

City University of Hong Kong Quality Audit of CityU 2010 Progress Report

Institutional Submission to the Quality Assurance Council of the University Grants Committee



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Progress Report on Quality Assurance in Teaching and Learning

May 2012

Preamble

City University of Hong Kong (CityU) thanks the Quality Assurance Council for its supportive report, which recognizes the University's proactive approach to improving quality assurance and the good progress made in establishing University-wide systems that drive continuous improvement in teaching and learning.

In the 18 months since the publication of the CityU aduit report by the Quality Assurance Council, CityU has undertaken numerous measures to improve the quality of teaching and learning. Improvements were motivated by the University's strategic intent combined with the UGC Audit Panel's affirmations and recommendations. Further changes occurred based on the University's self-monitoring activities. Particularly noteworthy among these change measures has been CityU's adoption of a Discovery-enhanced Curriculum (DEC) and of a Performance-based Pay Review (PBPR) scheme. The DEC's ambition is that each CityU student has the opportunity to make at least one discovery while attending the University. This change has had profound impact on outcome-based teaching and learning mechanisms, the operationalization and assessment of learning outcomes, as well as the assessment of teaching quality, while also strengthening the leadership role of CityU's Education Development and Gateway Education Office (EDGE). In future, the DEC is expected to differentiate CityU's teaching and learning activities and the resulting learning outcomes significantly from those of other institutions. The PBPR scheme has led to the creation of a rigorous set of performance indicators at individual and academic unit levels within the University, informed the identification of benchmark universities, clarified roles and responsibilities of academic management, and motivated changes to the University's teaching and learning quality assessment.

This progress report explains how CityU has addressed affirmations recommendations made by the Quality Assurance Council, beginning with a summary of all follow-up initiatives and then providing detailed responses to each affirmation and recommendation.

This progress report covers the following:

- a summary of recommendations and affirmations; a.
- a detailed report on the progress of work done in response to the b. recommendations:
- a detailed report on the progress of work done in response to the affirmations; c.
- a list of abbreviations and acronyms; and d.
- appendices. e.

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Summary Table of Recommendations and Affirmations

	Recommendations	Follow-up Actions
R1	Ensuring that the positioning and leadership of the Quality Assurance Committee is appropriate	 The Quality Assurance Committee (QAC) Chair is the Associate Provost for Quality Assurance (APQA). The QAC membership was reconstituted and its subcommittee / working group structure modified. Overall policy for regular review and periodic audits is now the role of the QAC. The QAC directly provides its input to the Academic Policy Committee (APC).
R2	Articulating the features which distinguish the profile of the University and its students and using this as a reference point in grounding the University internally and promoting it externally	 The University's mission to excel in professional education and problem-based research reaffirmed. A Discovery-enriched Curriculum launched to further distinguish the University's profile. Various initiatives are underway to communicate the above to students and the community.
R3	Implementing a programme of annual performance review that is linked to the performance indicators in the Strategic Plan and includes both the academic leaders and their individual academic units	 A Performance-based Pay Review scheme that links staff rewards to performance is in place. Assessment criteria for Deans and Heads of Departments drawn up and put into effect in 2010-2011.
R4	Implementing a policy on review of programmes that ensures all programmes are examined and revalidated on a regular cycle	 A new University-wide periodic programme review system at the level of Academic Units (AUs) devised. A schedule for the review from 2012-2017 established. Operational guidelines for the review to be approved in Semester A 2012-2013.
R5	Examining the arrangements in place for managing student internships and developing protocols to minimize risk for	 An Employers' Guide on how to develop a quality internship programme created. A central response system for risk

	Recommendations	Follow-up Actions
	students, industry partners and sponsors, and the University	assessment and mitigation was put in place. • Online materials to maximize student internship learning developed.
R6	Undertaking a review of both the LEQ and TFQ	 Review and revision of the University's teaching and learning assessment conducted. The Teaching Feedback Questionnaire (TFQ) and Learning Experience Questionnaire (LEQ) replaced with a new, more holistic survey, the Teaching and Learning Questionnaire (TLQ) to be used in all courses.
R7	Exploring the transforming effects of IT and articulating a policy that will inform the use of technology in curriculum development and pedagogical strategies as well as for course management	 Five strategic goals for e-learning identified. Funding for information technology (IT) initiatives to support curricular development approved. IT is a key cross-cutting component of the newly launched DEC.
R8	Undertaking a review of the composition of thesis examination panels	A revised procedure which allows composition of thesis examination panels with either one or two external examiners approved by Senate.

	Affirmations	Follow-up Actions
A1	Reviewing the 3Ps policy and the structure of its academic committees	 New teaching and learning evaluation system, TLQ, created. New periodic programme review devised. New set of guidance notes for the External Academic Advisor (EAA) system approved. A revised University Assessment Policy in place. Approval arrangements for academic matters redefined. A revised, streamlined Senate committee structure in place.

	Affirmations	Follow-up Actions
		marking procedures put in place.
A8	Introducing a student feedback survey that is attuned to outcome-based teaching and learning (OBTL) and investing in developing and piloting a suitable instrument	A new feedback questionnaire, the TLQ, created and adopted.
A9	Establishing the Office of Education Development and General Education (EDGE) to provide leadership in preparation for 3-3-4	 A new structure for academic leadership/support in EDGE, renamed the Office of Education Development and Gateway Education, created with academic faculty members in Director and Associate Director roles. EDGE is providing leadership in teaching and learning initiatives in support of the DEC.

Progress on Recommendations

Recommendation 1

The QAC recommends that City University ensure that the positioning and leadership of the Quality Assurance Committee is appropriate to its overarching institutional role in quality assurance and that it is constituted with the necessary line structure and authority to discharge its role.

- R1.1 With reference to the UGC Audit Panel's recommendation on the positioning and leadership of the Quality Assurance Committee, the following decisions have been made and implemented:
 - The QAC's Chair is the Associate Provost for Quality Assurance, a a. position created to provide leadership of campus quality assurance efforts.
 - been membership reconstituted b. has subcommittee/working group structure modified to better serve the campus. New terms of reference have been devised. (Appendix 1)
 - The QAC directly provides its input to the Academic Policy Committee, c. the overarching committee in the campus's revised Senate committee structure. (See Affirmation 1.3)
 - All undergraduate, postgraduate and research matters now pass through the d. QAC for quality review.
 - The role of the QAC is to set overall policy for regular review and periodic e. audit of all academic programmes in the University and to ensure the robustness of all CityU quality assurance processes and mechanisms. The APQA is expected to work closely with the Provost to ensure that the QAC's recommendations can be carried out expeditiously.
 - Each College and School is represented by a person identified by its Dean f. as responsible for quality assurance (QA) matters in the College/School. Representatives periodically report on College/School QA practices to the OAC, and report OA matters back to their Deans.
 - The QAC's working group on the periodic review of academic g. programmes under the guidance of the QAC Deputy Chair oversees the implementation of periodic reviews.

Recommendation 2

The QAC recommends that City University clearly articulate the features which, when combined, distinguish the profile of the University and its students and use this as a reference point in grounding the University internally and promoting it externally.

- R2.1 The University reaffirmed its mission to excel in professional education and problem-driven research. The University subsequently undertook a number of initiatives to better articulate its strengths in professional education and problemdriven research that respond directly to the needs of society.
- To distinguish itself from other universities with similar missions, the University R2.2 dedicated itself in the Academic Development Proposal (ADP) 2012-2015 to

establishing a Discovery-enriched Curriculum. The DEC has at its foundation the notion that every undergraduate and postgraduate student will have the chance to make an original discovery whilst at City University. Through the DEC students will learn what it means to create new knowledge and to communicate, curate and cultivate that knowledge to benefit society.

To support these efforts the following inititives were undertaken:

- a. A re-branding exercise has been launched to thoroughly look into the University's institutional identity and identify areas to be enhanced.
- b. A President's Lecture Series ¹ was initiated in November 2010. Distinguished scholars at CityU share key trends and developments in their fields of expertise with the target audience. The lectures aim to promote greater understanding and closer ties among stakeholders inside and outside of the campus, and also enhance productive exchanges between the University and the greater Hong Kong community.
- c. A new school outreach programme ² was launched in early 2012 to introduce the University and its forward-looking programmes to potential secondary school students and teachers through a variety of activities, including seminars, campus visits and career talks.
- d. A new video wall was installed inside the subway linking the University's main entrance and Festival Walk to publicize major University initiatives and achievements. This new medium serves as a highly visible information source for the University, its visitors and the CityU community.
- e. To link with the Joint University Programmes Admissions System (JUPAS) schedule, a new round of media briefings to introduce the new programmes under the four-year curriculum was organized in early December 2011.
- f. A series of advertisements was placed in a number of popular Chinese dailies and the South China Morning Post Young Post to promote the University and the six Colleges and Schools in October 2011.

Recommendation 3

The QAC recommends that City University implement a programme of annual performance review that is linked to the performance indicators in the Strategic Plan and includes both the academic leaders and their individual academic units.

- R3.1 The University, on the advice of the UGC Audit Panel, has developed a strategic performance model which ties academic faculty and management activities to excellence in professional education and problem-based research, complete with measurement criteria for the activities and their outcomes.
- R3.2 Also in response to the Audit's recommendation and the strategic performance model, a Performance-based Pay Review scheme for academic faculty and staff has been implemented. The PBPR scheme compares staff performance with a relevant set of criteria and standards; salary increases and bonuses are tied to annual performance against benchmarks established through a 'bottom-up'

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¹ President's Lecture Series: http://www6.cityu.edu.hk/puo/newscentre/plect/index.html

² New school outreach programme: http://www.admo.cityu.edu.hk/undergrad/talk

process having direct input from the Academic Units. The scheme provides an extraordinary level of accountability for the University and helps to ensure wise investments in staffing that promote our strategic academic objectives.

