

**Annual Progress Report (APR) for  
Social Welfare Development Fund (SWDF) Phase 1**

**Financial Year (2010-2011 / 2011-12)\***

**PART A**

**1. Name of applicant NGO:**  
(Code of NGO) \_\_\_\_\_

**2. Approved Funding Allocation in Phase 1 (including IT and non-IT projects)**

(a) Approved fund in 1 <sup>st</sup> round application	:	\$	
(b) Approved fund in 2 <sup>nd</sup> round application	:	\$	
(c) Total approved fund in Phase 1 [= (a) + (b)]	:	\$	
(d) Funding allocation in each financial year	:	\$	(2010-11)
		\$	(2011-12)
		\$	(2012-13)

**3. Income and Expenditure (including IT and non-IT projects) for the Financial Year (2010-2011 / 2011-12)\***

	\$	\$
<b>Income</b>		
(a) Funding allocation received in 20XX-XX		
(b) Interest received in 20XX-XX		
(c) Total income in 20XX-XX [= (a) + (b) ]		
<b>Expenditure on approved projects for 20XX – XX</b>		
(i) Scope A – Training and professional development programmes		
(ii) Scope B – Business system upgrading projects (non-IT)		
(iii) Scope B – Business system upgrading projects (IT)		
(iv) Scope C – Studies		
(d) Total expenditure in 20XX -XX [(i) + (ii) + (iii) + (iv)]		
(e) Surplus (or Deficit) in 20XX -XX [= (c) – (d) ]		
(f) Cumulative surplus (or Deficit) brought forward from previous financial year		
(g) Balance carried forward to the next financial year [= (e) + (f) ]		

Remarks:

1. The balance (irrespective of surplus or deficit) for the year is allowed to be carried forward to next financial year until end of Phase 1. Surplus still remaining by end of the phase will be clawed back unless with prior approval sought from SWD.
2. If there is deficit to be carried forward to the next year, such deficit must not exceed the balance of unallocated approved fund for the subsequent year(s).

\* Please delete as appropriate.

#### 4. Actual Expenditure for the Financial Year (2010-11 / 2011-12)\*

No	Name of project (including expenditure on relief workers)	Approved budget (2010-11 / 2011-12)* (\$)	Actual expenditure (2010-11/ 2011-12)* (\$)	Please "✓" if actual expenditure exceeds the approved budget by 15% or above
<b><i>Scope A – Training and professional development programme</i></b>				
Local T&D programmes				
Sub-total of overall local T&D programmes				
Outside-HK T& D programmes				
Sub-total of overall outside-HK T&D programmes				
(a) Total of Scope A				
<b><i>Scope B – Business system upgrading projects (including IT and non-IT projects)</i></b>				
Non-IT projects				
IT projects				
(b) Total of Scope B				
<b><i>Scope C – Studies aiming at enhancing service delivery</i></b>				
(c) Total of Scope C				
(d) Grand Total [= (a) + (b) + (c)]				

Remark: Please mark # if the programme is a joint project

#### 5. Justification for Virement of Fund Among Approved Projects<sup>1</sup>

Please provide justifications in the table overleaf if the actual expenditure of the following approved projects exceeds the approved budget by 15% or above using fund vired from other approved project(s) for the financial year (please insert row as necessary):

- overall local T&D programmes under Scope A
- overall outside-HK T&D programmes under Scope A
- individual non-IT business system upgrading project under Scope B
- individual study under Scope C

<sup>1</sup> Virement of fund between the approved projects in the same phase is allowed as long as NGOs can provide justifications in APR. However, for IT projects, it is only allowed for virement of surplus from IT projects to other approved projects in the same phase while the other way round will not be accepted. For extension of implementation period of the approved projects to subsequent Phase(s) or replace the approved projects by new projects, prior approval of SWD should be sought.

\* Please delete as appropriate.

