition of land. The Fund is administered by the Financial Secretary/S for Tsy who may delegate his power of administration to other public officers.

9. Along with the enhanced delegations, Policy Secretaries and Controlling Officers are reminded of the need to ensure that all expenditure under CWRF block allocations must be a proper charge to the CWRF and to the respective subhead.

10. If a Policy Secretary or Controlling Officer allows expenditure to be incorrectly charged to any block allocation under the CWRF, Finance Bureau will consider withdrawing the authorities delegated under this circular. Where actual misuse of public funds occurs, we may also consider instituting suitable sanctions including imposing surcharges on the public officer under the Public Finance Ordinance.

Encl. 3

11. Enclosure 3 sets out further guidelines on the approval procedures to be followed and the conditions that apply to the delegations.

### **OVER-COMMITMENT**

12. With immediate effect, the level of over-commitment for all block allocation subheads (excluding those under Head 701) will be raised to 200% of the allocation approved by Finance Committee for the subhead for that financial year. For block allocation subheads under Head 701 - Land Acquisition, there is no limit to the over-commitment level.

### **ENQUIRIES**

13. For enquiries on this Circular, please contact the Principal Assistant Secretary for the Treasury (Works) on 2810 2232.

MISS DENISE YUE  
Secretary for the Treasury

## Summary of the scope and delegated authorities for administering the CWRP block allocations

Head	Block Allocation	Policy Secretary	Controlling Officer	Generic Model of Approving Limits		
				A (Note 1)	B (Note 2)	Others
701	1004CA - <i>Compensation for surrenders and resumptions: miscellaneous</i>	S for Tsy	D of Lands			Note 3
	1100CA - <i>Compensation and ex-gratia allowances in respect of projects in the Public Works Programme</i>	S for Tsy	D of Lands			-ditto-
702	2001AX - <i>Consultants' fees for feasibility investigations and design and major in-house investigations for PADS related civil engineering projects</i>	SES	DCE	✓		
	2002AX - <i>Consultants' fees for feasibility investigations and design and major in-house investigations for PADS related transport projects</i>	S for T	D of Hy	✓		
	2003AX - <i>Consultants' fees for feasibility investigations and design and major in-house investigations for PADS related territorial development projects</i>	SPL	DTD	✓		
	2005AX - <i>Consultants' fees for feasibility investigations and design and major in-house investigations for PADS related waterworks projects</i>	S for W	DWS	✓		
703	3004GX - <i>Refurbishment of government buildings for items in Category D of the Public Works Programme</i>	S for Tsy	D Arch S			Note 4

/ 3100GX .....

Head	Block Allocation	Policy Secretary	Controlling Officer	Generic Model of Approving Limits		
				A (Note 1)	B (Note 2)	Others
703 (Cont'd)	3100GX - <i>Project feasibility studies, minor investigations and consultants' fees for items in Category D of the Public Works Programme</i>	S for Tsy	D Arch S	✓		
	3101GX - <i>Minor building works for items in Category D of the Public Works Programme</i>	S for Tsy	D Arch S			Note 5
704	4100DX - <i>Drainage works, studies and investigations for items in Category D of the Public Works Programme</i>	SEF	DDS	✓		
705	5001BX - <i>Landslip preventive measures</i>	S for W	DCE			Note 6
	5101CX - <i>Civil engineering works, studies and investigations for items in Category D of the Public Works Programme</i>	S for W	DCE	✓		
	5101DX - <i>Environmental works, studies and investigations for items in Category D of the Public Works Programme</i>	SEF	DEP	✓		
706	6100TX - <i>Highway works, studies and investigations for items in Category D of the Public Works Programme</i>	S for T	D of Hy	✓		
707	7014CX - <i>Rural Public Works Programme</i>	SHA	DHA	✓		
	7015CX - <i>Urban Minor Works Programme</i>	SHA	DHA	✓		
	7100CX - <i>New towns and urban area works, studies and investigations for items in Category D of the Public Works Programme</i>	SPL	DTD	✓		

