



香港科技大學

有關質素保證局

2010 年 11 月

香港科技大學質素核證報告之
進度報告

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1. 引言

香港科技大學自接到質素保證局 2010 年 11 月的質素核證報告後，隨即在教與學兩方面展開四項主要工作：

- i. 落實**策略發展和大學預算一體化**的程序，務求按績效衡量標準與參照基準作更穩健的運作。
- ii. 為 2012 年 9 月開始的新學年制定一套**四年制本科課程**與一套全面修訂的三年制本科課程，相關的工作計有：按質素保證協定，修訂本科生課程的設計和審批程序；落實為本科生提供全面與果效為本的學習體驗，以及提升學生諮詢與師友輔導的基礎結構。
- iii. 提升教師角色在學生教育上的重要性，尤其以實行**薪酬制度檢討**計劃，對在教與學上所作的貢獻予以恰當的優先考慮，各學院亦成立**教學單位**，並透過教學促進中心以協調工作。
- iv. 為研究學位的學生設立計劃，提供機會，使他們得以接受具有更廣泛學習果效的教育。

質素保證局評審小組的意見，以及核證報告的具體建議，對上述工作與大學各項教育計劃的整體進展均助益良多。

以下報告，載列了大學在質素保證上所做的工作，以及各項教育計劃的改進，都是依據質素證報告的大綱而進行的，其中包括了對評審小組的讚揚、贊同和建議的具體回應。

2. 闡明恰當的目標

在本重點範圍，評審小組讚揚科大能透過 ABC Live（畢業生特質說明）*簡潔及恰當*表述畢業生的特質，並一直致力以此特質作為四年制本科生課程的基礎（**讚揚 1**）。

自評審小組到訪科大後，深植上述特質的工作一直按兩方面繼續進行，一是課程內容的設計，另一是發展課堂以外的學習機會。所有四年制學位的主修課程均制訂一致的課程學習成效，而所有四年制學位教授的科目，必須按規定提交與課程成效相關的科目擬定學習成效。大學亦應用了有效的軟體以推行工作及追蹤進展。

附錄 1 為已獲核准的本科生課程設計指引，制訂成效的說明亦包括在內。

3. 管理、籌劃和問責

質保局評審小組表達了對大學將權責大幅下放予學院的關注，認為這個模式會對大學迎接新挑戰的整體能力造成障礙，但小組明白校長已把妥善整合大學事務列為重點工作之一。這個整合計劃已成為建設 *1-HKUST* 「*同一科大*」的工作，是大學策略理念的一個主題。

策略發展計劃、預算和運作

評審小組全力支持大學從新制訂策略發展計劃的運作，並加入可衡量的指標和檢討與計劃相對應進度的程序。小組尤其支持大學委聘一位大學計劃主任負責這項工作（**贊同 1 和 2**）。

大學計劃辦公室的其中一項初步職責是協調及推動大學以 15 年策略理想為基礎的 *策略發展計劃 (2011-16)*。這個計劃訂定了各主要範圍的目標和項目，並確定了發展的優先次序，以整合大學各單位的工作。在推行這個計劃時，教職員和學生都曾經獲得廣泛諮詢，而且是在校董會和顧問委員會的指導及參與下進行（見 <http://strategicplan.ust.hk/eng/foreword.html>）。

為了強化計劃過程，並且利於實現策略目標，大學自 2010-11 年度起開展一個綜合規劃周期。主要計劃工作包括：策略計劃、預算計劃、年度運作計劃，以及匯報。

年度運作計劃的其中一項工作，是確認與策略發展計劃相對應的具體行動，並以相關的衡量標準和目標監測其情況。

這個整合的程序精簡了規劃工作，提升問責性，亦便於作定期管理檢討和監察進度，包括向校董會作中期或年度匯報。

附錄 2 列出這個程序的 2011-12 年表。

參照基準

評審小組關注到，科大並無全校適用的參照基準策略藉以提升表現（**建議 1**）。大學就此建議從三方面著手：

- 按協定表現指標作與本地和國際同類型學院比較
- 增強學院的校外顧問委員會的工作，並提升這些委員會在每所學院的質素保證系統上的角色
- 把具體的參照基準納入學院的策略發展計劃工作裡

本地和國際的比較

大學計劃辦公室已加強了針對全校的研究，以定期發表詳盡的表現衡量標準報告，涵蓋了教學與研究在內的所有主要範圍。報告並引用本地與區內大學的校內及校外資料，以分析趨勢和參照基準。校董會、學院院長和高級管理層均收到這個報告作參考。

除了定量基準外，大學亦有進行定性參照基準的衡量工作，主要是透過與全球其他大學交流資訊，從中學習最好的做法。

鑑於亞洲區內並無可供大學規劃人員作參照和分享做法的平台，科大於 2012 年 3 月發起並組織了首屆高等教育規亞洲論壇（<http://hepa.ust.hk>）。論壇吸引了來自亞洲不同地區的三十多位大學規劃人員，英國亦有資深工作者出席，參與部分項目。科大成立這個亞洲網絡，目的是提升參與者的基準衡量評估和計劃能力。

學院校外顧問委員會

科大的課程一直以來主要由四所學院委任的校外委員會作衡量評估。這些委員會由國際知名大學的學者組成，職責是為學院在學術和教育方向上提供專業意見。

在當前的發展階段，也基於質保局的建議，大學正全面檢討這些校外顧問委員會的角色、職能和組織，包括：

- 闡明任命一賦予衡量評估學術水平和規劃的專責
- 適當擴大檢討範疇和報告內容
- 按情況輔以校外意見以補所需

大學亦決意按下列途徑提升顧問委員會的影響力：

- 加強檢討前的預備工作，藉以作內部檢討，以及制訂議程和商討事項的優先次序
- 更好利用巡視及相關的最後期限，藉以從靜友的角度從新思考議題
- 增加對跟進工作的關注，以確保委員會的意見和建議能起積極作用

上文所述關乎的都是科大在檢討質素保證上所致力的工作。

學院策略發展計劃的參照基準

近期每年進行策略—預算規劃時，各學院均須加入參照基準的資料，以作為學院長遠計劃和目標的指導原則。這個做法證明有效，而大學正考慮把參照基準納入成為規劃過程內更有系統的組成部分。

推廣良好做法

本重點範圍內最後一個議題是良好做法的推廣。在這方面，評審小組肯定了教學質素委員會所作的努力(贊同 3)。下列為跟進評審小組所關注事項而採取的具體步驟：

- 透過教學質素委員會向大學教務委員會呈交的年度報告內加入有關良好做法的章節。大學亦全力確保師生可分享到這些有價值的匯報
- 申請教學發展補助金者必須提交計劃，解釋如何傳達教學改良項目的成效。這個申請補助金的特點已是共識

- 果效為本教育督導小組的其中一個主要職責，就是讓學院和學系在果效定位的發展上分享最好的做法。督導小組透過教學質素委員會提交的報告將繼續強調這種分享

4. 課程發展、設計和審批程序

評審小組基本上支持大學的四年制學位計劃，尤其贊同大學重點發展跨學科及探究式學習（**贊同 4**）。在這方面，大學自評審小組的訪問後已取得相當進展。

四年制學位課程已為學生提供**跨學科和交叉學科**選擇，形式如下：

- 學院統一收生，學生修讀學院提供的基礎課程，涵蓋學科範圍廣闊，專科選擇則可容後決定
- 副修科目選擇更多
- 學業成績優秀的學生有機會選讀雙主修或雙學位課程
- 跨學科課程事務處提供跨學科主修課程，亦正籌劃更多主修科目

本科研究也是優先項目。這項工作的核心部分是非常成功的本科生研究計劃。這個計劃現已擴展。2010-11 年度，共有 100 位老師和 250 名學生參與各項計劃，人數穩定上升。科大已和麻省理工學院簽訂本科生研究交流協議，兩校可各派最多 5 名學生互訪，在對方學校的教授指導下進行研究。