- R3.3 A set of assessment criteria for Deans was developed by the Provost, based on the outcomes and targets set out in the Strategic Plan 2010-2015 and Academic Development Proposal 2012-2015. Criteria for the evaluation of Deans include measures related to staffing and resource allocation, as well as measures capturing the overall performance of Colleges and Schools with respect to academic excellence.
- R3.4 Based on the Deans' assessment criteria, the College Deans drew up the assessment criteria for their Heads of Department. The criteria for assessing the performance of the College Deans and the Department Heads were put into effect from the academic year 2010-2011.
- R3.5 The assessment criteria for AUs are largely developed by line managers. It is their responsibility to create an environment in which excellence in teaching, learning and research can be achieved. A PBPR for AUs is under consideration. It would be linked directly to the Performance Indicators for AUs and would be informed through an Annual Report that is being revised with input from the AUs. (See Affirmation 4.3)

Recommendation 4

The QAC recommends that City University implement a policy on review of programmes that ensures all programmes, including those not subject to accreditation by external bodies, are examined and revalidated on a regular cycle.

- R4.1 The University agrees with the UGC Audit Panel that there is a need to develop a periodic programme review policy to ensure all programmes are subject to regular external review. The QAC therefore set up a working group (WG) chaired by its Deputy Chair to formulate a new University-wide periodic programme review system, which will be in line with international practices.
- R4.2 The WG has carried out extensive research and analysis into the periodic review arrangements of other international institutions and the local Hong Kong institutions. It agreed on the following guiding principles for the framework of the review system.
 - Reviews should align with schedules of external accreditation and related a. initiatives in the University to streamline processes.
 - Reviews are to be carried out on an AU basis and to take place in a rolling b. 5-year cycle.
 - The review is to be based on an AU's self-analysis and aided by input c. from visiting international disciplinary experts who comprise a review panel.
 - Clear lines of responsibility are to be set out for reporting and d. implementing action plans. (Appendix 2)

- R4.3 In collaboration with QA representatives from all Colleges and Schools, a review schedule was developed for the periodic review of all taught programmes, within the framework of a 5-year cycle. The QAC broadened the review mandate to aggregate reviews at the AU level, and carry out more comprehensive AU reviews, including teaching, learning, research, and AU strategic directions. The academic year 2012-2013 was set aside for planning, so as to finalize review mechanisms and to enable all units to gain at least one year's experience with the new programme structure (4-year curriculum). AU reviews have thus been scheduled for the remaining four years of the cycle, from 2013 to 2017. AU reviews are scheduled so as to follow other external reviews (e.g., accreditation) and thus minimize duplication of preparation by the units.
- R4.4 The operational details, such as a new annual programme report template incorporating departmental performance indicators, will be shared with AUs for their feedback. Approval by the QAC and the Senate will be requested in Semester A 2012-2013.

Recommendation 5

The QAC recommends that City University examine the arrangements in place for managing student internships and develop protocols to minimize risk for students, industry partners and sponsors, and the University.

- R5.1 To maximize internship learning experiences the Career and Internship Office (CAIO) has redeveloped a set of Internship Guidelines³. These are available on their website and the information has been disseminated to all AUs in the University. The guidelines include information on:
 - a. The duration and nature of internships.
 - b. Employer and internship agency selection.
 - c. Evaluation of employers and student feedback.
 - d. Pre-internship briefing and training.
 - e. Funding support and application procedures.

Online training materials are being developed to help students optimize their internship experience.

- R5.2 A revised and more comprehensive version of the Employers' Guide⁴ on how to develop a quality internship programme is now also available on the CAIO website for all host and potential host organizations. The purpose of the Guide is to ensure that:
 - a. Appropriate risk assessment is conducted before students take on placements.
 - b. The roles and responsibilities of hosting organizations are clearly defined and appreciated, and learning opportunities provided are appropriate.
 - c. Hosting organizations are fully aware of their involvement in monitoring and evaluating the progress of students.

⁴ Employers' Guide on Internship: http://www6.cityu.edu.hk/caio/city-u/page.asp?id=89

³ Internship Guidelines: http://www6.cityu.edu.hk/caio/city-u/page.asp?id=38

- R5.3 A central system has been put in place to deal with various kinds of studentrelated issues. Student life-related issues will be brought to the attention of the Dean of Students, whereas the CAIO will be responsible for handling matters relating to careers and internships. Career Advisors from CAIO and Counselors from the Student Development Services offer professional consultation to students in handling student grievances, emotional problems and employer expectations.
- A Crisis Management Plan for Overseas Student Activities⁵ has been distributed R5.4 to all involved parties. Students embarking on an overseas internship have to sign an undertaking to ensure that they:
 - Understand their roles as an intern. a.
 - Have provided two emergency contact numbers. b.
 - Have informed their parents/guardians of their planned departure. c.
- A discussion forum was held in November 2011 on the sharing of best practices R5.5 by Colleges/Schools and Departments to ensure consistent quality assurance mechanisms are in place for internships. These include:
 - Pre-internship training. a.
 - Academic staff advising/supervision. b.
 - Employer feedback (optional). c.
 - Student feedback questionnaires. d.
 - Student reflective journals/blogs. e.
- To assure internship quality and that outcomes match goals, Departments are R5.6 requested to submit an Annual Report to the Vice President for Student Affairs (VPSA) via the CAIO for management assessment. The report should be based on the template requirements which give details on:
 - Participation statistics. a.
 - Administration. b.
 - Provision of pre-internship training. c.
 - Supervision of student interns. d.
 - Evaluation of both interns and employers. e.
 - f. Financial statements.
- To enhance the quality assurance of on-campus work study programmes, the R5.7 University established two new schemes, the Campus Internship Scheme (CIS) and the Campus Work Scheme (CWS), replacing the older On-campus Servicelearning Scheme (OSS). The CIS job assignment is similar to an internship programme in the following ways:
 - Guidance is provided by a supervisor. a.
 - The work should have clearly defined intended learning outcomes (ILOs). b.
 - Supervisors are required to provide evaluation and/or feedback. c.
 - d. On completion of the job assignment, interns are required to submit an evaluation and a short journal.

⁵ A Crisis Management Plan for Overseas Student Activities: www.cityu.edu.hk/vpsa/cimat/ocmp0611.pdf

There is a minimum work requirement of 150 hours. e.

CWS job assignments are typically less ambitious than CIS assignments. They will address tasks which may be more routine or of a shorter duration, but will allow students to learn generic skills as well as develop a positive work attitude.

Recommendation 6

The QAC recommends that when City University undertakes the planned review of the implementation of the Learning Experience Questionnaire it also consider the Teaching Feedback Questionnaire, re-consider the conceptual foundations of both instruments and determine their appropriate use in order to achieve the twin aims of evaluating teacher performance and ensuring teaching quality.

- It was recognized that the aims of evaluating teacher performance and teaching R6.1 and learning quality would best be achieved through a comprehensive assessment system. A frequent diagnostic of teaching and learning effectiveness would provide ongoing data and signal exceptions (good and bad), accompanied by peerand self-evaluation data to provide context and in-depth information. To that end, a new teaching and learning questionnaire was developed, together with a policy for teaching and learning assessment that includes surveys, peer evaluation, and self-evaluation.
- A shortened, more holistic diagnostic survey, titled the Teaching and Learning R6.2 Questionnaire⁶, was created for full implementation in Semester B 2011-2012. The redesign followed a review of the current teaching and learning evaluation schemes—the TFQ and LEQ —by various parties, including the Outcome-based Teaching and Learning (OBTL) consultants, the UGC Audit Panel and the President's appointed Task Force on Teaching and Learning Enhancement (TFTLE). The TLQ progressed through several stages of refinement by taking into account comments from the QAC, research findings on teaching effectiveness, and feedback received during the University-wide consultation period from staff and student focus groups in November 2011. In addition, it was benchmarked against the evaluation practices of other local universities.
- R6.3 The new questionnaire is based on a number of principles:
 - Enabling the assessment of relationships between teaching input and a. output factors so as to determine not only performance and effectiveness, but also the impact of teaching practices thereupon.
 - Retaining questionnaire design principles developed by the TFTLE and b. EDGE.
 - Aligning questions with established research on teaching and learning c. effectiveness, recognizing key teaching effectiveness factors (Onwuegbuzie et al., 2007) and key learning categories from Bloom's Taxonomy.
 - Incorporating balanced sets of questions on teaching and on learning, plus d. a final question assessing overall effectiveness/performance.