Head	Block Allocation	Policy Secretary	Controlling Officer	Generic Model of Approving Limits		
				A (Note 1)	B (Note 2)	Others
708	<b>8100BX</b> - <i>Slope-related capital works for subvented organisations other than education and medical subventions</i>	S for W	D Arch S	✓		
	<b>8100EX</b> - <i>Alterations, additions, repairs and improvements to the campuses of the UGC-funded institutions</i>	SEM	SG, UGC			Note 7
	<b>8100MX</b> - <i>Hospital Authority – improvement works, feasibility studies, investigations and pre-contract consultancy services for building projects</i>	SHW	SHW		✓	
	<b>8100QX</b> - <i>Alterations, additions, repairs and improvements to education subvented buildings</i>	SEM	SEM		✓	
	<b>8001SX</b> - <i>Reprovisioning of welfare facilities</i>	SHW	DSW			Note 8
709	<b>9100WX</b> - <i>Waterworks, studies and investigations for items in Category D of the Public Works Programme</i>	S for W	DWS	✓		
710	<b>A007GX</b> - <i>New administrative computer systems</i>	SITB	DITS			Note 9
711	<b>B100HX</b> - <i>Minor housing development related works, studies and investigations for items in Category D of the Public Works Programme</i>	S for H	S for H		✓	

**Note 1 :** For the 14 block allocation subheads covered by Note 1, the approving limits of the responsible Policy Secretaries and Controlling Officers are as follows –

	<b>Approving limit per item</b>
- Policy Secretary	\$15 million
- Deputy Secretary	\$12 million
- Controlling Officer	\$10 million
- Deputy to Controlling Officer (or officer at D3 level)	\$7 million
- Directorate Officer of the vote controlling department (as designated by Controlling Officer)	\$3 million

**Note 2 :** For the three block allocation subheads covered by Note 2, the approving limits of the responsible Policy Secretaries (who also serve as the Controlling Officers) are as follows –

	<b>Approving limit per item</b>
- Policy Secretary	\$15 million
- Deputy Secretary	\$12 million
- Principal Assistant Secretary	<del>\$10</del> million
- Directorate Officer of the Policy Bureau (as designated by Policy Secretary)	\$3 million

**Note 3 :** For Subheads 1004CA and 1100CA, the Director of Lands is authorised to approve expenditure for individual items without limit provided that the annual allocations for the subheads approved by Finance Committee not being exceeded. As approved by S for Tsy and subject to figures approved by various internal committees chaired by D3 or D2 officers or at the ex-gratia rates approved by S for Tsy, the Director of Lands may further delegate his authority to incur expenditure for items exceeding \$20 million each to D2 (or D3) officers and for items below \$20 million each to D1 officers. For details, please refer to Lands Departments Accounting Circular (LDAC) No. 5/2001 or future updated LDAC on the delegation of authorities.

**Note 4 :** For **Subhead 3004GX**, D Arch S is required to prepare a programme of works on an annual basis for DS(Tsy)3's approval. He as Controlling Officer is authorised to approve expenditure for individual items not exceeding \$15 million provided that the annual allocation for the subhead approved by Finance Committee is not exceeded.

**Note 5 :** For **Subhead 3101GX**, the approving limits are as follows –

	<b>Approving limit per item</b>
- DS(Tsy)3, on the advice of the Accommodation Strategy Group	\$15 million
- D Arch S, on the advice of the Minor Building Works Committee	\$10 million (for non-fitting out works)
- AD(Property Services), Arch SD	\$1 million (for non-fitting out works)
- Senior Maintenance Surveyors, Arch SD	\$0.1 million (for non-fitting out works)
- Government Property Administrator	\$10 million (for fitting out works)

**Note 6 :** For **Subhead 5001BX**, the Director of Civil Engineering is authorised to approve expenditure for individual items without limit provided that the annual allocations for the subhead approved by Finance Committee not being exceeded; and the Deputy Director of Civil Engineering, up to \$10 million per item.

**Note 7 :** For **Subhead 8100EX**, SG, UGC is authorised to approve any items up to \$5 million each; and up to \$15 million each where the item has been approved by the UGC.

**Note 8 :** For **Subhead 8001SX**, DSW is authorised to approve any items up to \$15 million each; and DDSW, up to \$6 million each.

**Note 9 :** For **Subhead A007GX**, SITB is authorised to approve any items up to \$10 million each; and DITS, up to \$5 million each.

**Note 10 :** For the ambits of individual block allocations, please refer to the Memorandum Note of the CWRP Estimates contained in annual Estimates, Volume II - Funds Accounts.

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**Delegated authorities for administering Subheads 3004GX and 3101GX under Head 703 - Buildings**

The Director of Architectural Services (D Arch S) is the Controlling Officer for **Head 703 Subheads 3004GX and 3101GX**. He will prepare a programme of works to be funded under **Head 703 Subhead 3004GX** each year. At the time of the annual Estimates, he will also call for bids from departments for items to be funded under **Head 703 Subhead 3101GX**. Based on the programme and departmental returns, he will propose the estimates for **Head 703 Subheads 3004GX and 3101GX**.