評審小組亦肯定科大的**課程和科目審批程序**為嚴謹穩當，而且贊同大學採取措施，使課程和科目內容、教學方法和評核項目與擬定學習成效互相配合（**贊同 5**）。相關文件已齊備（見附錄 1）。

在本重點範圍內，評審小組亦贊同科大致力增強學生的**英語能力**（**贊同 6**），而且注意到有需要提升學生的中文語文水準。這方面的工作已取得很大的進展，包括全面改革了本科生的英語課程，四年制學位的學生必須修讀12學分，大學核心基礎課程之下則開設了必修的中文傳意科，研究生的英語課程亦大大延長了。

5. 學生學習環境

評審小組讚揚科大全校師生關係緊密，團結一致，處處展現深厚的凝聚力（**讚揚 2**），而且特別注意到在一個宿舍試行的宿舍學習社群計劃。這個計劃已取得相當進展，宿舍內成功落實了試點，更為宿舍學習社群計劃建立了可持續的模式。隨著學生愈來愈支持，這個計劃當可推展到所有宿舍。

其他促進校園生活和學生活動的計劃亦相繼展開，包括重新設計學系的空間—將在新教學大樓內作試點—以鼓勵學生與學生和學生與老師之間作更多交流溝通。綜合研習坊—由圖書館管理的學習空間，作用為利便小組工作和交流—已啟用。

學生諮詢及師友輔導

評審小組讚揚科大的學生諮詢及師友輔導制度卓有成效（**讚揚 3**）。有鑑於大學將按學院統一收生，而四年制學位課程靈活性較大，現時以學系為基礎的制度故此可提升至學院層次。每學院已成立單位，專責學生諮詢及師友輔導，而且亦招納更多老師和師友輔導員參與工作。大學廣場將會開設學院的前台辦事處，內有會議室和休憩間，可供日常聚會交流之用，學院學術諮詢單位的工作當可相得益彰。學生對學業諮詢的範圍日益擴大，師友輔導員和老師因此有需要對所任角色加以了解。教學促進中心正協調和支援這方面的工作。

學習支援的協調

評審小組對科大協調大學各種各類活動以支援學習的工作表達了關注，並贊同科大聘任一位本科生教務長（已正名為「學務長」）以確保學生的學習經驗得以全面發展（**贊同 7**）。自評審小組到訪後，各項計劃的構思與落實均按序推行，且已取得良好進展，一年級的成功尤其是重點。

每項主要計劃—服務學習、學生實習和就業輔導、國際體驗活動等—均強調學院和學生事務處的互動合作，學務長角色的鞏固和學院學術諮詢單位的設立在這方面裨益不淺，後者的學業諮詢尤其有助推廣及管理這些輔助課程。

在這個階段來說，大學必須為學生制定一個更有系統的參與課外活動的框架—這個框架應顧及學生的不同目標，以及各種達致這些目標的可得機會。正如小組知悉，

聯繫課外活動學習機會與培養學生 ABC Live 所訂的畢業生特質是一項努力以赴的挑戰（**贊同 9**）。在四年制下，學生容後決定主修當時，可在第一學年未檢討自己的進度，考慮進一步的發展。ABC Live 將繼續作為有效用的範本，予學生在參與學術及非學術活動時，作出選擇和確定優先事項的參考。

學生的意見

評審小組看不到科大有系統地或嘗試有系統地按照學生意見調查結果制訂行動計劃，以及告知學生校方因應他們的意見作出甚麼改變。小組因此建議科大考慮設立方法，俾能更有效地告知學生他們所表達的意見究竟有何成效（**建議 2**）。

就著這個建議，科大詳細檢討了國際上的可行方法。檢討結果發現並無一個可以完全解決這個問題的方案。與其成員作有效溝通永遠是所有大學的最大挑戰，而學生和大學的接觸點甚多，尤其極需溝通（見附錄 3）。

因此目前採取的策略是使學生知道表達意見的成效與回應，收集意見的方法則有多種，學術單位、中央學生服務（圖書館、資訊科技服務等）、教學促進中心問卷，以至學生發展計劃，均可不同。

為確保取得進展，教學質素委員會現要求，年度報告內有關教學質素的章節，必須詳述各學院及學術支援單位，如何告知學生校方因應他們的意見而作的改變。

網上學習

評審小組建議科大發展網上學習策略（**建議 3**）。小組訪問科大時，由大學圖書館召集的一個專責小組正就這方面展開工作。專責小組的最終報告已於 2010 年年末提交予首席副校長。大學亦按報告開始落實工作，教學促進中心主任已獲指示制訂策略和作資源預算。這個策略的大原則是科大的網上學習並非是作為遙距教學的支援，而是加強面對面的學習。因此這個策略的四個支柱是：

- 學生和教職員能力的建立和介入，包括在線課程軟件、資訊及媒體素養模塊，以及可作專業發展的桌面存取
- 接觸和取得數碼學習資源，包括電子書和電子閱讀器、數碼課程套件，以及科大虛擬大學的進修課程

- 提供有豐富媒體的學習空間，包括學習共享空間，並提升新教學大樓的裝置
- 基礎設施和系統的提升，包括遙控授課錄製、下一代易答靈系統按鍵器，以及虛擬桌面的開發

有關科大網上學習策略的概況請參閱附錄 4。

6. 體驗學習和其他課堂以外學習機會

學生實習計劃

評審小組贊同科大致力大幅擴大學生實習計劃（**贊同 8**）。自小組的訪問後，科大的學生學習計劃繼續增長及不斷發展。

現時為學生提供實習和實務學習體驗機會的有各學院、學系和學生事務處的就業中心（<https://career.ust.hk/internships.html>）。

國際學生交換計劃

科大一直致力為學生提供大規模管理妥善的國際學生交換計劃，這方面的工作亦獲評審小組的讚揚（**讚揚 4**）。大學正穩步邁進目標，冀於 2015 年達致有 50 % 的學生能參與計劃，從中得益。科大的國際學生交換計劃在宏觀上是校園生活國際化的其中一個環節，亦充分發揮了國際化對學生經驗的影響，對科大的本科生和研究教育來說都是有挑戰性的目標。

7. 課程監察與檢討

年度課程報告

評審小組欣賞科大對年度課程報告的要求，即學術及學術支援單位向教學質素委員會提交教學資料作年報之用時，須按科大的主要課程監察和檢討機制而行。評審小組訪問科大之時，年度報告的工作已完成了兩個周期。小組作了具體的建議，認為年度課程報告必須簡化，確保報告內數據運用更趨一致，檢討更深入，以達致內裡列明問責安排及推行時間表的行動計劃（**建議 4**）。

籌備年度報告是教學質素委員會的工作，委員會亦已充分考慮了評審小組的建議。因此，報告的設計已作大幅調整，以突顯回應學生意見和其他單位資訊的需要，亦令報告集中在最值得關注的範圍（見附錄 5）。

評審小組明白，教學質素委員會訂明的指引和範本已要求報告必須所論有據，且能反映行動計劃及以其為目標。目前重要的是培養一種文化，鼓勵提交報告的單位視這些要求為一貫常規的做法。

教學質素委員會堅持，年度報告工作的價值在於其前瞻性和改善的精神，因此在近期的報告作業裡樂於接納有意義的改進。

校外檢討及諮詢

評審小組注意到，科大並無全校適用的校外檢討流程，因此建議科大就所有修課課程制訂定期檢討制度（**建議 5**）。

科大正跟進這項建議，事實上科大在提交予質保局的院長報告內所提及的行動計劃，其基本部分正與這項建議不謀而合。跟進工作當顧及校外檢討的各種情況，包括：

- 四年制學位課程施行時，本科生課程將不會有明確的界線劃分，擬定學習成效則會擴大
- 工程學和商學的專業評審重點和過程不斷改變。就這一點來說，評審小組認為這些專業評審只能反應 *可以接受的最低水平*，理據並不充分
- 現行的校外學者評審的安排，包括學院校外顧問委員會的工作