S/N	(a) <b>Name and scope</b> of the approved project(s) with expenditure exceeding the approved budget by 15% or above. (b) <b>Justifications</b> for the expenditure increase.	(c) <b>Name and scope</b> of the approved project(s) with fund vired to (a). (d) <b>Justification / Follow up action</b> to ensure that (c) can fulfill the original objectives of the project(s) despite the expenditure decrease.
1.	(a)  (b)	(c)  (d)
2.	(a)  (b)	(c)  (d)

## 6. Declaration

We confirm that the above expenditure under the SWDF were incurred in accordance with the requirements stipulated in SWDF Guidance Notes for Application, SWD's approval letter and the procurement of projects and services are in line with the procedures specified in the Lotteries Fund Manual.

Signature : \_\_\_\_\_

Name in Block Letter : \_\_\_\_\_

Title :                     NGO Head                                         Board Chairperson                    

Date : \_\_\_\_\_

## 7. Information of Contact Person

Name in Block Letter : \_\_\_\_\_

Title : \_\_\_\_\_

Telephone No. : \_\_\_\_\_

Fax No. : \_\_\_\_\_

### Remarks:

1. The total expenditure should tally with those disclosed in the NGO's audited financial statement.
2. This Annual Progress Report (APR) for 2010-11 and 2011-12 should be submitted to Subventions Section (38/F., 248 Queen's Road East, Wanchai, Hong Kong) by end of October 2011 and October 2012 respectively.
3. NGO should submit the Final Evaluation Report instead of the Annual Progress Report after end of Phase 1 (i.e. October 2013).

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**PART B**

**1. Implementation Progress of Approved T&D Programmes under Scope A for the Financial Year (2010-2011 / 2011-12)\***

- (a) Local T&D programmes attended by individual subvented staff or board members on regular basis for over one year such as full/part-time Master degree course, Bachelor degree course, diploma / certificate course for professional trainings etc.

S/N	Name of T&D programme	# / @ <sup>2</sup>	Implementation period (mm/yyyy to mm/yyyy)	No. of subvented staff / board members participation <sup>3</sup>				
				SW <sup>4</sup>	JSW <sup>4</sup>	NSW <sup>4</sup>	Staff sub-total	BM <sup>4</sup>
1.								
2.								
3.								
4.								
5.								
<b>Total:</b>								

- (b) Other local T&D programmes attended by subvented staff and / or board members

S/N	Name of T&D programme	# / @ <sup>2</sup>	Implementation period (mm/yyyy to mm/yyyy)	No. of subvented staff / board members participation <sup>3</sup>				
				SW <sup>4</sup>	JSW <sup>4</sup>	NSW <sup>4</sup>	Staff sub-total	BM <sup>4</sup>
1.								
2.								
3.								
4.								
5.								
<b>Total:</b>								

<sup>2</sup> Please mark # if the programme is a joint project, and @ if any relieving worker is employed to relieve subvented staff to attend the programme.

<sup>3</sup> The number of participation is counted by the number of T&D programmes attended by a staff member, i.e. a staff member attending two T&D programmes will be counted as two staff participation.

<sup>4</sup> SW / JSW / NSW / BM stand for social work staff / junior social work staff / non-social work staff / board members respectively.

\* Please delete as appropriate.

(c) Outside-HK T&D programmes

S/N	Name of T&D programme	# / @ <sup>2</sup>	Implementation period (mm/yyyy to mm/yyyy)	No. of subvented staff / board members participation <sup>3</sup>				
				SW <sup>4</sup>	JSW <sup>4</sup>	NSW <sup>4</sup>	Staff sub-total	BM <sup>4</sup>
1.								
2.								
3.								
4.								
5.								
<b>Total:</b>								

(d) Headcounts of subvented staff and board members having benefited from all the T&D Programmes stated in 1(a) – (c) above

1. Headcount of subvented social work staff: \_\_\_\_\_
2. Headcount of subvented junior social work staff: \_\_\_\_\_
3. Headcount of subvented non-social work staff: \_\_\_\_\_
4. Headcount of board member: \_\_\_\_\_
5. Total headcount of subvented staff and board member having benefited from the T&D programmes [= 1 + 2 + 3 + 4] \_\_\_\_\_

(e) Approved relief worker employed in T&D programme

Relief Worker					T&D programme(s) requiring the relieving worker <sup>7</sup>	Expenditure (= daily wage x duration)
Post	Rank	No.	Daily Wage <sup>5</sup>	Duration <sup>6</sup>		
Total headcounts of relief workers:				Total expenditure:		

<sup>2</sup> Please mark # if the programme is a joint project, and @ if any relieving worker is employed to relieve subvented staff to attend the programme.