2. A Minor Building Works (MBW) Committee chaired by D Arch S will examine minor building works (other than fitting out works) proposed to be funded under **Head 703 Subhead 3101GX**, while the Government Property Administrator (GPA) will examine fitting out works projects proposed under the same Subhead. An Accommodation Strategy Group (ASG) chaired by DS(Tsy)3 will examine and endorse, among other things, projects referred to it by the MBW Committee or GPA, as appropriate. Please refer to **Enclosure 1 (Notes 4 and 5)** for details of the delegated authority in respect of these two subheads. The terms of reference and composition of the MBW Committee and ASG are as follows -

**Terms of Reference**

**MBW Committee**

**ASG**

- (a) To consider proposed minor building works (other than fitting out works) exceeding \$1 million each to be funded under **Head 703 Subhead 3101GX** block vote and to determine priorities for implementing these works;
- (b) to recommend for D Arch S's approval expenditure for works in (a) above ≤ \$10 million each;
- (c) to recommend for ASG's endorsement and DS(Tsy)3's approval works in (a) above > \$10 million each; and

- (a) To decide administratively the phased expenditure and distribution of funds under the **Head 703 Subhead 3101GX** between various categories of work, namely -
  - (i) minor building works ≤ \$1 million each;
  - (ii) minor building works > \$1 million but ≤ \$10 million each;
  - (iii) minor building works > \$10 million but ≤ \$15 million each; and
  - (iv) fitting out works for new leased or purchased government accommodation;

/ (d) .....

**MBW Committee**

**ASG**

- (d) to monitor regularly patterns of expenditure in block allocation Subhead 3101GX.
- (b) to agree on criteria for prioritisation of proposals for minor building works to be funded under Head 703 Subhead 3101GX;
- (c) to examine and recommend to DS(Tsy)3 for approval the funding, under Head 703 Subhead 3101GX, of projects > \$10 million but ≤ \$15 million each, taking into account recommendations of the MBW Committee or GPA, as appropriate;
- (d) to review from time to time the administrative demarcation and share of funds of the categories at (a); and
- (e) to examine and approve the programme of refurbishment works as proposed by D Arch S for funding under Subhead 3004GX.

**Composition**

**MBW Committee**

**ASG**

Chairman : D Arch S  
 Members : AD(Property Services)  
           General Engineering  
           Services Manager  
           GPA or his representative

Chairman : DS(Tsy)3  
 Members : D Arch S  
           GPA  
           PAS(Tsy)E, FB

Secretary : provided by Arch SD

Secretary : provided by Arch SD

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## Guidelines on the exercise of delegated authorities

### Policy Secretary and Controlling Officer

In considering a proposal to create a new project under the CWRP block allocations, Policy Secretaries, Controlling Officers and designated officers should –

- (a) ensure that the proposal is a proper charge to the relevant CWRP block allocation (in line with paragraphs 2 to 6 below);
- (b) exercise their delegated authority in a transparent and accountable manner (along the lines set out in paragraphs 7 to 20 below). They should not sub-delegate their authorities to other officers; and
- (c) monitor and control expenditure from the relevant block allocations to keep the total expenditure and the level of over-commitment strictly within approved limits. Should there be cases that fall beyond their delegated authorities (as described in paragraph 21 below), they should refer the cases to Finance Bureau in a timely manner.

### Proper charge to CWRP Block Allocations

2. Policy Secretaries and Controlling Officers should distinguish capital expenditure from the following cases –

- (a) **Recurrent Expenditure** – There should be no “capitalisation” of cost items<sup>1</sup> which belong to recurrent heads under the General Revenue Account (GRA).
- (b) **Investments or Loans** – Equity injections or loans that fund capital works projects indirectly should not be charged against the CWRP block allocations.

/ (c) .....

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<sup>1</sup> As examples, in-house staff costs to implement the works or the subsequent maintenance or operating costs of the completed works should not be “capitalised” and funded through the CWRP.

- (c) **Capital Non-works** – Capital non-works<sup>2</sup> not arising directly from capital works projects are non-recurrent charges to GRA heads of expenditure.

3. Even if the proposed expenditure in question is a possible charge to the CWRF, the proposal must be **within the ambit** of the head and subhead. We may incur expenditure from the block allocations only if the relevant legislation or formal decisions made under that legislation (such as those of the Finance Committee) state clearly that we can do so. Silence should be taken to mean we **cannot** incur expenditure unless we first obtain the necessary approvals from the Finance Committee either to create a new subhead or to amend the ambit of the existing subhead to permit the proposed expenditure. If in doubt, Policy Secretaries and Controlling Officers should seek the advice of S for Tsy.