按上述情況，校外檢討計劃當前的主要部分應為：

- i. 把現時的專業評審和校外顧問委員會的工作納入一個**大學授權的結構**內，列明大學對校外檢討的要求，包括範圍、報告、行動計劃及跟進工作，以及時間表。
- ii. 課程無須作專業評審的範圍，仍須遵照大學所授權保留一個**校外顧問制度**，以作檢討。
- iii. 鞏固及加強**學院校外顧問委員會**的工作。
- iv. 成立一個校外顧問委員會以處理大學四年制學位的**核心基礎課程**。

上述各項並非各自獨立，而是結合以建立有系統的課程檢討流程。

修課式的研究生課程一般都是兼讀和自費形式，教育目標亦差異甚大。這對課程的監管和檢討來說，問題尤其敏感。科大為此已成立了一個修課研究生課程教育質素及學習成效專責小組，以檢討大學的授課式教育與相關的問責和質素保證工作。小組預期於 2012 年秋季學期完成任務。

8. 評核

評審小組建議科大參照國際優良範例制訂評核政策。小組特別提到評核工作的時間和規模，以及就學生在關乎擬定學習成效的表現作出回應（**建議 6**）。

為跟進這項建議，教學質素委員會的秘書處收集了多種國際間的優良做法（見附錄 6）。

科大於 2009 年 11 月通過了一份文件，名為《學生評核：課程評分、指引及良好做法》，內裡已列出跟進這項建議的基礎。因應這次資料收集所得，上述文件將會加以修訂，並由教務委員會批核。

正如這項建議的原則所示，評核學生的政策最重要的就是評核學生是否能達到學習成效。在果效為本教育督導小組的協調下，每學院正按各自情況進行一項試驗計劃。圖書館（訊息素養）和語言中心（溝通）亦有提供協助。

協調評核和學習成效的關係，以及從中取得後效作用，是科大的一項重點工作。這些試驗計劃亦可作為大學為學生評核制訂長遠改革的參考。有關工作極為廣泛，2012 年秋季學期可作檢討。

質素核證報告**建議 7** 提及科大本科生教務委員會加強監察工作，確保成績和學位等級的分布符合大學指引所定的百分比範圍。在處理這項建議時，科大感到困難。有鑑於大學已決心棄用常模參照模式，致力推行效果為本教育評核學生成績和學習成效。雖然成績不再由常模參照模式評核，大學透過三項主要機制維持高學術水平：

- i. 大學評級政策列明各成績等級須符合四項領域的要求：理解和展示學科知識；運用概念和知識；示範較高的認知技能；和學習能力。學生惟有達到規定的水平才可獲取該成績等級。
- ii. 成績等級分布的實際數據均定期由科大本科生教務委員會監察，並向教務委員會滙報。如個別科目的成績等級分布偏離過往經驗的範圍，將予以記錄並要求學系解釋。
- iii. 學生成績須接受校外檢討。大學經常比較科大交換生（佔全校學生三分之一）在外國大學取得的成績及其校內成績，而且各學院亦透過校外專業評審或校外學術顧問審核學生學習成果。

現時第一階段努力邁向學習成果為主的評核方法已落實，並得到各師生廣泛認同。大學正檢討評分做法包括復審現有數據和探討成績等級的指標。教務委員會在最近會議上再次討論這項工作，我們期待在下一次質素核證時滙報進展。

9. 教學質素和教師進修

科大為新招聘的教學人員提供充足的入職培訓和輔導，日常化的有學系的支援，正式的則有教學促進中心的項目。這些有效的入職培訓和輔導安排亦獲評審小組的讚揚（**讚揚 5**）。小組亦讚揚科大致力培訓助教（**讚揚 6**）。如以下所述，為研究生和年輕教師而設的相類計劃已大大加強。

學院為教師進修而設的單位

其中一個重要的計劃是在學院層次成立單位，以促進有關學科的教育工作。工程學院已在已故高彥鳴教授領導下成立了工程教育創新中心（<http://www.seng.ust.hk/e2i/index.html>）；工商管理學院也成立了商業教育中心，以推廣對學院教育理念的支持（<http://www.bm.ust.hk/sbmlearn/eng/home.php>）。

教師表現的評核

評審小組相信，科大決定是否讓教學人員實任及晉升時，會認真慮他們的教學表現。小組亦關注到，學系根據不同來源的證據評核學表現，並無統一程序（**建議 8**）。科大已就這項建議進行了調整，行動計劃亦已納入向質保局提交的報告內。自評

審小組的訪問後，大學在制訂人事任命模式方面已取得良好發展：

- 鑑定教學人員的全部工作範圍，以及對教學人員表現的要求
- 列出委員會在考慮教學人員申請實任和晉升時，應審視的資料種類

學院院長的一次會議上已提交了一份報告。相關建議亦已轉達予由資深教學人員組成的人事專責小組作詳細檢討。

這項工作與教學人員薪酬檢討，以及制訂一套涵蓋更廣的教學人員表現標準有關，這些標準包括了教育理念相關的事宜。

10. 研究學位課程

科大特別感到欣慰的，是質保局評審小組讚揚科大研究生課程的質素保證程序完善有效，並為研究生提供全面服務（**讚揚 7**）。自評審小組訪問後，這方面的工作亦取得進一步的進展，主要在於設立不同計劃，為研究生提供更多機會，使他們可以接受以更廣泛學習成效為目標的全面教育。

下列為這項工作的其中幾個主要環節：

- 助教進修計劃已按英國的《研究人員進修準則》擴展，這項工作在語言中心、學生事務處和圖書館的通力合作下得以完成。請參閱 <http://celt.ust.hk/induction-trainings-support-programs-rpgs/professional-development-research-postgraduates-rpgs/>
- 教學促進中心和各學院合作，已為研究生開設一項計算學分的專業進修課程
- 已為研究生提供網上專業進修，以混合式學習和自主學習為主，並配合坊間可得的軟件，如 *Research Skills Master* 和 *Research Integrity*

科大在開發與使用研究生教育表現指標上亦取得進展，包括學生論文發表數據、畢業生就業情況，以及離校時有關科大體驗的問卷調查。

11. 質素保證的進一步發展

科大教務委員會於 2007 年通過了一份名為《科大的教學質素保證》的文件，全面闡明了質素保證的原則、角色和責任。五年過去，從落實這些政策的經驗中，科大深知現在正是全面檢討質素保證工作的時候，這也是一個很好的機會去調整現時的機制，以迎接重要的改變，包括：

- 四年制學位的新本科生教育結構，特別是學生修業計劃更具彈性
- 以 ABC Live 為依據，更廣泛的果效學習愈來愈重要，以及這個趨勢對學習活動和評核的影響
- 商學和工程學課程的校外評審在性質和範圍上不斷改變
- 修課式研究生教育的規模在增長

質保局評審小組的意見已臚列如上，科大的跟進工作亦一一展開，檢討工作將會從中得益不淺。檢討預期於 2013 年年中完成，同年年底可實施。

附錄

(只提供英文版本)

Appendix 1:

Documents on Approval of Undergraduate Programs and Courses



THE HONG KONG UNIVERSITY OF SCIENCE AND TECHNOLOGY

Documents on Approval of Undergraduate Programs and Courses

*Prepared By
The Secretariat of the Committee on Undergraduate Studies
Office of the Provost*

*Extracted from The Four-Year Degree: Curriculum and Academic Regulations
Approved by the Senate in its 109th meeting on 6 December 2011*

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THE HONG KONG UNIVERSITY OF SCIENCE AND TECHNOLOGY

UNDERGRADUATE PROGRAM AND COURSE ADMINISTRATION

Approval of Programs and Changes to Programs

*For the purposes of the approval process described below, undergraduate **programs** include: majors; minors; and other substantial, structured components of students' graduation requirements. Addition or deletion of an option will be approved as a change to the relevant major program.*

A. Approval of Programs

The basis for the approval of courses and programs is set out in the Senate document *Quality of Teaching and Learning at HKUST*, as follows:

Recommendations to Senate through Schools/IPO for approval of new programs/courses or changes to programs/courses should be:

- Consistent with the University's role and contribute to the development of the University's strategy for education and research
- Based on a clear articulation of intended learning outcomes and designed to align teaching, learning and student assessment with these intended learning outcomes
- Benchmarked against relevant international standards
- Based on evidence that changes proposed for courses, programs and other learning activities will improve educational quality and benefit students and potential students
- Broadly supported by faculty and staff associated with the program/course
- Consistent with the resources available to support student learning
- Consistent with Senate policies for approval of courses and programs and regulations for degrees
- Accompanied by explicit arrangements for the transition of students affected by changes

In making recommendations, Schools are additionally asked to ensure that proposals are documented and presented according to University policies.