<sup>3</sup> The number of participation is counted by the number of T&D programmes attended by a staff member, i.e. a staff member attending two T&D programmes will be counted as two staff participation.

<sup>4</sup> SW / JSW / NSW / BM stand for social work staff / junior social work staff / non-social work staff / board members respectively.

<sup>5</sup> Please specify the wage at daily rate only.

<sup>6</sup> Please specify the total days for employing relief workers.

<sup>7</sup> Please specify the corresponding S/N of the relevant T&D programme(s) in (a), (b) or (c) of Part B1, e.g. if the relief worker is to relieve a subvented staff for attending the outside-HK programme in S/N1, then enter (c)1.

\* Please delete as appropriate.

(f) Detail report for outside-HK T&D programme (fill in each completed outside-HK programme):

S/N in (c) of Part B1	Name of outside-HK T&D programme	Implementation period ( <i>dd/mm/yyyy to dd/mm/yyyy</i> )	Location (City / Country)	Social service areas <sup>8</sup> visited (please specify)	No. of participant (by headcount)			Average expenditure per staff (c)	Average expenditure per board member (after deducting 50% contribution) (d)	Total expenditure =[(a)x(c) + (b)x(d)]
					No. of Staff (a)	No. of board member (b)	Total	(\$)	(\$)	(\$)
<b>Grand Total</b>										

<sup>8</sup> Please specify the social service areas such as Family & Child Welfare Service, Rehabilitation Service, Youth Service, Correction Service, Elderly Service, Community Service, Others – please explain.

**PART B****2. Implementation Progress of Approved Business System Upgrading Projects (Non-IT) for the Financial Year (2010-2011 / 2011-12)\***

(Please use separate sheet for each project)

(a) Programme name: \_\_\_\_\_

(b) Objectives: \_\_\_\_\_

(c) Implementation period: *From: mm/yyyy* \_\_\_\_\_ *To: mm/yyyy* \_\_\_\_\_

(d) Approved budget: \_\_\_\_\_

(e) Breakdown of actual expenditure for the year (excluding NGO contribution):

No.	Expenditure items	\$
i.	Total personal emolument for temporary staff employed, if any	
ii.	Payment to contractor, if any	
Total (The figure should be tally with the amount reported in Item 4 of Part A ):		

(f) Contribution from NGO:

Item	\$
(i) Total actual cost of the project (including NGO contribution):	
(ii) Total approved allocation:	
(iii) Total contribution from the NGO <sup>9</sup> : [ =/> (i) x 15% ]	
Source of contribution:	

(g) Breakdown of expenditure incurred in employing temporary staff<sup>10</sup>, if any:

Item		
No. of staff employed:		
Monthly emolument per staff:	\$	\$
Duration of employment (dd/mm/yyyy to dd/mm/yyyy):		
Post title & duties:		

<sup>9</sup> NGO is required to make a 15% contribution of programme expenses for system upgrading projects. The NGO contribution cannot be charged to LSG or LSG Reserve.

<sup>10</sup> Staff cost, if any, is on project basis and non-recurrent in nature.

\* Please delete as appropriate.

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(h) Name of contractor, if any: \_\_\_\_\_

(i) Implementation progress:

(Please “√” as appropriate)

On schedule

Tentative completion date (please specify): \_\_\_\_\_

Behind schedule

Please specify difficulties encountered and the revised work schedule:

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(j) Briefly list the tasks / activities carried out during the year:

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(k) Specify the areas upgraded / upgrading in the project:

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(l) Output / outcome evaluation:

i. Specify the output / outcome indicators.

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ii. Evaluate the output / outcome after carrying out the system upgrading project  
(*this item to be completed after completion of the whole project*)

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(m) Remark, if any

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Remark:

For joint project, the lead NGO should submit the “Supplementary Information” at Part C.