4. We should not implement larger projects using funds from the block allocations by artificially breaking the costs of the project down into either smaller projects or phases or stages. We should also not use block allocations to cover increased expenditure on a project or part of a project that is already funded under the CWRF (or from other non-CWRF sources of funds) unless the project concerned was originally funded from the same block allocation and we are simply increasing the approved estimate of that project within the financial ceiling for individual projects under that block allocation. Block allocations must not be used to hide cost overruns on other projects or to cover omissions in the original scopes of such projects.

5. Precedent cases cannot be relied upon solely to justify the use of a block allocation for a particular purpose since each case should be examined on its merits and in the light of prevailing circumstances.

6. We are open in our decision-making processes and have committed to fully consult the public and other interested parties on any proposals that may affect them. Funding proposals under block allocations should therefore not be classified as “restricted”, “confidential”, or higher, without obtaining the prior written approval of the S for Tsy.

/ Approval .....

<sup>2</sup> Examples of capital non-works items are traffic impact assessment study (TIA) and environmental impact studies (EIA) in connection with a site to be sold for estate development. Meanwhile, TIAs and EIAs arising directly from capital works projects are proper expenditure under the CWRF.

## Approval process

### *Factors to be considered*

7. Policy Secretaries and Controlling Officers should not approve expenditure proposals until they are sure that all **preparatory administrative and legal procedures** necessary for the implementation of these proposals have been completed. For example, Policy Secretaries and Controlling Officers should not approve the funding request where gazetting is required until the gazetting procedure has been completed and all objections have been either resolved or overruled by the Executive Council. Similar rules apply in respect of public consultation with District Councils and other similar bodies.
  
8. Policy Secretaries and Controlling Officers should see to it that **environmental problems** have been resolved before works are committed. For designated projects under the Environmental Impact Assessment (EIA) Ordinance, the project proponent should ensure that the statutory environmental procedures are complied with and environmental permits obtained before the construction and operation of the project. For other projects not covered by the EIA Ordinance, the streamlined procedures as set out in the Joint WBTC 18/98 and PELB TC 10/98 and any further streamlined measures issued by Finance Bureau and Works Bureau should be followed.
  
9. No expenditure proposals on projects should be committed until all **land acquisition** and delivery issues have been resolved.
  
10. Many projects give rise to subsequent **recurrent expenditure** requirements. All these should be cleared by the relevant Resource Division(s) in Finance Bureau beforehand. Failing this, we will **require** any additional recurrent costs to be absorbed within the global allocation for recurrent expenditure for the Policy Secretaries and Controlling Officers concerned **without** any increase in the baseline.
  
11. Controlling Officers or Policy Secretaries cannot authorise expenditure from any of the CWRP block allocations in respect of items which involve the **capitalisation of recurrent expenditure**. This includes but is not limited to capitalisation of staff costs, staff benefits, routine maintenance, and operating and management costs.

/ 12. ....

12. Other than Head 703 Subhead 3101GX, Policy Secretaries and Controlling Officers may not authorise expenditure on the acquisition or fitting out of office accommodation or for the purchase of office furniture and equipment (or vehicles) without first seeking clearance from 'W' Division of Finance Bureau. As regards the purchase of other equipment, this is only allowed where such equipment is required as an essential part of a project. We will not permit capital works subheads to be used as a means to circumvent the normal procedures that Bureaux and Departments must follow to acquire non project-specific equipment.

### ***Documentation***

13. We do not require a formal paper to be drafted for items costing less than \$5 million each. The request to the Controlling Officer (or his Deputy) can take the form of a memo or minute that follows (albeit in reduced form) the general drafting style of a PWSC paper. The memo or minute should be self explanatory without the need to refer to other correspondence or documents. It should set out clearly and concisely the problem, the proposal, the justification, the financial implications (both capital and recurrent), the start and completion dates and any relevant background information. A Controlling Officer may approve several items *en bloc* provided that they are clearly not phases or stages of a larger parent item which exceeds the Controlling Officer's normal ceiling of delegated authority.

14. We will not require Controlling Officers to supply a copy of the approval memo or minute to Finance Bureau and these may remain on the Controlling Officer's files, unless called for. We will, however, require a quarterly return to be made to 'W' Division of Finance Bureau listing those items that have been approved and the costs involved. This is so that we can supply an annual list of projects approved to the Finance Committee. Controlling Officers will also be responsible for providing a Chinese translation of the memo or minute should this be necessary.