The process for approval of a program by the Senate is intended to ensure that these requirements for approval are met. This process has three stages: an **initial proposal** considered by the Committee on Undergraduate Studies (CUS); submission to CUS of a **final proposal**; and **final approval** by the Senate.

i. Initial Proposal

The purpose of the initial proposal is to allow proposers to confirm support for the development of a detailed proposal for the curriculum and to allow members of CUS to raise issues and make suggestions that might strengthen a recommendation for approval.

Initial proposals must be submitted using a **prescribed form** which can be downloaded from the *Program and Course Administration* website at http://www.ust.hk/provost/ug/course_admin/appendices.html. (see Form 1)

The completed form provides basic information relating to the proposal, including: the provisional title of the program; the unit(s) responsible for delivery; and the expected effective date for the launch of the program.

The form must be signed by the Dean/Dean's designate/Director IPO. A signed form indicates that the relevant departments and Schools are supportive and that the necessary resources to deliver the program will be available.

Supporting documentation must be provided, dealing with the areas of concern indicated below. To simplify preparation and review of this material, the attached supporting documents should be identified in a **cover sheet** (available at http://www.ust.hk/provost/ug/course_admin/appendices.html). Supporting documents provided for an initial proposal will also be relevant when submitting the final proposal. For an initial proposal the following areas must be addressed:

- a. Educational objectives and alignment of objectives with role and mission
The objectives of the program in relation to the academic profile of the participating academic units, and how the program relates to the overall mission of the University
- b. Outline of the program structure and curriculum
For an initial proposal it is not necessary to provide a complete curriculum, but sufficient information should be provided to clarify the intended structure and coverage of the program

- c. Student demand and demand for graduates
Evidence of the extent of employment and academic opportunities available for graduates

Details of consultation and/or surveys to assess student demand and (for a major) the demand for graduates

The relation of this program to similar programs available at HKUST, and (for majors) to similar programs available at other local institutions and the attraction of the proposed program for students
- d. Arrangements for admission and selection (if relevant)
Requirements for entry, if any, and how students will be selected and admitted to the program
- e. Estimated student enrollment (for majors/minors)
Provide the expected range of enrollments for the major/minor and indicate if a cap on enrollment is to be imposed
- f. Consultation with stakeholders
Relevant feedback, comments or reports from external advisors, employers, alumni, servicing departments/Schools, and others
The proposal should indicate how these comments and feedback have been addressed
- g. Benchmarking
Evidence of how the curriculum, learning experience and academic standard of the proposed program relate to similar programs at equivalent institutions, demonstrating that the program will meet the necessary international standard
- h. Resources
Approval by CUS/Senate of a program does not guarantee that resources will be available to deliver the program. CUS relies on the assurance of Schools/IPO that the necessary resources will be available. If delivery of the program will require additional resources, this must be stated clearly together with a plan for implementation.

ii. Final Proposal

Documentation of the Final Proposal includes submission of: the prescribed form; curriculum requirements; sample student pathways; and supporting documentation.

The **prescribed form** also completed for the initial proposal can be downloaded from the *Program and Course Administration* website at

http://www.ust.hk/provost/ug/course_admin/appendices.html. (see Form 1)

Curriculum requirements must be submitted using the template provided at http://www.ust.hk/provost/ug/course_admin/appendices.html. Accurate and complete curriculum information is essential to support data entry in the Student Information System and the publication of curriculum requirements for students and staff. The template for curriculum requirements includes:

- Prerequisites for admission to the program, if any
- Course lists for required and elective components of the program
- Other learning activities, if any, associated with the program

Where a major with tracks, concentrations or options is proposed, these must be documented.

Where a major or other substantial component of students' graduation requirements is proposed, **normative student pathways** must be provided: (i) to demonstrate that students will be able to complete degree requirements within the normative period for the four-year degree and within the 126-credit maximum for requirements for undergraduate degrees; (ii) to provide a basis for academic advice for students. The template for documentation of student pathways is available at http://www.ust.hk/provost/ug/course_admin/appendices.html.

Supporting documentation must be provided, dealing with the areas of concern indicated below. To simplify preparation and review of this material, the attached supporting documents should be identified in a **cover sheet** (available at http://www.ust.hk/provost/ug/course_admin/appendices.html). The documentation should include information provided in the presentation of the initial proposal, amended as necessary, in particular:

- Educational objectives and alignment of objectives with role and mission
- Student demand and demand for graduates
- Arrangements for admission and selection, if relevant
- Estimated student enrollment (for majors/minors)
- Consultation with stakeholders
- Benchmarking
- Resources

Supporting information presented for a final proposal should also cover the following areas:

a. Response to issues and questions raised by CUS on the initial proposal

b. Intended learning outcomes (for majors)

Approval of a new major requires presentation of a statement of the intended learning outcomes of the major, in line with the following:

1. Statements should make it possible to understand how the intended learning outcomes of the major relate to desired outcomes for graduates of the **School** and the University: **ABC LIVE**.
2. Outcomes statements for majors should be presented as **an organized list** covering at least three main areas: specific discipline/professional knowledge and competence; higher-order intellectual abilities and general competencies; and personal competencies.
3. The learning outcomes for a major should normally number **fewer than 15 items**.
4. Outcomes statements should be capable of **clear communication**, so that:
 - **Students** understand the goals of their program and the value to them of the learning outcomes
 - **Faculty** understand their own contribution to students' achievement of desired outcomes
 - **External stakeholders** see the relevance and value of the education provided
5. Statements of intended learning outcomes should provide an adequate basis for the design of course requirements and other related **learning experiences** and **assessment** of students.

c. Program management

A final proposal should describe how it is intended to manage the program and ensure that educational quality is maintained and improved. The management of programs should be consistent with the Senate's overall policy for quality assurance, in particular with the requirement that departments are expected to establish:

- Committees and other forums for faculty responsible for courses, programs and other learning activities: (1) to review and monitor admissions and induction, the design of the curriculum and co-curriculum, the delivery of educational programs, the assessment of students, and student advising and mentoring; (2) to agree follow-up action and plans for improvement as necessary; and (3) to monitor the implementation of changes for improvement
- Arrangements for seeking feedback from students and other stakeholders and other evidence of success in achieving intended outcomes, and for taking this feedback into account in decisions
- Arrangements for benchmarking programs and students' achievements relative to international standards in line with School and University policy for external peer review

If the program is to be offered jointly with another institution, the following details should be provided:

- The intended partners and their roles
- Channels of communication among the partner institution(s) and management of the program by the partners
- Arrangements for admissions, teaching, program requirements, program standards, graduation and academic awards

d. Transitional arrangements

Where existing students may be impacted by the introduction of the new program, the transitional arrangements should be clarified and an indication provided that the affected students have been consulted.