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⁶ Teaching and Learning Questionnaire website: http://www6.cityu.edu.hk/tlg/

- Engaging the University community in the review of the draft so as to e. ensure broad campus acceptance and endorsement by the QAC and approval by the Senate.
- The resulting 10-question survey is expected to provide broader feedback than R6.4 previous assessments, while lowering students' assessment fatigue. Steps have been undertaken to increase future response rates through the use, for example, of mobile devices. The formatting is suitable for mobile devices, which have been shown in pilot studies to boost response rates. As questions are generic, the new TLQ will be used to evaluate all types of teaching and learning activities, such as lectures, seminars, workshops, laboratories and tutorials, and it will be administered for every teacher in every course/section, thereby increasing comparability across AUs. Based on these provisions, the TLQ survey results are expected to show a more comprehensive view of teaching and learning and therefore identify any problems and/or achievements of the OBTL. Together with self-assessment (through the PBPR process) and QAC-monitored peer evaluations, the University expects the mechanism to provide much improved guidance for the monitoring and management of teaching and learning quality. Guidelines for peer evaluation and teaching portfolio evaluation are in place.
- The results of the teaching and learning evaluation will inform a number of R6.5 important decisions in the University, such as staff promotions and pay raises (via the PBPR scheme).

Recommendation 7

The QAC recommends that City University explore the transforming effects of IT and articulate a policy that will inform the use of technology in curriculum development and pedagogical strategies as well as for course management.

The transformational effects of IT and the use of technology in curriculum R7.1 development have been articulated in the various strategies and plans of the University.

The University's 2010-2015 Strategic Plan spearheads new approaches to professional education and aims to train a new breed of professionals for the fastchanging, knowledge-driven global environment of the 21st century.

The University's vision of e-learning is part of the "Student Learning and Career Development" Strategic Area, which aims to improve language instruction, elearning and library support to enhance effective learning. This will be accomplished by:

- Implementing a unified e-learning platform to deliver high quality a. teaching, learning, assessment, and the implementation of more outcomefocused learning methods.
- Promoting the use of e-portfolios for learning and making our information b. technology system accessible to those with physical and other disabilities.
- Upgrading continuously the University's e-learning environment to ensure c. that our information technology platforms and systems are up-to-date and

able to provide students with appropriate tools to support their learning activities.

- The University's IT Strategic Plan⁷ identified e-learning as one of the technology R7.2 areas within its strategic goal to "Enable Transformational Change". The University is moving aggressively in adopting new technologies to support teaching and collaborative learning, both inside and outside of classrooms. The elearning platform will be enhanced with mobile-learning and social-learning capabilities. This technology-rich learning environment will be transformational in helping the University apply modern and innovative pedagogical methods to enhance the competitiveness of its students. They will have ample opportunities to equip themselves with modern IT skills that are essential for their future careers in a knowledge-based society that depends increasingly on technology. The University's e-learning strategies also directly support the University's Academic Development Proposal 2012-2015.
- R7.3 Based on the University's 2010-2015 Strategic Plan, the IT Strategic Plan 2010-2015, and the Academic Development Proposal 2012-2015, the following five strategic goals for e-learning have been identified:
 - Goal 1: Provide Transformational Change to Support the University's a. Discovery-enriched Curriculum
 - b. Goal 2: Leverage Technology for Gateway Education
 - Goal 3: Enable Next-Generation E-Learning c.
 - Goal 4: Cultivate IT-Savvy Professionals d.
 - Goal 5: Ensure Quality E-Learning e.
- A number of initiatives have been created to support curriculum development. Examples include:
 - Funding, which is available for: a.
 - incorporating innovative technologies into teaching and learning to create a discovery-enriched environment;
 - developing mobile apps;
 - purchasing mobile versions of the University's learning management system to support smart phones and tablets;
 - purchasing online questionnaire software services to allow in-class quizzes and quick feedback; and
 - using pilot projects to drive experimentation, such as providing a tablet device for each student, which was implemented in one AU (School of Law) and co-funded by the student and institution.
 - The creation of Idea Incubators support for teaching and learning ideas b. centered around new innovative teaching and learning projects which require significant technology investment.
 - The establishment of a University-wide IT Task Force to advise on c. investments related to campus IT needs.

⁷ CityU e-Learning Strategic Plan: http://issuu.com/cityuhkocio/docs/e-learning strategic plan 2010-2015

R7.5 To enable the broadest possible access to CityU's web offerings, the entire University website has been made browser-independent and mobile devicefriendly. All web pages are automatically adjusted according to the user's device. To our knowledge, CityU is the first university in Hong Kong to have undertaken this comprehensive adaptation to mobile devices. The University received an award (CIO Asia Magazine, March 9, 2012) for this initiative.

Recommendation 8

The QAC recommends that City University undertake a review of the composition of thesis examination panels to ensure that the University is in step with best practice at local and international level.

- The University took on board the UGC Audit Panel's recommendation to review R8.1 the composition of thesis examination panels. The Committee on Research Degrees Candidature (CRDC) conducted a targeted web search on the composition of examination panels of PhD degree candidates among overseas universities, including universities identified by the Quality Assurance Council as possible benchmarking institutions.
- The CRDC noted that, according to the benchmarking findings, the majority of R8.2 local universities and some benchmarking overseas universities require only one external examiner. Universities in the USA do not normally require an external examiner. Based on these findings the University proposed to continue with the present practice. The proposed retention of the current composition of the Panel of Examiners for PhD degrees and the corresponding revisions to related regulations were endorsed by the Academic Policy Committee at its 15 December 2011 meeting. Subsequently, at its meeting on 10 January 2012, the Senate approved the following for immediate implementation:
 - The retention of the current composition of Panel of Examiners for PhD a. degrees, subject to the revisions endorsed by the APC, and the corresponding revisions to clause 14.2.2 of the "Regulations for the Research Degrees of Master of Philosophy and Doctor of Philosophy".
 - The revisions to the composition of the Panel of Examiners for PhD b. degrees be also applied to the Panel of Examiners for professional doctorate and joint PhD programmes. Corresponding revisions will be made to clause 19.1 of the "Regulations Governing Professional Doctorate Programmes" and clause 12 of "Guidelines Governing Joint PhD Programmes".

Progress on Affirmations

Affirmation 1

The QAC affirms the directions being taken by City University in reviewing the Principles, Policies and Practices for Quality Education (3Ps) policy and the structure of its academic committees.

- A1.1 One outcome of the review is that an overarching framework on academic quality, with a focus on rebalancing quality assurance at both central and local levels, is being developed with implementation expected by the end of 2012.
- A number of key quality issues have been addressed over the past year to bring greater consistency to the overall process of quality assurance across the University. These include the following initiatives:
 - The teaching evaluation scheme has undergone an extensive review and, a. as a result, a new holistic teaching and learning assessment system, including a new Teaching and Learning Questionnaire, has been implemented. (Details in the responses to Affirmation 8 Recommendation 6)
 - b. A new periodic programme review policy has been devised, with all programme reviews to be undertaken within a 5-year cycle from 2012-2017. (Details in the response to Recommendation 4)
 - The External Academic Advisor system has been reviewed and a new set c. of guidance notes for EAA selection has been approved by the Provost for implementation with effect from December 2011. (Details in the response to Affirmation 2)
 - A revised University Assessment Policy was approved by the Senate in d. June 2011 and is now in effect. (Details in the response to Affirmation 7)
 - The approval arrangements for academic matters, including programme e. proposals, curriculum changes and annual programme reports were reviewed and redefined in August 2011. (Appendix 3)
- A1.3 The Senate's academic committee structure underwent a comprehensive review, resulting in a revised and streamlined committee structure (Appendix 4), as well as revised committee terms of reference (Appendix 5). The membership of the Academic Policy Committee has been reconstituted. With the Provost as the Chair, the APC has been established as the overarching committee within the Senate committee structure, and as the main academic decision-making committee besides the Senate. A Board of Undergraduate Studies (BUS) has been created that provides direct input to the APC and eliminates the need for three separate committees, viz., Undergraduate Studies, Gateway Education (GE) and 4-Year Degree. The re-structuring was approved by Senate and took effect in August 2011.

The QAC affirms the actions of City University in rebalancing the distribution of authority for quality assurance to a more appropriate mix of central and devolved responsibility for policy and its implementation.

- A2.1 The University has endeavored to rebalance the distribution of authority through a number of measures. Firstly, the establishment of a new position, namely the Associate Provost (Quality Assurance), has centralized the authority for QA and provided enhanced institutional oversight of academic quality.
- In addition, to ensure a more appropriate and systematic operation of the External Academic Advisor system for enhancing academic quality, a set of guidance notes has been established for the EAA selection process (Appendix 6). The year-end reports on the EAA appointments are now sent to the Associate Provost (Quality Assurance).
- A2.3 New procedures for various academic policies have been centralized. These include the establishment of a new Academic Conduct Committee to oversee the institutional policy on academic honesty and to handle processes and cases in Colleges/Schools. The University now also requires all students to take an online tutorial on academic honesty and to declare online their understanding of academic honesty and their adherence to the policy⁸.
- A2.4 The QAC is responsible for vetting the annual programme reports via the Board of Undergraduate Studies and the Board of Graduate Studies (BGS), as well as overseeing the operation of the academic periodic review. The actual implementation will be carried out by the Colleges/Schools with oversight from the Office of the Provost/APOA.
- The consolidation and refinement of guidelines on teaching and staffing have been A2.5 put into effect. The guidelines set out the institutional requirements for:
 - The Performance-based Pay Review scheme. a.
 - Staffing formula and class sizes. b.
 - Tenure/substantiation/promotion decisions. c.
 - Appointment and review processes. d.

Affirmation 3

The QAC affirms the actions of City University in implementing its recent review of committees and urges it to ensure that committees are not being used as a substitute for effective line management.

Key line management activities in the university are policy setting and implementation, as well as the acquisition and allocation of resources (financial, human, space). The decision-making tasks concerning these activities are the responsibilities of line management in CityU. Following the UGC Audit Panel's affirmation, further steps have been taken to rebalance decision-making.