15. Finance Bureau will also call for copies of certain memos or minutes on a random basis so as to ensure that Controlling Officers are exercising their delegated powers in a transparent and accountable manner.

16. We require a formal Category D paper to be prepared for items each costing \$5 million or more, following the style and content of a PWSC paper. Normally we would expect the main works department responsible, in consultation with the client department or bureau, to prepare the initial skeleton of

/ the .....

the paper setting out the funding request. The works department should then clear the Environmental Implications paragraph (if one is needed) with EPD and ask others, such as the Lands Department, to provide the relevant information needed under other sections of the paper. Through the Policy Bureau, the works department should also clear any recurrent implications with the relevant Resource Division(s) in Finance Bureau. The works department should pass the final draft to the client department (where there is no client department, to the Policy Bureau or Controlling Officer) for clearance and transmission onto the Policy Bureau or Controlling Officer.

17. Policy Secretaries and Controlling Officers should send a copy of the final paper, with the signatures of the approving officers and relevant financial statement, to 'W' Division of Finance Bureau for record purposes.

### *Approval procedures*

18. We need to establish a clear audit trail for the funding approval process. At each stage of the process, we will require the **personal signatures** of appropriate officers to be appended to the paper. These will include –

- (a) the project officer of the works department clearing the paper, who should confirm that all necessary legislative and administrative procedures have been completed;
- (b) the officer of the vote controlling department/bureau at senior professional level or above certifying that sufficient funds are available to meet the proposed expenditure. The officer should attach to the paper a simple financial statement providing basic details of the approved provision under the subhead, the expenditure to date, forecast expenditure for the remainder of the financial year and the degree of over-commitment to date arising from forecast expenditure in subsequent financial years;
- (c) where one exists, the representative of the Client department or agency (as would be the case with a subvented organisation) at directorate level certifying that the proposals in the paper accord with its requirements; and
- (d) the approving officer.

19. The drafting and approval process should be the same whether the approving authority rests with the Policy Bureau or the vote controlling department.

*/ Main .....*

**Main Policy Secretaries**

20. We indicate in Enclosure 1, under the various Heads, who we believe to be the main Policy Secretary for each block allocation subhead. There may, however, be projects under these subheads that fall under the programme area of another Policy Secretary. In the circumstances, the main Policy Bureau should positively consider applications from the (other) Policy Secretary concerned in respect of the project under the latter's programme area. To this end, the latter Policy Secretary or his directorate representative should give the Bureau's endorsement by adding the following section to the front covering sheet of the Category D paper -

**Head of Policy Bureau (or his representative)**

I certify that the proposals set out in the paper have the policy support of my Bureau and that all the necessary legislative and administrative procedures have been completed.

Signature.....

Name.....

Rank/post.....

Date.....

File ref.....

In case of disagreement, the Policy Secretary (or Secretaries) concerned may refer the cases to S for Tsy for decision.

**Cases beyond delegated authority**

21. Policy Secretaries should consult S for Tsy, where -

- (a) work under a block allocation item has failed to start within 12 months of the date of financial approval (i.e. seeking extension of validity period of approval for a second time);
- (b) the approved over-commitment level for the block allocation is likely to be exceeded; or

/ (c) .....

- (c) the latest forecast of expenditure indicates that total expenditure will exceed \$15 million for individual items or exceed the allocations approved by Finance Committee. This will require a PWSC paper.
- 

**Note :** For Subheads 1004CA and 1100CA, only paragraphs 1 to 3, 7, 8 and 18 are applicable.

**FINANCIAL CIRCULAR NO. 8/2002**

**Administration of capital expenditure items  
under the Capital Works Reserve Fund**

(Note : Distribution of this Circular is Scale C. Directors of Bureau, Controlling Officers and Resource Management Unit officers of Policy Bureaux, and all officers dealing with expenditure proposals under the block allocations of the Capital Works Reserve Fund should read it.)

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**Purpose**

This circular clarifies arrangements for the administration of capital expenditure items under the Capital Works Reserve Fund (CWRF) to tie in with the introduction of the accountability system. The new delegation will take immediate effect.

**LegCo Resolution**

2. In accordance with the Legislative Council Resolution setting up the CWRF, the Financial Secretary (FS) may delegate his power of administration to other public officers. By virtue of Cap 1, the Secretary for Financial Services and the Treasury (SFST) may act in the capacity of the FS in the administration of the Fund.