B. Changes to Existing Programs

i. Approval of Changes

When proposals to make changes to existing programs are received by the CUS Secretariat, the Secretariat will review the proposed changes and determine whether they will be presented to CUS/Senate for approval, or only for information. Changes to programs that normally will be presented to CUS and Senate for approval include:

- Changes to the program title
- Deviation from University policies for the design of degree programs
- Addition/deletion of options
- Changes to the curriculum that impact more than one-third of the total required credits
- Changes to the program that significantly impact the educational objectives or intended learning outcomes of the program

ii. Documentation for Approval

Changes to an existing program require a recommendation from the relevant Schools/IPO. The recommendation should be submitted using the **prescribed form** (available at http://www.ust.hk/provost/ug/course_admin/appendices.html). The completed form provides basic information including: the title of the program; the unit(s) responsible for delivery; the nature of the recommended change; and the effective date for the recommended change.

The form must be signed by the Dean/Dean's designate/Director IPO. A signed recommendation indicates that the relevant departments and Schools are supportive and that the necessary resources to support changes to the program will be available.

Depending on the type and significance of the recommended changes, the following **supporting information** should be provided:

- a. Reasons for proposing the changes
Outline the benefits the changes will bring to the program

- b. Feedback from stakeholders, including student feedback
Relevant feedback, comments or reports from external advisors; employers; alumni; servicing departments/Schools; and others
The proposal should indicate how these comments and feedback have been addressed
- c. Revised curriculum
- d. Revised sample student pathways
- e. Impact on educational objectives and intended learning outcomes
- f. Transitional arrangements
Where existing students may be impacted by changes, the transitional arrangements should be clarified and an indication provided that the affected students have been consulted.

THE HONG KONG UNIVERSITY OF SCIENCE AND TECHNOLOGY
APPROVAL OF NEW UNDERGRADUATE PROGRAM

Use this form to identify the supporting information provided.

a) Educational Objectives and Alignment of Objectives with Role and Mission

Document(s) attached:

b) Student Demand and Demand for Graduates

Document(s) attached:

c) Arrangements for Admission and Selection (if relevant)

Document(s) attached:

d) Estimated Student Enrollment (for majors/minors)

Document(s) attached:

e) Consultation with Stakeholders

Document(s) attached:

f) Benchmarking

Document(s) attached:

g) Resources

Document(s) attached:

h)* Responses to Issues and Questions Raised by the CUS on the Initial Proposal

Document(s) attached:

i)* Intended Learning Outcomes

Document(s) attached:

j)* Program Management

Document(s) attached:

k)* Transitional Arrangement

Document(s) attached:

**Required for final proposal only.*

THE HONG KONG UNIVERSITY OF SCIENCE AND TECHNOLOGY

UNDERGRADUATE PROGRAM AND COURSE ADMINISTRATION

Approval of Courses and Changes to Courses

The process for the approval of courses and the documentation associated with this process serve two distinct purposes: (1) enabling the relevant committees to make good academic decisions; (2) providing the data necessary for academic administration.

A. Roles in the Approval Process

- i. *Departments or equivalent units* originating a new course have the responsibility to consider the educational need for the course, the role of the course in students' programs of study, and the learning outcomes appropriate for the course. Departments should take into account the guidelines prepared by the OBE Steering Group in the development of courses that meet a threshold standard in their orientation to learning outcomes (see [Annex](#)).

These educational considerations should drive a proposal for the key academic characteristics of the course: credits, academic level, prerequisites, learning outcomes, course design, assessment, and mode of delivery.

Departments will also need to consider administrative issues such as expected registration and registration restrictions, the set-up for sections, and scheduling.

In making a proposal departments are expected to take into account input from students and other stakeholders.

- ii. *School or equivalent recommending committees* must be assured that: the academic and administrative issues have been considered fully and resolved; relevant input has been taken into account; University policy and objectives have been taken into account; complete, accurate information is provided in the recommendation; and the resources necessary to deliver the course will be available.

- iii. *Senate-level committees* need to confirm that: the proposal has gone through the appropriate process; the recommendation conforms to University requirements; and any cross-School issues have been resolved.

B. Level of Approval for Key Course Characteristics

The table below summarizes the key levels of approval for different elements in the set-up of a course. The following general issues should be noted:

- The middle column sets out the information to be provided by the recommending committee (typically the School's UG committee) to CUS. The course-approval template is based on this list of items. The template is available at http://www.ust.hk/provost/ug/course_admin/appendices.html. (see Form 2)
- For some items, the recommending committee is required to provide only a *confirmation* that the issues have been dealt with and resolved, NOT the underlying information reviewed by department and School committees. In particular, although proposed intended learning outcomes are to be included in the approval template, full information about the relation of these learning outcomes to program learning outcomes and the alignment of course design and assessment with learning outcomes is not be required
- Some items included in a proposal to CUS do not require formal approval by CUS, in particular: intended learning outcomes; matters relating to the set-up and scheduling of courses (teaching pattern, section size, frequency of offering); and topics/learning activities. This information should be brought forward only as a basis for the initial set-up of the course by ARRO, and for reference of CUS members
- Items requiring CUS approval also require approval for changes, either through the CUS Secretariat, or by CUS for a *major* change. A UG Course Change/Deletion form is available at http://www.ust.hk/provost/ug/course_admin/appendices.html.

Table

	Proposal: data to be provided by department/ unit	Recommendation: data to be provided by School/ equivalent	Approval: data to be endorsed by Senate committee
About the course: <ul style="list-style-type: none"> - Course code - Course title (full and 30 characters) - Outline description (for Catalog) - Credits - Language of instruction/assessment - Default grading scheme - Rationale for introducing the course - Course intended learning outcomes 	<ul style="list-style-type: none"> ✓ ✓ ✓ ✓ ✓ ✓ ✓ ✓ 	<ul style="list-style-type: none"> ✓ ✓ ✓ ✓ ✓ ✓ ✓ ✓ 	<ul style="list-style-type: none"> ✓ ✓ ✓ ✓ ✓ ✓
Relation to other courses: <ul style="list-style-type: none"> - Prerequisites - Corequisites - Exclusions 	<ul style="list-style-type: none"> ✓ ✓ ✓ 	<ul style="list-style-type: none"> ✓ ✓ ✓ 	<ul style="list-style-type: none"> ✓ ✓ ✓
Registration: <ul style="list-style-type: none"> - Registration restrictions: by program; by year; other 	<ul style="list-style-type: none"> ✓ 	<ul style="list-style-type: none"> ✓ 	<ul style="list-style-type: none"> ✓
Educational: <ul style="list-style-type: none"> - Topics/learning activities - Role/placement of the course in students' programs of study - Relation to program(s) learning outcomes - Assessment of outcomes - Learning environment/reading lists/materials 	<ul style="list-style-type: none"> ✓ ✓ ✓ ✓ ✓ 	<ul style="list-style-type: none"> ✓ C C C 	
Resources <ul style="list-style-type: none"> - Extra resources required - Extra resources secured 	<ul style="list-style-type: none"> ✓ 	<ul style="list-style-type: none"> C 	
Scheduling: <ul style="list-style-type: none"> - Student groups expected to require the course - Intended delivery pattern, including scheduled contact hours - Expected section size and number of sections - Expected term(s) offered 	<ul style="list-style-type: none"> ✓ ✓ ✓ ✓ 	<ul style="list-style-type: none"> ✓ ✓ ✓ ✓ 	

✓ Data element to be included

C A signed confirmation that the data/issue has been dealt with in the proposal

**Ensuring an Orientation to Intended Learning Outcomes
in the Approval of New Courses**

Courses to be approved for the University Common Core are already required to complete a process that ensures their orientation to agreed outcomes for components of the Core. This requirement is extended to all **new courses** as a condition for approval by CUS.