⁸ Rules on Academic Honesty: http://www.cityu.edu.hk/qac/academic honesty/index.htm

- A3.2 As mentioned in Affirmation 1.3, a new streamlined committee structure and terms of reference have been put into effect. This restructuring makes the committees more informed, efficient and accountable.
- Decision authority on a range of staffing-related decisions now resides with line A3.3 management. To ensure better quality assurance, all appointments, reappointments, and extension of appointments of faculty (other than Chair Professors), academic and teaching staff will be sent to the Provost for final approval. For all substantiation and Chair Professor cases the President is the final approval authority. Furthermore, staffing committees are overseen by line managers, e.g., Heads of Departments. Recommendations for appointment of Chair Professors will only be made on a nomination basis by the Provost or President and approved by the President based on the recommendation of a University Committee.
- A3.4 Space allocation decision authority lies with two Vice Presidents who co-chair a space allocation committee. Their decisions are informed by advice from this committee.
- A3.5 The University's Management Board is now an advisory committee to the President, advising him/her on policy-setting and implementation.

The QAC affirms the University's efforts to develop a rigorous set of performance indicators based on a confluence of top-down and bottom-up initiatives that effectively engage the academic community in progress towards institutional goals.

The Key Performance Areas and Criteria of Assessment (Performance Indicators) A4.1 of line managers, AUs and individual faculty/staff have been significantly revised and are more closely aligned with the University's strategic plans (see also response to Recommendation 3). Performance Indicators were used during the University's 2010-2011 Performance-based Pay Review exercise and will continue to be used henceforth. Recent faculty and staffing allocations were based on baseline data, but moderated through performance indicators.

A4.2 Line Managers

- In line with the University's Performance-based Pay Review scheme, draft a. criteria for assessing the performance of College Deans were devised and circulated to the Deans for comment at the end of December 2010. In 2010-2011 these criteria were piloted to assess the performance of the Deans and subsequently implemented. The Deans also proposed criteria for assessment of the Heads of Departments within their Colleges, which also have been implemented.
- The consolidated set of AU PIs as mentioned in A4.1 will be available for b. online monitoring via the Executive Information System (EIS) by the end of 2012. The University is presently installing new dashboard-style software to augment EIS reporting capabilities. Assessment criteria will be further updated and revised by the end of 2012. The updated criteria will

provide line managers with performance-relevant information concerning their AUs and their own performance.

Academic Units A4.3

- The performance of AUs will be measured against objectives set out in the a. Strategic Plan 2010-2015 and in the Academic Development Proposal 2012-2015.
- The current Departmental Annual Report will be recast to enable on-going b. reporting and review of performance. AUs will be required not only to present qualitative data and give narrative accounts, but also to make systematic reference to both the standard AU performance data and other quantitative data considered appropriate to the AU's activities. AUs will be asked to benchmark their performance against comparable highperforming units in other institutions.
- AUs will be assessed in two ways: first, based on improvements (the rate c. of change in performance); and second, on absolute performance, which is benchmarked locally and internationally. Reward schemes for AUs based on this assessment are under development.

Individual Faculty/Staff A4.4

- Using a bottom-up approach, each AU defined performance criteria and a. standards for its faculty and staff to be used in the PBPR exercise. Criteria were defined in alignment with the University's strategic goals. Criteria and standards were subsequently reviewed, made consistent across AUs, and endorsed by the Central Committee.
- University-wide, all Department/School b. Performance Assessment Committees completed the review of all faculty and staff accomplishments against PBPR criteria and standards, thus identifying the performance levels of all faculty/staff. Performance levels were then used to allocate pay raises, which ranged from zero to nearly 10% for the 2010-2011 academic year.

Staffing Allocations A4.5

- In 2011, the University undertook a comprehensive review of the a. academic staffing requirements of each AU to prepare for the implementation of the 4-year degree. A team within the Office of the Provost drew on the resources of the campus's Institutional Analysis Group to make evidence-based estimates of staffing needs.
- Baseline data on existing staffing levels in each AU were projected b. forward under the conditions of the new 4-year curriculum. A suite of performance indicators was used as input for a staffing formula in order to set notional staffing targets for each AU.
- In setting targets, the aim was to ensure sufficiency in staffing resources c. across AUs, given future projected teaching loads (needs analysis), while at the same time rewarding more productive units with additional resources. The rationale for this measure was to enable all units to carry

- out their mission, while adding resources where they would be used with greatest impact.
- The Provost used this formula to make allocations to each College and d. School, while College Deans used their discretion in setting the targets for each Department in their College. The targets form the basis for the new hiring that is being undertaken to meet staffing needs for the 4-year degree, including joint hires across AUs that promote interdisciplinarity.

The OAC affirms City University's work in institutional benchmarking which can be further developed by considering similarity of mission in the selection of potential benchmarking institutions and by implementing strategies to develop an overarching institutional approach to benchmarking.

- Two new units were formed in July 2011 to undertake benchmarking activities: the Institutional Analysis Group, with a predominantly intra-institutional perspective; and the *Knowledge Enterprise Analysis Group*, with a predominantly inter-institutional perspective.
- A set of principled criteria were identified at both the institutional and AU levels A5.2 in order to establish an overarching institutional approach to benchmarking. In its choice of criteria, the University differentiates between strategic/competitive benchmarking and operational benchmarking.

Strategic /	University level (e.g., ranking, financials, aggregate					
Competitive	performance)					
Benchmarking	Academic Unit level (research performance, teaching and					
	learning performance)					
Operational	Academic Unit level (e.g., student satisfaction)					
Benchmarking	Administrative level (efficiency, cost, and user satisfaction					
	levels)					

In consideration of the UGC Audit Panel's affirmation, a benchmarking exercise was designed to identify and target those universities which have similar 'firm constraints', that is, comparable and largely unchangeable characteristics, such as geographic location, physical size and source of funding, which make comparisons more meaningful.

The benchmarking exercise was undertaken at the University, College/School, and Department levels, to identify a differentiated set of benchmark universities, separating across aspirational, peer, and follower institutions, as well as differentiating between competitive and operational performance. All data have been collected and are presently being evaluated to develop an overarching benchmarking system.

The QAC affirms the intent of the Graduate and Postgraduate Outcomes and advises the University to provide guidance on ways in which these may be operationalized and the graduates reliably assessed relative to their achievement of institutional outcomes.

- Since 2006, all AUs have been working to incorporate Outcome-based Teaching A6.1 and Learning into their programmes and to fine-tune the courses to ensure that teaching and learning activities are strategically aligned with intended learning outcomes and assessment tasks. The OBTL implementation was completed in 2009. Since then, all CityU courses are required to follow the principles and formal structure of outcome-based teaching and learning within CityU.
- Intended learning outcomes within the OBTL framework originate from the definition of the "Ideal Graduate". Relatively generic learning outcomes for the Ideal Graduate are contextualized in the form of programme intended learning outcomes (in future: major intended learning outcomes). Within each programme or major, including the Gateway Education portfolio, the courses and their course intended learning outcomes are designed to align with the PILOs or MILOs. Thus, a cascading set of successively more detailed and contextualized learning outcomes is expected to guide the development of graduates with subject-specific skills which also satisfy the characteristics of the Ideal Graduate.
- While there are a number of different ways in which the alignment practice is A6.3 supported and monitored, the University has re-emphasized the importance of alignment and re-confirmed the alignment practice through initiatives such as the following:
 - In DEC forums, participants are reminded of the outcomes, and exchanges a. of views and good practices on alignment have been shared.
 - Web pages are dedicated to explaining institutional outcomes⁹, OBTL¹⁰ b. and DEC¹¹.
 - Workshops conducted by EDGE have been provided to support curriculum c. development teams in their implementation of the DEC within the OBTL framework¹².
 - d. Alignment practice and achievement of institutional outcomes will be included in periodic programme reviews.
 - Outside consultants have been employed to provide support at the e. College/School level.
- An exercise was undertaken to establish whether (a) outcomes were aligned A6.4 between programme/major ILOs and course ILOs; (b) AUs had assured achievement of intended learning outcomes through reliably assessed measurements, and (c) efforts had been made to raise student awareness of learning outcomes. (Appendix 7)

CityU Graduate Outcomes: http://www.cityu.edu.hk/qac/city_university_graduate_outcomes.htm

¹⁰ CityU OBTL: http://www.cityu.edu.hk/edge/obtl/obtl student.htm

¹¹ DEC: http://www.cityu.edu.hk/edge/dec/index2.htm; Building the Discovery-enriched Curriculum initiative: http://www.cityu.edu.hk/provost/BDEC/

DEC-OBTL Implementation Workshop Series: http://www.cityu.edu.hk/edge/dec/dec workshop.htm

The exercise revealed the following:

- a. All AUs engaged in the mapping of CILOs against PILOs/MILOs. Frequently this was done via a learning outcome matrix, which would clearly identify which outcomes were covered in which courses. In the majority of programmes, more than one party was involved in the monitoring of mappings, typically the programme leader and OBTL coordinator(s). The quality of the alignment was assured through meetings with stakeholders, consultant feedback, and external academic advisor reports.
- b. Achievement of learning outcomes (beyond regular in-class assessment) was measured through a range of mechanisms, including Final Year Projects, other significant student projects, employer feedback following graduation, supervisor feedback following internships, employment performance of graduates, graduate surveys, and student surveys. Assurance of the quality of these measures lies with Programme Leaders, Heads of AUs, and Associate Deans (at College/School level).
- c. AUs now propagate information about learning outcomes systematically. Learning outcomes and the principles of outcome-based teaching and learning are shared with students during orientation. Intended learning outcomes are publicized extensively on AU websites, the EDGE website, and University web pages. Every course syllabus ("Form 2B") is available online, including a listing of intended learning outcomes. Other means for the dissemination of learning outcomes are handbooks, manuals, course catalogues, and meetings/events.
- A6.5 As the University embarks on the new Discovery-enriched Curriculum, described in the Academic Development Proposal 2012-2015, a new initiative has been launched to define discovery-oriented learning outcomes, align them across the curriculum, and develop valid and reliable measures of discovery/innovation/creativity. Building on the OBTL foundation, several corresponding activities have been completed or are being undertaken.
 - a. A workshop was held in June 2011 on the assessment of learning under the DEC, which identified important measures for the assessment of discoveries (findings are posted on-line)¹³.
 - b. Supplementary funding was provided to embed DEC learning outcomes into the Gateway Education programme and GE courses.
 - c. An Idea Incubator scheme for enabling teams of staff and students to pursue innovative ideas was initiated, with the first round of awards allocated in September 2011. All successful incubator projects had to identify discovery-oriented learning outcomes and demonstrate how they would be achieved.
 - d. All AUs have been tasked to embed DEC principles and learning outcomes into programmes/majors before June 2012. AUs receive financial support on a per-programme/major basis for this effort to fully embed discovery into the "DNA" of the curriculum.

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¹³ Brainstorming Session on Assessment Models for the Discovery-enriched Curriculum: http://www.cityu.edu.hk/provost/BDEC/201106 brainstorming.htm

The QAC affirms the progress made by the University in implementing a comprehensive, progressive and forward-thinking criterion-referenced assessment policy for all taught programmes.

- A review of the University Assessment Policy was conducted before full implementation and the Senate approved a revised version in June 2011. An expanded list of assessment tasks, guidance notes on criterion-referencing and marking and examples of good practices have been included.
- A7.2 Under the criterion-referenced system all courses are required to set out their assessment rubrics in the Form 2Bs. As the University implemented a standardized Cumulative Grade Point Average (CGPA) banding for award classification in 2010-2011, a review of the results from the first cohort to graduate in 2012-2013 will be conducted to determine the impact of the criterionreferenced system on the distribution of grades.
- To facilitate effective implementation of the policy, support for staff has been A7.3 provided through:
 - Faculty orientation for new staff members. a.
 - A series of seminars organized by EDGE¹⁴. b.
 - Campus announcements and memos on the need to comply with the policy c. requirements.
 - d. Guidance notes uploaded on the University Assessment Policy website.
 - Departmental familiarization sessions for all teachers to explain e. assessment-related issues, and College/School-based forums to facilitate exchange of best practices.
 - f. Peer coaching in AUs for mentoring new staff on the University Assessment Policy and the OBTL framework.
- A7.4 To ensure marking consistency the following procedures have been put in place:
 - Reminders are issued to departments emphasizing the importance of a. alignment with assessment rubrics.
 - Appropriate moderation procedures are implemented, especially for failing b. and marginal cases.
 - Full-time academic staff members are required to supervise the marking of c. part-time colleagues to ensure marking quality.
- To assess the effectiveness of the implementation of the University Assessment Policy, all Colleges, Schools, Departments, and Centres were invited to provide reports to the QAC. Results show a high level of compliance with the requirements set out in the University Assessment Policy, providing evidence of a consistent approach and similar standards across the University.

¹⁴ EDGE Seminar Series, Semester A 2011/12: http://www.cityu.edu.hk/edge/workshop/seminar_series.htm

The OAC affirms the actions of City University to introduce a student feedback survey that is attuned to Outcome Based Teaching and Learning and the significant effort invested in developing and piloting a suitable instrument.

The student feedback survey, the Learning Experience Questionnaire, was A8.1 implemented institution-wide in January 2010 following two years of development and piloting. Furthermore, the University had a second mechanism in place for students to assess teaching quality - the Teaching Feedback Ouestionnaire. Having two end-of-course evaluation surveys increased the workload of the students and, consequently, the response rate for both questionnaires was negatively affected. The University also noted that although the intention of the LEQ was to better reflect students' learning experiences, in reality it only elicited information from the students' perspective and did not provide useful quantitative data for departments. The University therefore decided to combine both questionnaires into a single, short, holistic survey titled the Teaching and Learning Questionnaire. Every mode of learning - lecture, seminar, tutorial, laboratory - will now be assessed with the implementation of this new student survey. (Details in the response to Recommendation 6)

Affirmation 9

The QAC affirms the actions of City University in establishing the Office of Education Development and General Education (EDGE) to provide leadership in preparation for the implementation of the General Education component of the four-vear degree programme.

A9.1 A new structure for academic leadership/support has been established in what is now called the Office of Education Development and Gateway Education with academic faculty members taking up Director and Associate Director roles. EDGE now has closer collaboration with AUs.

EDGE has led a number of initiatives: A9.2

- To support the GE courses, a GE Discovery Laboratory 15 has been set up a. that will enable students to use state-of-the-art equipment for many of these courses under the guidance of trained staff.
- Three marquee events are now held annually to highlight GE courses: b.
 - i. GE Course Exhibitions and Students' Sharing (on the main campus)
 - ii. GE Book Shows (at the Academic Display area in the Run Run Shaw Library)
- iii. *GE Community Meetings* for faculty who teach GE courses An international GE conference ¹⁶ will be held in June 2012 in c. collaboration with numerous other parties, including NGOs and local and overseas institutions. This conference will bring together academic leaders, innovative teachers, and advocates for reform and quality improvement in higher education in Asia, North America and Europe to discuss university curriculum reform and the enhancement of undergraduate education.

¹⁶ GE Conference to be held in June 2012: http://www6.cityu.edu.hk/edge/conference2012/index.htm

¹⁵ GE Discovery Laboratory: http://www.cityu.edu.hk/edge/ge/lab.htm

- A9.3 Within EDGE, a review of the procedures for monitoring GE quality has taken place, resulting in the formation of a new GE Programme Committee (GEPC) to replace the GE Evaluation Panel. This is in line with the current programme monitoring arrangements to ensure academic quality of the GE courses.
- A9.4 Several of the new GE courses being offered at CityU were featured in a recent issue (5 February 2012) of The Chronicle of Higher Education.

Abbreviations and Acronyms

3PsPrinciples, Policies and Practices for Quality EducationADPAcademic Development ProposalAPCAcademic Policy CommitteeAPQAAssociate Provost (Quality Assurance)	
APC Academic Policy Committee	
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APOA Associate Provost (Quality Assurance)	
11 VII 11550Clate 1 10 vost (Quarty Assurance)	
AU Academic Unit	
BGS Board of Graduate Studies	
BUS Board of Undergraduate Studies	
CAIO Career and Internship Office	
CCIV Chinese Civilization Centre	
CCCU Community College of City University	
CGPA Cumulative Grade Point Average	
CIS Campus Internship Scheme	
CityU City University of Hong Kong	
CILO Course Intended Learning Outcome	
CRDC Committee on Research Degrees Candidature	
CWS Campus Work Scheme	
DEC Discovery-enriched Curriculum	
EAA External Academic Advisor	
EDGE Office of Education Development and Gateway Education	
EIS Executive Information System	
ELC English Language Centre	
GE Gateway Education	
GEPC Gateway Education Programme Committee	
ILO Intended Learning Outcome	
IT Information Technology	
JUPAS Joint University Programmes Admissions System	
LEQ Learning Experience Questionnaire	
MILO Major Intended Learning Outcome	
OBTL Outcome-based Teaching and Learning	
OSS On-campus Service-learning Scheme	
PBPR Performance-based Pay Review	
PIs Performance Indicators	
PILO Programme Intended Learning Outcome	
PRVT Office of the Provost	
QA Quality Assurance	
QAC Quality Assurance Committee	
SCOPE School of Continuing and Professional Education	
TFQ Teaching Feedback Questionnaire	
TFTLE Task Force on Teaching and Learning Enhancement	
TLQ Teaching and Learning Questionnaire	
TPg Taught Post-graduate Programme	
VPSA Vice-President (Student Affairs)	
VP(RT) Vice-President (Research and Technology)	
WG Working Group	

Terms of Reference and Constitution of Quality Assurance Committee

Terms of Reference

- 1. To advise the Senate through the Academic Policy Committee on principles, policies and procedures relating to quality assurance of teaching, learning and assessment and other related matters as requested by the Academic Policy Committee.
- 2. To conduct audits and other reviews as requested by the Academic Policy Committee, and report on the quality assurance mechanisms and quality of the offerings of the academic units.
- 3. To review external assessments of academic units and their programmes.
- To advise the Academic Policy Committee on the quality assurance mechanisms 4. of research activities in the University.
- 5. To promote quality assurance through various means.
- To facilitate the development and dissemination of good practices in quality 6. assurance throughout the University.
- 7. To appoint sub-committees, working parties and similar bodies for the purpose of discharging the duties of the Committee, and to approve their terms of reference and membership.
- To report on its business to the Senate via the Academic Policy Committee at such 8. intervals as the Senate may decide.