**Annual Progress Report (APR) for  
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**PART B**

**3. Implementation Progress of Studies for the Financial Year (2010-2011 / 2011-12)\***  
(Please use separate sheet for each study)

- (a) Name of the approved study: \_\_\_\_\_
- (b) Objectives: \_\_\_\_\_
- (c) Implementation period: From: mm/yyyy To: mm/yyyy
- (d) Approved budget: \_\_\_\_\_
- (e) Breakdown of actual expenditure for the year 2010-11 / 2011-12\*:

No.	Expenditure Items	\$
i.	Total personal emolument for temporary staff employed, if any	
ii.	Payment to consultancies, if any	
iii.		
iv.		
v.		
vi.		
Total (The figure should be tally with the amount reported in Item 4 of Part A) :		

- (f) Breakdown of expenditure incurred in employing temporary staff<sup>11</sup>, if any:

Item		
No. of staff employed:		
Monthly emolument per staff:	\$	\$
Duration of employment (dd/mm/yyyy to dd/mm/yyyy):		
Post title & duties:		

- (g) Name of contractor, if any: \_\_\_\_\_
- (h) Composition and operation of Project Steering Committee formed to oversee the study<sup>12</sup> which was carried out by temporary staff:  
\_\_\_\_\_  
\_\_\_\_\_

<sup>11</sup> Staff cost, if any, is on project basis and non-recurrent in nature

<sup>12</sup> NGOs may employ staff to carry out studies with the condition that proper mechanism e.g. project committees, will be in place to monitor and oversee the operation of the studies.

\* Please delete as appropriate.

(i) Implementation progress:

(Please “√” as appropriate)

On schedule

Tentative completion date (please specify): \_\_\_\_\_

Behind schedule

Please specify difficulties encountered and the work schedule in the subsequent years in Phase 1:

\_\_\_\_\_

\_\_\_\_\_

(j) Brief description of the study:

Item	Description	
Subvented service covered in the study	:	
No. of the subvented service units involved	:	
Name of the subvented service units involved	:	
Sample studied	:	Sample subjects ( e.g. service users, carers): Sample size:
<i>Objectives of the study</i>	:	
<i>Briefly explain how far the study can enhance the existing service delivery (this item to be completed after completion of whole study)</i>	:	

Remark:

For joint project, the lead NGO should submit the “Supplementary Information” at Part C.

\* Please delete as appropriate.

**Annual Progress Report (APR) for  
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For Joint Project only (to be completed by lead NGO)

**Supplementary Information for  
Reporting the Implementation Progress of  
Approved Joint Project for the  
Financial Year 2010-2011 / 2011-12\*  
(Use separate sheet for each joint application)**

1. Name of approved joint project: \_\_\_\_\_
2. Name of lead NGO: \_\_\_\_\_
3. Contact person of the approved joint project:

Name	:	
Correspondence address	:	
Telephone no.	:	
Fax no.	:	
Email	:	

4. Names of other participating NGOs:
  - (a) \_\_\_\_\_
  - (b) \_\_\_\_\_
  - (c) \_\_\_\_\_
  - (d) \_\_\_\_\_
  - (e) \_\_\_\_\_
  - (f) \_\_\_\_\_
  - (g) \_\_\_\_\_
  - (h) \_\_\_\_\_
  - (i) \_\_\_\_\_
  - (j) \_\_\_\_\_

5. Approved budget of the joint project:     (\$) \_\_\_\_\_
6. Total expenditure of the joint project:     (\$) \_\_\_\_\_
7. Total expenditure charged to SWDF  
after deducting the NGO's contribution, if applicable:     (\$) \_\_\_\_\_

(P.T.O)

\* Please delete as appropriate.

8. Expenditure breakdown of each participating NGOs including Lead NGO:

	Name of NGO	(a) Actual expenditure of individual NGO (\$)	(b) Individual NGO's contribution, <sup>13</sup> if applicable (\$)	Total amount charged to SWDF by individual NGO [= (a) – (b)] (\$)	Source of contribution (should not be LSG or LSG Reserve)
1.	Lead NGO				
2.					
3.					
4.					
5.					
6.					
7.					
8.					
9.					
10.					
Total:					

<sup>13</sup> Only for outside-HK T&D programmes joined by board members under Scope A and for business system upgrading projects under Scope B.