In practice, CUS cannot review the educational issues in detail and is chiefly concerned with assuring that the relevant policies have been observed. CUS relies on the confirmation by Schools that the agreed process has been followed in preparing and presenting the proposal. At CUS level therefore, proposals will need to:

- i. Include
 - A statement of the course intended learning outcomes
 - A brief explanation of how the intended learning outcomes have been taken into account in the design of learning activities and assessment
 - An indication of the role of the course in students' programs of study as a component of: a foundation or breadth requirement; a minor; a major; or other program element
- ii. Confirm that
 - The intended learning outcomes of the courses are consistent with the role of the courses in the relevant component of students' programs

In providing these elements, Schools and departments should base their course proposals on the following protocol agreed by the OBE Steering Group:

In evaluating the **statements of intended learning outcomes** provided for proposed courses, the following considerations should be taken into account:

- *Clarity of outcomes:* students, other faculty and external stakeholders should be able to understand course ILOs
- *Number of outcomes:* experience indicates that the number of top-level ILO's should be fewer than 10

- *Scope of outcomes:* course ILOs are not necessarily comprehensive. The course design should be clear about the intended scope of course ILOs in the context of other courses in a program of study
- *Level of outcomes:* ILOs should be calibrated to the level of a course, building as necessary on previous courses and contributing to preparation for subsequent courses. Setting the appropriate level for ILOs is critical in the alignment of outcomes to assessment
- *Contribution to program ILOs:* The ILOs of the course reflect the role of the course in the achievement of overall learning outcomes in relevant programs.

Statements explaining the **alignment of ILOs** with learning activities and assessment are expected to show that:

- Learning activities and assessment are *intentionally* driven by the needs of students seeking to achieve the learning outcomes and the need to evaluate students' success
- A *realistic* view has been taken of the capacity of the learning activities planned for the course to enable students to achieve the desired outcomes
- The desired *level of performance* of outcomes has been taken into account
- The alignment built into the course design can be made *apparent to students*

THE HONG KONG UNIVERSITY OF SCIENCE AND TECHNOLOGY

Approval of Undergraduate Course

Section 1: Academic Administration ⁽¹⁾

1.1 Catalog

- a) Course to be effective from: Academic Year _____ Term _____
- b) Department Code ⁽³⁾: _____ Subject Area ⁽³⁾: _____ Course Number ⁽⁴⁾: _____
 Previous Course Code ⁽⁵⁾: _____
- c) Full Title ⁽⁶⁾ (max. 100 characters): _____
- d) Abbreviated Title ⁽⁷⁾ (max. 30 characters): _____
- e) Course Credits ⁽⁸⁾: ☐ Fixed: _____ ☐ Range: From _____ To _____

- f) Catalog Description ⁽⁹⁾ (word limit = 150):

- g) Default Grading Type ⁽¹⁰⁾: ☐ Letter Grades ☐ Distinction/Credit/Pass/Fail ☐ Pass/ Fail
☐ Distinction/Pass/Fail ☐ Others (please specify): _____

- h) ☐ Prerequisites ⁽¹¹⁾:

Course Code / Public Exam	Course Title / Exam Subject and Level / Grade attained

- i) ☐ Corequisites ⁽¹²⁾:

Course Code / Public Exam	Course Title

- j) ☐ Equivalent ⁽¹³⁾:

Course Code	Course Title

- k) ☐ Exclusions ⁽¹⁴⁾:

Course Code / Public Exam	Course Title / Exam Subject and Level / Grade attained

- l) Enrollment Requirements ⁽¹⁵⁾ ☐ No ☐ Yes

- ☐ Year of study: _____
- ☐ Program of study: _____
- ☐ Others (e.g. instructors' approval): _____

m) Medium of Instruction/Materials⁽¹⁶⁾: ☐ English ☐ Others, (Pls specify and provide a justification in Section 1.3): _____

n) Repeat Course for Credits:

☐ No ☐ Once ☐ Twice ☐ Others, pls specify: _____

1.2 Contribution of course to Programs of Study [Check all appropriate boxes below]

<input type="checkbox"/> Major	Program of Study	As		
		<input type="checkbox"/> Required Course	<input type="checkbox"/> Elective	<input type="checkbox"/> Prerequisite

<input type="checkbox"/> Minor	Program of Study	As		
		<input type="checkbox"/> Required Course	<input type="checkbox"/> Elective	<input type="checkbox"/> Prerequisite

☐ Common Core

<input type="checkbox"/> Others (pls specify):	Program of Study	As		
		<input type="checkbox"/> Required Course	<input type="checkbox"/> Elective	<input type="checkbox"/> Prerequisite

1.3 Rationale for Introducing this course and other relevant information⁽¹⁷⁾

--

Section 2A: Learning Outcomes and Alignment *(for courses not proposed to be Common Core Courses)*

2.1 **Key Course Intended Learning Outcomes** *(Should not normally exceed six or eight outcomes)*

Knowledge/Content Related:

Academic Skills/Competencies:

Other Learning Outcomes:

2.2 **Contribution of Learning Outcomes to Programs of Study identified in Section 1.2** *(Please also complete Section 3.1)*

Section 2B: Additional Information⁽²⁾ (for courses not proposed to be Common Core Courses)

2.3 Planned Teaching Arrangement

Teaching Activity		Weekly Scheduled Hours
<input type="checkbox"/>	Lecture	
<input type="checkbox"/>	Tutorial	
<input type="checkbox"/>	Seminar/Small-class	
<input type="checkbox"/>	Laboratory	
<input type="checkbox"/>	Others, pls specify:	

2.4 Planned Assessment Weightings

Assessment Tasks		Proportion of Final Grade [%]
<input type="checkbox"/>	In-class test	
<input type="checkbox"/>	Mid-term test	
<input type="checkbox"/>	Final exam	
<input type="checkbox"/>	Written Assignment	
<input type="checkbox"/>	Project Report	
<input type="checkbox"/>	Presentation	
<input type="checkbox"/>	Learning Portfolio	
<input type="checkbox"/>	Course Participation	
<input type="checkbox"/>	Peer Evaluation	
<input type="checkbox"/>	Others, pls specify:	

2.5 Alignment of Outcomes, Learning Activities and Assessment

--

2.6 Course Duration

☐ 1 term ☐ 2 terms ☐ Others, pls specify: _____

2.7 Planned Frequency of Offerings:

☐ Every Fall ☐ Every Winter
☐ Every Spring ☐ Every Summer
☐ Every term ☐ Every other year
☐ This is a double-term course
☐ Other (pls specify): _____

2.8 Course outline attached

☐ No ☐ Yes

2.9 Resources

Request extra resources for teaching this course? ☐ No ☐ Yes

Section 3: Development, Concurrence and Approval

3.1 Contribution to the Program Learning Outcomes

(To be completed by EACH of the program(s) of study noted under Section 1.2)

<input type="checkbox"/> The course contributes to this Major/Minor* Program: _____ (* Delete as appropriate)	
<input type="checkbox"/> The relevant program learning outcomes are attached.	
<input type="checkbox"/> On behalf of this program of study, I confirm that the course will contribute appropriately to overall program learning outcomes.	
<u>Position / Name:</u>	<u>Signature</u>
<u>Date</u>	
Program Director / Head of Department: _____	

<input type="checkbox"/> The course contributes to this Major/Minor* Program: _____ (* Delete as appropriate)	
<input type="checkbox"/> The relevant program learning outcomes are attached.	
<input type="checkbox"/> On behalf of this program of study, I confirm that the course will contribute appropriately to overall program learning outcomes.	
<u>Position / Name:</u>	<u>Signature</u>
<u>Date</u>	
Program Director / Head of Department: _____	

3.2 Approvals

Department/Program unit level Recommendation			
<input type="checkbox"/> Offering Department/Program Unit: (Please specify unit): _____	<u>Position / Name:</u>	<u>Signature</u>	<u>Date</u>
<input type="checkbox"/> Recommending School/IPO: (Please specify): _____			
School-level Concurrence			
<u>Name of School/Unit</u>	<u>Position / Name</u>	<u>Signature</u>	<u>Date</u>
<input type="checkbox"/> _____	_____	_____	_____
<input type="checkbox"/> _____	_____	_____	_____
<input type="checkbox"/> _____	_____	_____	_____
<input type="checkbox"/> _____	_____	_____	_____
<input type="checkbox"/> _____	_____	_____	_____

Notes:

(1) Academic Administration

Information in these sections will be considered by the Committee as a basis for approval of the proposed new course.