Constitution

Chairman

Associate Provost (Quality Assurance)

Deputy Chairman

Elected by and from among members

Ex-officio Members

- Vice-President (Student Affairs)
- Associate Provost (Academic Planning and Undergraduate Education)
- Vice-President (Research and Technology)
- Dean of Graduate Studies
- Principal of the Community College of CityU or his/her nominee
- Director of the School of Continuing and Professional Education or his/her nominee
- Director of EDGE

Members

- One academic representative from each College's or School's Dean's office, responsible for the unit's quality assurance
- Three members nominated by and from the Senate
- Three faculty members appointed by the Provost in consultation with the President
- One undergraduate student nominated by the Students' Union
- One postgraduate student nominated by the CityU Postgraduate Association

Officers in Attendance

• Staff member directing the Institutional Analysis Group of the **PRVT**

- Director of Knowledge Enterprise Analysis Unit of Office of VP(RT)
- Teaching Excellence Award Selection Panel Chair

Secretary

Administrative staff appointed by the Chairman of the Quality Assurance Committee

The term of office of the nominated and appointed members shall be two years with a staggered arrangement. The term of office of student members shall be one year.

Proposed Reporting Route of the Periodic Academic Review System

Annual Annual Departmental Programme Report Review Report & Annual summary action plan Report College/ APC Senate Review Panel* Dean School QAC (for info) (for info) **Board** QAC feedback to Progress of College/School Board action plan where appropriate

^{*}The review panel comprises internal and external academics/professionals, and student members nominated by the Dean. The membership has to be approved by the QAC Chair.

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	Item	College/ School Board	BUS/BGS	QAC	APC	Senate
1.	University's academic structure (e.g., new/dissolution of AU or College/School Board, change of title, change to academic structure)	√			√ 	√ [new College/ School (board) requires Council's approval]
2.	University's academic development (e.g., ADP, Structure of 4-Year Undergraduate Degrees)		√ (if applicable)		V	V
3.	University-level academic policies and regulations (e.g., new regulations, modification to/abolition of regulations)		√ (if applicable)	√ (if QA issues are involved)	V	V
4.	Academic curriculum requirement (a) University level (e.g., new degree requirements, modification to/abolition of requirements)		V		V	V
	(b) College/School level (e.g., new/changes to/abolition of College/School requirements)	V	@ (for info)		(for info)	
5.	New programme proposals (a) New major/programme (including approval of medium of instruction & assessment):					
	(i) Stage One proposal	$\sqrt{}$	$\sqrt{}$		$\sqrt{}$	\checkmark
	(ii) Stage Two proposal (major/programme submission)	V	√		@	@

		Item	College/ School Board	BUS/BGS	QAC	APC	Senate
						(for info)	(for info)
		type of degree (e.g., Bachelor of Arts and Science, ter of Fine Arts)	V	V		V	V
	(c) New degr	double degree combination (if both are existing rees)	√	V		V	V
		minor/stream (including approval of medium of ruction & assessment#)	V	V		V	@ (for info)
	(e) New	stream leading to a change of award title	V	√ (for BGS only)		V	
6.	Programi	me changes					
	(a) Majo	or/programme/degree/double degree:	$\sqrt{}$	$\sqrt{}$		$\sqrt{}$	$\sqrt{}$
	(i)	Change of title; new intermediate award; abolition of award title/intermediate award; discontinuation of major/programme/degree/double degree; change to medium of instruction & assessment					
	(ii)	Deferral/advancement of the introduction of new major/programme/degree/double degree; suspension of intakes; change to specific entrance requirement; change of study mode	√	√			
	(iii)	Change to programme duration and programme load	√				

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	Item	College/ School Board	BUS/BGS	QAC	APC	Senate
	(b) Minor/stream: Deferral/advancement of the introduction of new minor/ stream; change of title; change to medium of instruction & assessment#; suspension of intakes; discontinuation of minor/stream; change to specific admission requirement	V	V			
	(c) Stream (change of stream title leading to a change of award title)	V	√ (for BGS only)		V	V
7.	New University-level course proposals (e.g. new GE/ELC courses or those fulfilling the University language requirement, approval of medium of instruction & assessment#)	V	V		V	
8.	Course changes (a) University-level courses:					
	(i) Change of title; course suspension/discontinuation; change to medium of instruction & assessment#	√	\checkmark			
	(ii) Changes other than those mentioned in 8(a)(i) above	√				
	(iii) ELC/CCIV courses [all changes mentioned in 8(a)(i) and (ii) above]		\checkmark			
	(b) College/school/departmental level courses: change to medium of instruction & assessment#	V	V			

	Item	College/ School Board	BUS/BGS	QAC	APC	Senate
9.	Collaboration scheme/joint programme with other institutions (a) New proposals; discontinuation of scheme/programme; delivery of programmes in the Mainland; approval of/ change to medium of instruction & assessment; change to programme/award title	V	V		V	
	(b) Major changes to collaboration arrangement, suspension of scheme/programme	V	V		V	@ (for info)
10.	University admission (e.g., admission model, University general entrance requirements, non-local qualifications for meeting general entrance requirements for 4-year degrees, senior-year admission and advanced standing)		V		V	$\sqrt{}$
11.	Enrolment (a) Enrolment plan, planned intake				V	V
	(b) Guidelines and intake plans for National University Entrance Examination, intake quota for Outstanding Student Athletes Admission Scheme		√ (for BUS only)		V	$\sqrt{}$
	(c) Change to intake quota				V	@ (for info)
12.	Quality assurance (e.g., 3Ps, OBTL, CCCU Academic Board's annual report & QA arrangements, SCOPE Board's annual report on QA arrangements, UGC Academic Quality Audit, internal quality audits)			V	V	√ √
13.	Meeting reports from APC, BGS, BUS, QAC and College/School Boards (submitted to Senate after each					@ (for info)

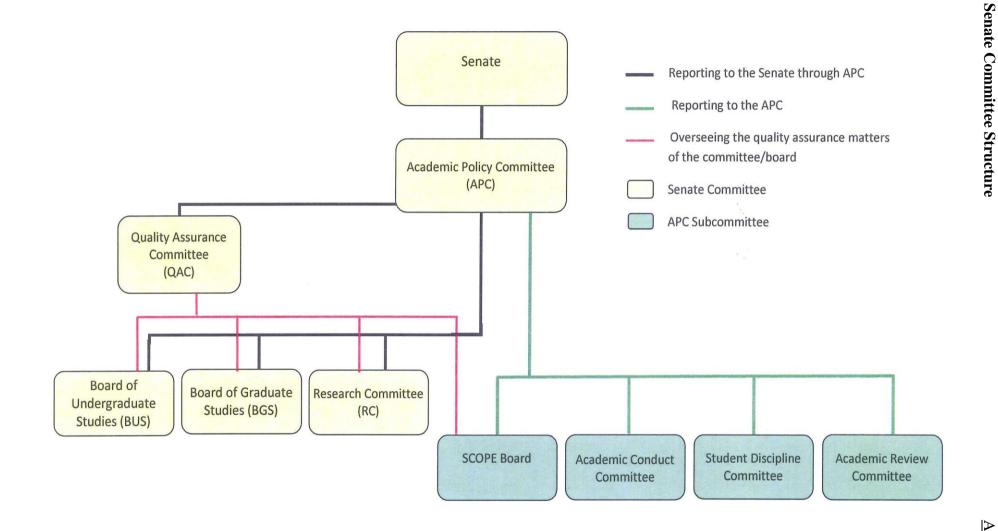
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	Item	College/ School Board	BUS/BGS	QAC	APC	Senate
	meeting to report on matters considered and/or approved by the committees which are not presented as separate agenda items to Senate)					
14.	Annual report (a) Annual report from Senate committees (submitted on a yearly basis via APC)				@ (for info)	@ (for info)
	(b) Admission reports for undergraduate and taught postgraduate programmes		V		@ (for info)	@ (for info)
	(c) Annual undergraduate programme report from the College/School Boards, annual report on TPg and professional doctorate programmes, report on review of self-financing professional doctorate and TPg programmes	1	1	V		
	(d) Report on formal academic review and appeal cases			V	V	√
	(e) Annual report on Elder Academy, annual report of the Advisory Committee for Graduate Employment				@ (for info)	@ (for info)

<u>Notes</u>

- $\overline{\text{(i)}}$ Unless otherwise specified, ' $\sqrt{}$ ' denotes that the matter is presented for discussion and/or approval.
- (ii) # If the proposed (changes to) medium of instruction and assessment deviate from the policy guidelines approved by the Senate (Senate/56/A6iR), Senate's approval via APC is required.

7 September 2011



Appendix 5

Revised Terms of Reference of the Senate Academic Committees

Academic Policy Committee

Terms of Reference

- To advise the Senate on: 1.
 - the development, implementation, monitoring and review of academic (a) policy- related matters affecting the University as a whole;
 - the criteria and methodologies for the allocation of resources required to (b) support the academic work of the University;
 - policy for the development and operation of facilities required to support (c) the academic work of the University;
 - design and structure of degrees, levels of awards, and the admission and (d) assessment of students.
- On the basis of such policies and procedures as are agreed by the Senate, to 2. prepare for submission to the Senate the University's triennial Academic Development Proposals (ADPs), to review these proposals annually, and to recommend modifications to the Senate for approval based on the University's priorities on teaching and learning.
- 3. To advise the Senate on the University's strategic directions and the strategic risks relevant to the academic work of the University so as to facilitate the formulation of the University's Strategic Plan.
- 4. To make recommendations to the Senate on:
 - academic quality assurance-related issues, including the academic quality (a) assurance system and processes; and policy on academic conduct and student discipline;
 - research-related policy, funding, conduct and other arrangements; (b)
 - the conduct of education studies in the School of Continuing and (c) Professional Education, including strategic and academic planning, budget performance, and academic quality assurance.
- To appoint sub-committees, working parties and similar bodies for the purpose of 5. discharging the duties of the Committee, and to approve their terms of reference and membership.
- To report on its business to the Senate at such intervals as the Senate may decide. 6.