**/ Controlling Officers .....**

To : Directors of Bureau  
Controlling Officers



### **Controlling Officers**

3. For expenditure items under **Heads 701 to 707, 709 and 711** of the CWRP, the FS has designated various Heads of Departments as Controlling Officers. These delegations are not affected by the introduction of the accountability system and will remain valid.

4. For expenditure items under **Head 708 (Capital Subventions and Major Systems and Equipment) and Head 710 (Computerisation)**, FS has designated policy secretaries as well as other Heads of Departments as Controlling Officers. The authorities formerly delegated to **policy secretaries** are hereby rescinded and transferred to the **permanent secretaries** of the relevant bureau or branch. The delegations to Heads of Department remain valid.

### **Approving authority for block allocations**

5. For minor items funded from 25 CWRP block allocations, FS has authorised a number of **policy secretaries** to approve expenditure within the scope set by Finance Committee. These delegations will be transferred with immediate effect to the **permanent secretaries** of the relevant bureau or branch. Other delegations on the administration of CWRP block allocations relating to Heads of Departments and directorate officers in policy bureaux remain valid, notwithstanding the change in post titles for some as from 1 July 2002. A new schedule of authorisation which replaces Enclosure 1 to Financial Circular No. 8/2001 with immediate effect is attached.

### **Enquiries**

6. Should there be enquiries on this circular, please contact colleagues in the Works Division of this bureau.

Frederick S Ma  
Secretary for Financial Services  
and the Treasury

Enclosure 1

Summary of the scope and delegated authorities for administering the CWRP block allocations

Head	Block Allocation	Permanent Secretaries	Controlling Officer	Generic Model of Approving Limits		
				A (Note 1)	B (Note 2)	Others
701	1004CA - <i>Compensation for surrenders and resumptions: miscellaneous</i>	Permanent Secretary for Financial Services and the Treasury (Treasury)	D of Lands			Note 3
	1100CA - <i>Compensation and ex-gratia allowances in respect of projects in the Public Works Programme</i>	Permanent Secretary for Financial Services and the Treasury (Treasury)	D of Lands			-ditto-
702	2001AX - <i>Consultants' fees for feasibility investigations and design and major in-house investigations for PADS related civil engineering projects</i>	Permanent Secretary for Economic Development and Labour (Economic Development)	DCE	✓		
	2002AX - <i>Consultants' fees for feasibility investigations and design and major in-house investigations for PADS related transport projects</i>	Permanent Secretary for the Environment, Transport and Works (Transport and Works)	D of Hy	✓		

Head	Block Allocation	Permanent Secretaries	Controlling Officer	Generic Model of Approving Limits		
				A (Note 1)	B (Note 2)	Others
702 cont'd	2003AX - <i>Consultants' fees for feasibility investigations and design and major in-house investigations for PADS related territorial development projects</i>	Permanent Secretary for Housing, Planning and Lands (Planning and Lands)	DTD	✓		
	2005AX - <i>Consultants' fees for feasibility investigations and design and major in-house investigations for PADS related waterworks projects</i>	Permanent Secretary for the Environment, Transport and Works (Transport and Works)	DWS	✓		
703	3004GX - <i>Refurbishment of government buildings for items in Category D of the Public Works Programme</i>	Permanent Secretary for Financial Services and the Treasury (Treasury)	D Arch S			Note 4
	3100GX - <i>Project feasibility studies, minor investigations and consultants' fees for items in Category D of the Public Works Programme</i>	Permanent Secretary for Financial Services and the Treasury (Treasury)	D Arch S	✓		
	3101GX - <i>Minor building works for items in Category D of the Public Works Programme</i>	Permanent Secretary for Financial Services and the Treasury (Treasury)	D Arch S			Note 5

Head	Block Allocation	Permanent Secretaries	Controlling Officer	Generic Model of Approving Limits		
				A (Note 1)	B (Note 2)	Others
704	4100DX - Drainage works, studies and investigations for items in Category D of the Public Works Programme	Permanent Secretary for the Environment, Transport and Works (Environment)	DDS	✓		
705	5001BX - Landslip preventive measures	Permanent Secretary for the Environment, Transport and Works (Transport and Works)	DCE			Note 6
	5101CX - Civil engineering works, studies and investigations for items in Category D of the Public Works Programme	Permanent Secretary for the Environment, Transport and Works (Transport and Works)	DCE	✓		
	5101DX - Environmental works, studies and investigations for items in Category D of the Public Works Programme	Permanent Secretary for the Environment, Transport and Works (Environment)	DEP	✓		
706	6100TX - Highway works, studies and investigations for items in Category D of the Public Works Programme	Permanent Secretary for the Environment, Transport and Works (Transport and Works)	D of Hy	✓		