(2) Additional Information

Data in this section does not require approval of the Committee. It is presented to the Committee only as supplementary information to assist the Committee in evaluation of the course.

(3) Department Code and Subject Area

They refer to the offering department and the discipline of the course. For instance, a Bioengineering course should put “CBME” in the field of “Department Code” and “BIEN” in “Subject Area”.

(4) Course Number

1xxx = an introductory course

2xxx = an intermediate course

3xxx/4xxx = an advanced course / course for specialist study

(5) Previous Course Code

Applicable only if the course had been offered before as a special topics course.

(6) Full Title

The title will appear in all official documents. Max. length = 100 characters (spaces included)

(7) Abbreviated Title

Should be a direct abbreviation of the title. An abbreviated title must be provided when the full title exceeds 30 characters (including space).

(8) Course Credits

In the assignment of credits to courses, reference should be made to the ‘benchmark’ assignment of 3 credits for courses with 3 instructional-hours per week for a full 14-week term, and requiring 2-hours per week of student preparation for each instructional hour. For this calculation, ‘instruction hours’ means all required, scheduled hours of instruction. This benchmark implies a student workload of 40 to 50 hours per credit.

(9) Catalog Description

Section (1): Provide an outline of the course in about 30 words (3 lines). See the current issue of Course Catalog for reference formats.

Section (2) (if necessary): Include special enrollment requirements or grading requirements (such as the use of PP grade, the P/F or DI/PA/F grading system), if there is any. For HUMA/SOSC courses, the [PU], [CA] or [C] notation should be included here if the School of Humanities and Social Science has so approved. [PU] and [CA] denotes that the spoken language used in teaching is Putonghua and Cantonese respectively; while [C] indicates that although the course is not taught in Chinese, it may require students to read materials in Chinese.

(10) Default Grading Type

Special grading, such as PP, P/F or DI/PA/F, cannot be used for the course unless it is specified in the approved course information.

(11) Prerequisite(s)

A prerequisite may be an attainment in public examination or an existing/previously offered course (including special topics courses). The prerequisite must be obtained, or taken and passed before a student may register for credit in this (proposed) course.

(12) Corequisite(s)

A corequisite is a course which must be taken prior to, or at the same time as, the specified course.

(13) Equivalent Courses

Where more than one course meets a requirement of a program of study, these courses may be designated as equivalent courses. Students may not earn credits for more than one equivalent course.

(14) Exclusion(s)

Students who have achieved a specified attainment in public examinations or have completed, or are registered in, a specified course may not register for credit in an excluded course.

(15) Enrollment Requirements

Enrollment requirements serve to restrict the class enrollment to specified groups of students (e.g. “For Science students in their second year of study”, “For GBUS students only”, “For students with consent from the instructor only”) on top of prerequisites/corequisites. If departments/units wish to set this up for the course proposed, please check the box “Yes” and specify such enrollment requirements in “catalog descriptions” (f).

In most cases, departments/units can work out a “reserved quota” with ARRO per each time of course offering to prioritize certain groups of students (e.g. students studying relevant major or minor programs), instead of setting fixed enrollment requirements. For these cases, please check the box “No”.

(16) Medium of Instruction/Materials

Exceptions to the general University policy that English is the medium of instruction will only be permitted when the courses are related to the area of Chinese studies and are approved by the School of Humanities and Social Science. Courses approved to be taught in Chinese should carry a [PU] or [CA] notation in the course description, which indicates the spoken language used in teaching: [PU] stands for Putonghua; and [CA] for Cantonese.

Courses marked with a [C] in the catalog description are not taught in Chinese but may require students to read materials in Chinese.

(17) Rationale for introducing this course and other relevant information

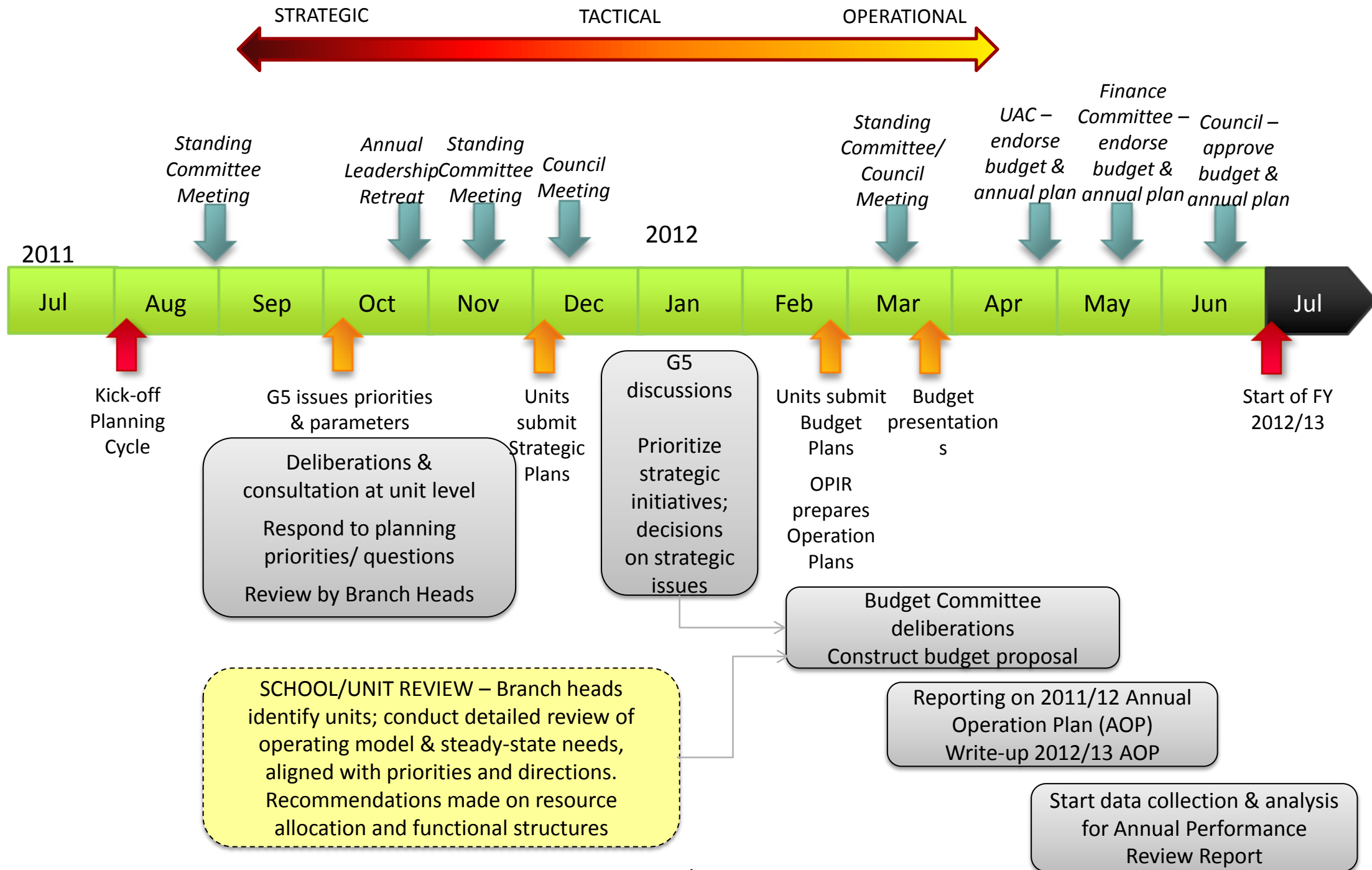
Other relevant information includes, e.g., justification for using language other than English as the medium of instruction/materials, the reason for allowing students to repeat the course for credits)