Constitution

Chairman **Provost**

Deputy Chairman Elected by and from among members

Ex-officio Members The President

Associate Provost (Academic Planning and Undergraduate

Education) Associate Provost (Quality Assurance)

Vice-President (Research and Technology)

Deans or Associate Deans for academic affairs of

Colleges/Schools

Three members nominated by and from the Senate Members

Three faculty members appointed by the Provost in consultation

with the President

Chief Information Officer In Attendance

Director of the Academic Regulations and Records Office

Director of Knowledge Enterprise Analysis Unit of Office of VP(RT)

Secretary

Appointed by the Chairman of the Academic Policy Committee

The term of office for the Senate-nominated and appointed members shall be two years with a staggered arrangement.

Ouality Assurance Committee

Terms of Reference

- To advise the Senate through the Academic Policy Committee on principles, policies and procedures relating to quality assurance of teaching, learning and assessment and other related matters as requested by the Academic Policy Committee.
- 2. To conduct audits and other reviews as requested by the Academic Policy Committee, and report on the quality assurance mechanisms and quality of the offerings of the academic units.
- To review external assessments of academic units and their programmes. 3.
- To advise the Academic Policy Committee on the quality assurance mechanisms 4. of research activities in the University.
- To promote quality assurance through various. 5.
- To facilitate the development and dissemination of good practices in quality 6. assurance throughout the university.
- 7. To appoint sub-committees, working parties and similar bodies for the purpose of discharging the duties of the Committee, and to approve their terms of reference and membership.
- To report on its business to the Senate via the Academic Policy Committee at such 8. intervals as the Senate may decide.

Constitution

Chairman Deputy Chairman **Ex-officio Members**

- Associate Provost (Quality Assurance) Elected by and from among members Vice-President (Student Affairs)
- Associate Provost (Academic Planning and Undergraduate Education)
- Vice-President (Research and Technology)
- Dean of Graduate Studies
- Principal of the Community College of CityU or his/her nominee
- Director of the School of Continuing and Professional Education or his/her nominee
- Director of EDGE

Members

- One academic representative from each College's or School's Deans office, responsible for the unit's quality assurance
- Three members nominated by and from the Senate
- Three faculty members appointed by the Provost in consultation with the President
- One undergraduate student nominated by the Students' Union
- One postgraduate student nominated by the CityU Postgraduate Association

Officers in

Staff member directing the Institutional Analysis Group of the

Attendance **PRVT**

Director of Knowledge Enterprise Analysis Unit of Office of

Teaching Excellence Awards Selection Panel Chair

Administrative staff appointed by the Chairman of the Quality Secretary

Assurance Committee

The term of office of the nominated and appointed members shall be two years with a staggered arrangement. The term of office of student members shall be one year.

Board of Undergraduate Studies

Terms of Reference

Subject to the general oversight of the Academic Policy Committee, the Board of Undergraduate Studies (BUS) shall

- 1. Review and make recommendations on academic regulations, policies and rules governing all undergraduate and associate degree studies, including general entrance requirements and policies for student admission.
- Advise and make recommendations on academic plans, including student intakes 2. and enrolments of all undergraduate and associate degree studies; the introduction of new degrees, majors, minors, and GE courses; and discontinuation of existing degrees, majors, minors, and GE courses.
- Review and make recommendations on general issues relating to teaching, 3. learning and student experiences associated with undergraduate and associate degree studies.
- 4. Provide guidance and support to Colleges/Schools on the implementation of academic regulations and policies, and the development of undergraduate and associate degree studies.
- Monitor the academic appeals of student pursuing undergraduate and associate 5. degrees, and formulate appropriate strategy and policy to address issues that might
- 6. Appoint sub-committees, working groups, and similar bodies for the purpose of discharging the BUS's duties, and approve their terms of reference and membership.
- 7. To report on its business to the Senate via the Academic Policy Committee at such intervals as the Senate may decide.

Constitution

In Attendance

Chairman Associate **Provost** (Academic Planning and

Undergraduate Education)

Elected by and from among member Deputy Chairman **Ex-officio Members** Vice-President (Student Affairs)

Associate Provost (Quality Assurance)

Director of EDGE

Members Two members nominated from each College

One member nominated from each School

Three faculty members appointed by the Provost in

consultation with the President

Two members nominated by the Students' Union

Director of Admissions Office

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- Director of Academic Regulations and Records Office
- Director of Student Development Services
- Chief Information Officer
- Librarian
- Director, Chinese Civilisation Centre
- Head, English Language Centre

Secretary: Appointed by the Chairman of the Board of

Undergraduate Studies

The term of office of the nominated and appointed members shall be two years with a staggered arrangement. The term of office of student members shall be one year.

Board of Graduate Studies

Terms of Reference

Within the policies, procedures and priorities established by the Senate and subject to the general oversight of the Academic Policy Committee, the Board of Graduate Studies shall:

- 1. review and make recommendations on the Academic Regulations, Rules and Procedures governing all postgraduate programmes and studies;
- 2. develop, implement, monitor and review policy pertaining to postgraduate work;
- 3. establish and maintain academic standards of all postgraduate programmes;
- 4. provide guidance and advice to College/School Boards on the implementation of academic regulations and policies, and the development of postgraduate studies;
- 5. review and make recommendations to the Academic Policy Committee for the introduction of new postgraduate programmes;
- report on its business to the Senate via the Academic Policy Committee and/or 6. Quality Assurance Committee at such intervals as the Senate may decide;
- review and make recommendations to the Academic Policy Committee on any 7. matters relating to academic regulations, policies and rules governing postgraduate studies, including general entrance requirements and policies for student admission;
- 8. review and make recommendations to the Quality Assurance Committee on any matters relating to quality assurance of teaching and learning of postgraduate programmes;
- 9. appoint sub-committees, working parties and similar bodies for the purpose of discharging its duties, and approve their terms of reference and membership.

Constitution

Chairman: Dean of Graduate Studies (ex officio)

Associate Dean, Chow Yei Ching School of Graduate Studies (ex Deputy Chairman:

officio)

Members: (a) Deputy President (ex-officio)

- Chairman of Senate's Research Committee (ex-officio) (b)
- Chairman of Quality Assurance Committee (ex-officio) (c)
- Chairmen of College/School Graduate Studies Committees (d) (ex officio)
- (e) Two members appointed from each College Graduate Studies Committee
- One member appointed from each School Graduate Studies (f) Committee

- Five members appointed from and by the Senate (g)
- Three postgraduate students, one of whom is to be the (h) President of the CityU Postgraduate Association, appointed by the Board in consultation with the CityU Postgraduate Association

A person appointed by the Dean of Graduate Studies Secretary:

In Attendance: Director, Student Development Services

> Director, Academic Regulations and Records Office Director, Research Grants and Contracts Office

The period of office for members shall be two years, except for members in category (h) whose term shall be one year. The membership in categories (e) to (g) above shall allow for overlapping periods to ensure continuity.

Board of School of Continuing and Professional Education

Terms of Reference

- 1. To make recommendations to the Academic Policy Committee on the establishment and updating of rules and regulations governing the conduct of education studies at the School.
- 2. To approve, monitor and review continuing education awards and programmes of the School according to the rules and regulations approved by Senate.
- 3. To approve collaborative partnerships of the School and approve, monitor and review programmes offered in partnerships with non-local universities or institutions leading to their awards.
- 4. To consider strategic plans of SCOPE and to ensure the thrust of the School's activities is aligned with the strategic directions of the University as a whole.
- To consider views from the School's Advisory Committee on the strategic 5. directions and developments of the School.
- To oversee the financial performance of the School and recommend the School's 6. annual budget to the University administration.
- 7. To consider and make recommendations on all matters which may be referred to it by the Academic Policy Committee and the University Administration.
- 8. To appoint sub-committees, working groups and similar bodies for the purpose of discharging the duties of the Board, and to approve their terms of reference and membership.
- 9. To report on its business to the Academic Policy Committee (APC) at such intervals as the APC deems appropriate.

In performing the above roles, the work of the Board of SCOPE is facilitated by subcommittees on academic affairs, financial affairs, quality assurance arrangements, and other topics as deemed appropriate by the Board.

Constitution

Chairman Provost or nominee

Vice-Chairman Elected by and from members

Director of School of Continuing and Professional Education Ex-officio Members

Chairman of SCOPE Advisory Committee or nominee

Chairman of Quality Assurance Committee

Director of Finance or nominee

Up to three full-time academic staff nominated by the Senate Members

Two staff members of the University nominated by the President

Two staff members of the School nominated by Director of

SCOPE

Secretary An Administrative Staff of SCOPE

The term of office of the nominated members shall be two years with a staggered arrangement.

Academic Conduct Committee

Terms of Reference

- 1. To advise the Academic Policy Committee on policies and procedures relating to academic honesty.
- 2. To determine and periodically update the University's Rules on Academic Honesty.
- To determine the procedures for dealing with violations of the Rules on Academic 3. Honesty, and the penalties relating thereto.
- 4. To appoint sub-committees, working parties and similar bodies for the purpose of discharging the duties of the Committee, and to approve their terms of reference and membership.
- 5. To maintain a central pool of academic staff for College/School Academic Conduct Committees to co-opt into their committee meetings to consider academic misconduct cases.
- To report on its business to the Academic Policy Committee (APC) at such 6. intervals as APC deems appropriate.