Head	Block Allocation	Permanent Secretaries	Controlling Officer	Generic Model of Approving Limits		
				A (Note 1)	B (Note 2)	Others
707	<i>7014CX - Rural Public Works Programme</i>	Permanent Secretary for Home Affairs	DHA	✓		
	<i>7015CX - Urban Minor Works Programme</i>	Permanent Secretary for Home Affairs	DHA	✓		
	<i>7100CX - New towns and urban area works, studies and investigations for items in Category D of the Public Works Programme</i>	Permanent Secretary for Housing, Planning and Lands (Planning and Lands)	DTD	✓		
708	<i>8100BX - Slope-related capital works for subvented organisations other than education and medical subventions</i>	Permanent Secretary for the Environment, Transport and Works (Transport and Works)	D Arch S	✓		
	<i>8100EX - Alterations, additions, repairs and improvements to the campuses of the UGC-funded institutions</i>	Permanent Secretary for Education and Manpower	SG, UGC			Note 7
	<i>8100MX - Hospital Authority - improvement works, feasibility studies, investigations and pre-contract consultancy services for building projects</i>	Permanent Secretary for Health, Welfare and Food	Permanent Secretary for Health, Welfare and Food		✓	

Head	Block Allocation	Permanent Secretaries	Controlling Officer	Generic Model of Approving Limits		
				A (Note 1)	B (Note 2)	Others
708 cont'd	8100QX - <i>Alterations, additions, repairs and improvements to education subvented buildings</i>	Permanent Secretary for Education and Manpower	Permanent Secretary for Education and Manpower		✓	
	8001SX - <i>Reprovisioning of welfare facilities</i>	Permanent Secretary for Health, Welfare and Food	DSW			Note 8
709	9100WX - <i>Waterworks, studies and investigations for items in Category D of the Public Works Programme</i>	Permanent Secretary for the Environment, Transport and Works (Transport and Works)	DWS	✓		
710	A007GX - <i>New administrative computer systems</i>	Permanent Secretary for Commerce, Industry and Technology (Information Technology and Broadcasting)	DITS			Note 9
711	B100HX - <i>Minor housing development related works, studies and investigations for items in Category D of the Public Works Programme</i>	Permanent Secretary for Housing, Planning and Lands (Housing)	Permanent Secretary for Housing, Planning and Lands (Housing)		✓	

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**Note 1 :** For the 14 block allocation subheads covered by Note 1, the approving limits of the responsible Permanent Secretaries and Controlling Officers are as follows –

	<b>Approving limit per item</b>
- Permanent Secretary	\$15 million
- Deputy Secretary	\$12 million
- Controlling Officer	\$10 million
- Deputy to Controlling Officer (or officer at D3 level)	\$7 million
- Directorate Officer of the vote controlling department (as designated by Controlling Officer)	\$3 million

**Note 2 :** For the three block allocation subheads covered by Note 2, the approving limits of the responsible Permanent Secretaries (who also serve as the Controlling Officers) are as follows –

	<b>Approving limit per item</b>
- Permanent Secretary	\$15 million
- Deputy Secretary	\$12 million
- Principal Assistant Secretary	\$7 million
- Directorate Officer of the Policy Bureau (as designated by Permanent Secretary)	\$3 million

**Note 3 :** For Subheads 1004CA and 1100CA, the Director of Lands is authorised to approve expenditure for individual items without limit provided that the annual allocations for the subheads approved by Finance Committee not being exceeded. As approved by Permanent Secretary for Financial Services and the Treasury (Treasury) and subject to figures approved by various internal committees chaired by D3 or D2 officers or at the ex-gratia rates approved by Permanent Secretary for Financial Services and the Treasury (Treasury), the Director of Lands may further delegate his authority to incur expenditure for items exceeding \$20 million each to D2 (or D3) officers and for items below \$20 million each to D1 officers. For details, please refer to Lands Departments Accounting Circular (LDAC) No. 5/2001 or future updated LDAC on the delegation of authorities.

**Note 4 :** For Subhead 3004GX, D Arch S is required to prepare a programme of works on an annual basis for DS(Tsy)3's approval. He as Controlling Officer is authorised to approve expenditure for individual items not exceeding \$15 million provided that the annual allocation for the subhead approved by Finance Committee is not exceeded.

**Note 5 :** For Subhead 3101GX, the approving limits are as follows –

	<b>Approving limit per item</b>
- DS(Tsy)3, on the advice of the Accommodation Strategy Group	\$15 million
- D Arch S, on the advice of the Minor Building Works Committee	\$10 million (for non-fitting out works)
- AD(Property Services), Arch SD	\$1 million (for non-fitting out works)
- Senior Maintenance Surveyors, Arch SD	\$0.1 million (for non-fitting out works)
- Government Property Administrator	\$10 million (for fitting out works)

**Note 6 :** For Subhead 5001BX, the Director of Civil Engineering is authorised to approve expenditure for individual items without limit provided that the annual allocations for the subhead approved by Finance Committee not being exceeded; and the Deputy Director of Civil Engineering, up to \$10 million per item.

**Note 7 :** For Subhead 8100EX, SG, UGC is authorised to approve any items up to \$5 million each; and up to \$15 million each where the item has been approved by the UGC.

**Note 8 :** For Subhead 8001SX, DSW is authorised to approve any items up to \$15 million each; and DDSW, up to \$6 million each.



**Note 9 :** For Subhead A007GX, Permanent Secretary for Commerce, Industry and Technology (Information Technology and Broadcasting) is authorised to approve any items up to \$10 million each; and DITS, up to \$5 million each.

**Note 10 :** For the ambits of individual block allocations, please refer to the Memorandum Note of the CWRP Estimates contained in annual Estimates, Volume II - Funds Accounts.

(譯文)

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財經事務及庫務局  
財經事務及庫務局局長  
(經辦人：財經事務及庫務局  
副秘書長(庫務)3謝雲珍女士)

**傳真文件(2523 5722)**

謝小姐：

### **工務計劃及工務工程計劃的撥款監察**

閣下2004年1月16日的來信收悉，多謝閣下就上述題目提供全面的資料。

有關工務工程計劃的規劃程序，請閣下亦提供關於政府每年財政周期的資料(如能同時提供中、英文本則更理想)，尤其政府當局內部就提升基本工程計劃為甲級提出資源申請及作出考慮的時間安排。

請閣下於**2004年1月30日**或該日前提提供上述資料。如閣下在處理上述要求時有任何困難，請隨時致電2509 4602與本人聯絡。

秘書長

(薛鳳鳴女士代行)

2004年1月21日

m5222

財經事務及庫務局  
(庫務科)

香港下亞厘畢道  
中區政府合署

FINANCIAL SERVICES AND THE  
TREASURY BUREAU  
(The Treasury Branch)

Central Government Offices,  
Lower Albert Road,  
Hong Kong

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秘書長  
(經辦人：薛鳳鳴女士)

薛女士：

工務計劃和工務工程項目的撥款監察

二零零四年一月二十一日的來信收悉。

首先我希望指出，目前在政府工務工程項目規劃程序的財政周期中，把工程計劃的級別提升為丙級並無時間限制，當工務部門以內部人手完成可接納的技術可行性說明書後，當局便可考慮把有關項目提升為丙級。至於開立丁級項目，以便就乙級工程計劃展開工地勘測／設計工作，亦沒有時間限制，只要這些工作所需的費用，不會導致整體撥款的開支總額超逾財務委員會(財委會)批准的上限便可。

至於把工程計劃由丙級提升為乙級，我們一般會在夏季進行資源分配工作期間，邀請有關部門提出申請，以便作出考慮。工務部門會根據資源分配工作的結果，預計會在即將來臨的立法會會期內把哪些工程計劃提升為甲級。有關預計提升為甲級項目的資料隨後會提交工務小組委員會參考。

為提供彈性及應付未能預計的緊急工程計劃所需，工務部門在年度內任何時間提出資源分配申請，把工程計劃提升為乙級，亦會獲得考慮。這項安排可讓必需實施的工程計劃得以盡快進行，而無須留待下年度的資源分配工作進行期間才獲考慮。

在基本工程計劃下，一俟工程計劃已提升為乙級並獲預留內部資源，工務部門便可着手進行工地勘測、詳細規劃、詳細設計和擬備招標文件等工作。工務部門可因應工程計劃的設計和其他前期工作的進度，在年內任何時間向工務小組委員會／財委會提交文件，建議把工程計劃由乙級提升為甲級。政府內部並無要求部門就把工程計劃提升為甲級提出申請以供考慮。

希望上述資料有助澄清疑問。

財經事務及庫務局局長

(謝雲珍代行)

副本送：財經事務及庫務局局長政務助理 2537 1736

二零零四年一月二十八日