Constitution

Chair Provost or nominee

Deputy Chair Elected by and from members

Ex-officio Associate Provost (Academic Planning and Undergraduate Education)

members Associate Dean of Graduate Studies

Four members appointed by and from the Senate Members

Two undergraduate students nominated by the Students' Union

One postgraduate student nominated by the CityU Postgraduate

Association

Administrative staff of the office of the Provost Secretary

The term of office of the nominated and appointed members shall be two years with a staggered arrangement. The term of office of student members shall be one year.

Student Discipline Committee

The Student Discipline Committee is appointed by the Academic Policy Committee. The Committee will meet at least once per year.

Terms of Reference

- 1. To advise the Academic Policy Committee on policy matters involving student discipline.
- 2. To determine and periodically update the University's Code of Student Conduct and Disciplinary Procedure.
- To review the terms of reference and constitution of the Student Discipline Panel 3. and the Student Discipline Appeals Panel.
- To receive reports from the Student Discipline Panel and the Student Discipline 4. Appeals Panel on cases considered by those panels, and any issues of principle arising from them.
- To report on its business annually to the Academic Policy Committee. 5.

Constitution

Chair

Vice-President (Student Affairs)

Members

- One faculty member from each College/School, nominated by the Dean
- Four members appointed by and from the Senate
- Associate Dean of Graduate Studies
- Director of Academic Regulations and Records Office
- Director of Student Development Services
- Two undergraduate students nominated by the Students' Union
- One postgraduate student nominated by the CityU Postgraduate Association

Secretary

Administrative staff appointed by the Chairman of Student Discipline Committee

The term of office of the nominated and appointed members shall be two years with a staggered arrangement. The term of office of student members shall be one year.

Academic Review Committee

Terms of Reference

- 1. To decide whether a student has established grounds for review of Examination Board decisions.
- 2. To refer substantiated review cases to the appropriate Examination Board(s).
- 3. To decide whether a student has established grounds for appeal against College/School/ ELC/CCIV Grade Review Committees.
- 4. To refer substantiated appeal cases to the appropriate Assessment Panel(s).
- 5. To dismiss requests for review/appeal where cases are not substantiated.
- To receive reports from Examination Boards/Assessment Panels in relation to cases 6. referred by this committee.
- 7. To identify any academic quality or wider issues raised by each case.
- 8. To report annually to the Academic Policy Committee on review cases considered.

Constitution

Co-Chairmen Dean of Graduate Studies (or nominee) and

Associate Provost (Academic Planning and Undergraduate

Education) (or nominee)

Members Two full-time academic staff appointed by the Senate

A pool of 10 academic staff members will be appointed as

potential members

Co-Secretaries School Secretary, School of Graduate Studies (or nominee) and

Director of Academic Regulations and Records Office (or

nominee)

Notes: When a postgraduate student case is considered, the Dean of Graduate Studies will chair the meeting and the secretary will be from the School of Graduate Studies. When an undergraduate student case is considered, the Associate Provost (Academic Planning and Undergraduate Education) will chair the meeting and the secretary will be from the Academic Regulations and Records Office.

The term of office of the members appointed by the Senate shall be two years with a staggered arrangement.

Appendix 6

Guidance Notes on the Selection of External Academic Advisors (effective from 1 December 2011)

Every year, the University makes a significant investment in External Academic Advisors (EAAs) to facilitate our self-assessment and to continuously improve as an institution. In order to leverage this strategic investment, academic units are asked to consider several guiding principles in the future identification of EAAs. Many units already use these or similar criteria; however, the selection process has not been consistent across academic units (AUs). Please consider the following criteria when identifying suitable EAAs:

Academic Credentials and Expertise

Expected

- Academic rank of the EAA (normally at least associate professor or equivalent).
- The EAA is internationally recognized.
- The EAA's institution is a leading university, a benchmark institution for your unit, or an aspirational benchmark. Most units previously identified benchmark institutions.
- The EAA has experience in advising academic units or highly relevant expertise.

Desired

- The EAA has the capacity to effectively review scholarly proposals and to provide valuable networks of colleagues to the AU.
- S/he has the skills and interest to help the AU advance its contributions to the Discovery-enriched Curriculum (DEC).

Advising Role and Value Added

The primary role of our EAAs is advising on programmes and programme quality. In their choice of EAAs, AUs may also want to consider further "value added", such as the potential of the EAA to help us in recruiting graduate students, faculty, and the ability to help us communicate CityU's strengths to others.

Advisor Diversity

Diversity among the EAAs supports a goal of the Strategic Plan. This includes regional, national, and ethnic background, gender diversity, and (inter)disciplinary diversity. Rotation, i.e., change of EAAs after the 3-year commitment is desirable, so as to broaden the pool of advisors.

Advisor Relationship to the Academic Unit

Advisors fulfill an important role in quality assurance and thus must be able to operate independently and impartially. While we frequently rely on the personal contacts of AU members to identify the best possible EAAs, we also must assure that EAAs are able to advise us based on their best assessment. Hence, very close current or prior relationships (such as co-investigators on projects, article co-authors, advisor-advisee relationship) between EAAs and programme leaders are generally to be avoided.

Process

Department Heads will, as per current policy, seek Deans' approval for EAA appointments. The Associate Provost (QA) will provide end-of-year feedback on the University-wide use of EAAs to inform future appointment decisions.

Survey on Mapping of PILOs/MILOs with CityU Graduate Outcomes and Measures to Assess Achievement of the Outcomes

Notes: Different versions of questionnaire have been set up for undergraduate, taught postgraduate, professional doctorate and research degree programmes respectively. Questionnaire for undergraduate programmes is set out below as an example.

Submission deadline: Feb 6, 2012 Survey on mapping of PILOs/MILOs with CityU Graduate Outcomes and measures to assessing the achievement of the Outcomes

Undergraduate Students	
On graduation, City University graduates will be able to:	
REFLE	ECT
on the ethical and social res	sponsibilities required of
professional citizens i	in a global society
RELATE Cultural awareness to collaborate effectively in a broad range of teamwork situations	multi-disciplinary critical thinking skils to solve problems and create new ideas
APPLY	GENERATE
effective communication,	a positive and flexible
language, numerical and IT	approach to lifelong
skills to a variety of professional settings	learning and employability

Department / Academic Unit:	
Programme/Major (offered in 2011-12):	
Programme/Major Leader:	
Email:	@cityu.edu.hk
Contact number:	

A. Programme Intended Learning Outcomes / Intended Learning Outcomes of Major

PILOs: Programme Intended Learning Outcomes MILOs: Intended Learning Outcomes of Major Upon successful completion of this Methods and indicators that demonstrate the PILO/MILO achievement of each PILO/MILO Programme, students should be able Number to: Method: Final year project- in-company or apply analytical skills to business Example college-based problem-solving Indicator: Successful completion of the project 1 2 3 4 5

6	
7	
8	
9	
10	

B. Mapping with City University Graduate Outcomes

(http://www.cityu.edu.hk/qac/city_university_graduate_outcomes.htm)

Our PILOs/MILOs are set according to the following guidelines:

Source guidelines Outcomes/Guidelines		PILO/MILO Number
CityU Graduate Outcomes	1. REFLECT on the ethical and social responsibilities required of professional citizens in a global society	
On graduation, City University graduates will	APPLY multi-disciplinary critical thinking skills to solve problems and create new ideas	
be able to:	GENERATE a positive and flexible approach to lifelong learning and employability	
	 APPLY effective communication, language, numerical and IT skills to a variety of professional settings 	
	RELATE cultural awareness to collaborate effectively in a broad range of teamwork situations	
Professional accreditation guidelines		
Other guidelines (Please specify)		

(Enter the PILO/MILO number that maps with each of the outcomes/guidelines. Each number can be used more than once when

C. Monitoring the mapping of PILOs/MILOs with City University Graduate Outcomes

Mechanism we have adopted in monitoring the mapping of the different levels of II Os includes:

	·		
Wh	0*	How	
1.			
2.			
3.			
4.			
5.			
*OBTL committee, Programme management team, Programme validation panel, College/School validation and monitoring committee, Programme Leader, etc. D. An example of good practice (optional)			
Please share an example to demonstrate how a course assessment/ an assessment criterion aligns constructively with a CILO, a PILO/MILO and a CityU Graduate Outcome.			
(If	necessary, you can send your file(s) to <u>enqprvt(</u>	@cityu.edu.hk [Subject- An example of good practice].)	
E.	Methods to collect data on achievement in	ndicators of City University Graduate Outcomes	
We collect the data by (You can tick more than one measure) conducting employer surveys conducting supervisor surveys conducting graduate/alumni surveys interviewing final year students evaluating the work completed by final year students (others, please specify)			
F. Indicators that demonstrate the achievement of City University Graduate Outcomes			
G. Student awareness of City University Graduate Outcomes Please share with us the ways that your students are informed of the Outcomes.			

H. Comments on City University Graduate Outcomes and/or your alignment experience Please share with us your suggestions/comments on the existing Outcomes and/or your alignment experience when designing the programme.	
I. Additional information for se	ctions A-C (if applicable)
	~~~~Thank you~~~

For enquiries, please contact enqprvt@cityu.edu.hk.

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