Appendix 2:

Timeline for Annual Operation / Budget Planning Cycle 2011-12

ANNUAL OPERATION/BUDGET PLANNING CYCLE

Appendix 2



Appendix 3:

Report on Good Practice in Use of Student Feedback

COMMITTEE ON TEACHING AND LEARNING QUALITY

- Title:** Report on good practice in use of student feedback
- Purpose:** The Quality Assurance Council (QAC) Audit Report was published in November 2010. The Committee on Teaching and Learning Quality (CTLQ) subsequently discussed the audit outcomes in its 26th meeting on 30 November 2010. As a follow-up on ***Recommendation 2: The QAC recommends that HKUST devise a formal system of informing students about changes made as a result of input through the various feedback mechanisms in place***, the CTLQ Secretariat has conducted a study of international good practice on arrangements for student feedback, particularly of strategies and methods for closing the communication loop with students.
- Prepared by:** CTLQ Secretariat **Date:** 6 February 2012

Introduction

According to the QAC Audit Report, *the University needs to improve its use of empirical data for decision making, planning, performance monitoring and so on. HKUST collects student feedback through the Student Feedback Questionnaire (SFQ) and the Student Engagement and Satisfaction Questionnaire (SESQ) as well as through focus groups convened on an ad hoc basis. Results of the SFQ are made available on-line and students reported that some of the teaching staff inform them in class of changes made as a result of student feedback. However, many students interviewed by the Panel were unaware of any changes that may have been made and some were sceptical about the impact of their feedback. While there are a number of informal channels through which some students receive feedback, there seems to be no systematic way of devising action plans based on results of surveys and closing the loop by informing the students of changes being made as a result of their input.*

To address the above, the CTLQ Secretariat has reviewed the practice of local and international universities and education institutions in addressing student feedback, in particular their strategies for closing the communication loop with students, see Annex.

The existing practice of the University has also been reviewed.

Key Findings

Three main conclusions can be drawn from the experience of other institutions and related research:

1. Students are more inclined to engage in their studies and in quality systems when they are informed by their university about what happens to any feedback they provide, and about any related changes. (QAA, Chapter B5: Student Engagement, Indicator 3)
2. When students participate in an evaluation process, their main concerns are whether their opinions mattered and what happens as a result of their responses. (University of Canberra)
3. Informing students of actions resulting from student surveys demonstrates that student opinion is valued and that their contribution to the process of continuous improvement really counts. (Monash University)
4. Any improvements that can be made to closing the loop will improve the likelihood of student providing feedback in the future. (Watson, 2003)

On the basis of these findings, Leckey and Neill (2001) argue that closing the loop is an important issue in quality enhancement. “If students do not see any actions resulting from their feedback, they may become skeptical and unwilling to participate”.

Best Practice

Despite this understanding of the value of closing the loop with students, practical arrangements to achieve this appear to be difficult to implement, and the process of closing the loop can be the most demanding aspect of seeking student feedback (CRQ, 2001). Major mechanisms are:

- Student representation on committees
- Induction programs for new student representatives to promote their understanding of university’s governance and the functions of the committees
- Information to new students on how previous student feedback has been used to improve learning and teaching in first lessons
- Incorporation of analysis, evaluation and reporting on the student voice at both program level and university level, so that students continue to engage in the process

The University of Sydney notes that good practice in the use of student feedback needs to be disseminated across the university, not only at meetings of committees and working groups, but also at other forms, and made publicly available on the university website.

Existing Practice in HKUST

Arrangements for closing the feedback loop are already in place in HKUST. CTLQ has published a good practice guide: *Good Practice for Student Participation in Quality Assurance and Enhancement*. This guideline covers:

- Communication with students
- Feedback for monitoring and improvement
- Engagement in a partnership for learning
- The need to close the feedback loop

At departmental level, the staff and student liaison committees regularly meet student representatives to discuss their concern. This provides an opportunity for follow-up actions to be relayed back to students.

With regard to central student services, student representatives participate in providing feedback on routine operation. Students receive regular updates from support units and the Student Affairs Office is proactive in responding to students' feedback.

The Center for Enhanced Learning and Teaching (CELT) conducts university-wide student surveys including the Student Feedback Questionnaire (SFQ) and the Student Engagement and Satisfaction Questionnaire (SESQ). Staff and students can access results of SFQ on the web. CELT also organizes forums to report back survey findings to staff and students.

Recommendation

This review suggests that no single institutional change can fully address this concern. It is recommended CTLQ communicates the high value of closing the loop with students, while recognizing the need for different approaches in different circumstances.

While the guideline document *Good Practice for Student Participation in Quality Assurance and Enhancement* has been helpful, it may be timely to review and revise this document, increasing the emphasis on closing the loop.

To ensure that progress is being made, it is recommended that CTLQ requires that annual reports on teaching and learning quality from Schools and academic-support units report specifically on feedback to students following up on their suggestions for improvement.

References on student feedback

Website Information:

The Quality Assurance Agency for Higher Education, (QAA) UK

UK Quality Code for Higher Education, Chapter B5: Student Engagement, Draft for consultation (February 2012)

University of Canberra

Strategies for “closing the loop” with students

<http://www.canberra.edu.au/tlc/evaluation/strategies-for-closing-the-loop-with-students>

Monash University

Providing feedback to students: closing the feedback loop

University of Southampton

Quality Handbook > Handbook > Student Feedback Policy

https://sharepoint.soton.ac.uk/sites/ese/quality_handbook/Handbook/Student%20Feedback%20Policy.aspx

The University of Western Australia

Closing the feedback loop

Audit Reports of Hong Kong universities issued by Quality Assurance Council

Articles:

Centre for Research into Quality (CRQ) (2001) Integrating Feedback Update: the Newsletter of the Centre of Research into Quality, issue 15, March

Leckey, J. and Neill, N. (2001) Quantifying Quality: The Importance of Student Feedback, Quality in Higher Education 7(1)

Symons, Rachel Office of Pro-Vice-Chancellor (Learning and Teaching), The University of Sydney (2006) Listening to the student voice at the University of Sydney: closing the loop in the quality enhancement and improvement cycle

Watson, Sarah (June 2003) Closing the Feedback Loop: Ensuring Effective Action from Student Feedback, Tertiary Education and Management

Appendix 4:

HKUST E-learning Strategic Plan

2011-2014

Vision, Mission, Strategy, Goals, Outcomes and Success Indicators

VISION MISSION	Any learning opportunity, any HKUST community member, anytime, anywhere. An innovative, agile and cost effective elearning environment that enables and enhances the delivery of quality higher education.								
GOALS	To deliver and enhance education through Elearning that inspires students to succeed, fosters high expectations and prepares them for participation in a sustainable society through elearning.		To value our staff and provide a working environment that acknowledges their contribution and builds elearning capacity.	To enhance strong management and leadership in elearning through its innovative use at HKUST			To maximize return on investment in education through responsive and sustainable management		
	Elearning Working Group (Scope and Role)								
ELEARNING STRATEGY	Learning and Teaching	Learning Management	Enhancing People’s Capacity	Information Management	Enhancing Underlying Elearning Infrastructure	Effective Stakeholder Engagement	Enhancing the Delivery of Elearning Services	Elearning Process Excellence	Effective Elearning Governance
	Promote, develop and provide the elearning environment and initiatives that facilitate, foster and improve teaching and learning to meet individual student needs.	Deliver standardized, secure, scalable student and learning management systems that support the learning and teaching environment.	Ensure that our people have the appropriate competencies and skills to deliver the range of services required by the institution.	Manage HKUST information assets to promote standardized, integrated and leveraged information across the institution that enhances learning, decision making and reporting.	Establish and maintain an enterprise wide elearning infrastructure that underpins the delivery of institutional goals	Engage with stakeholders to deliver services that are aligned with HKUST’s strategic plan and goals.	Quantify, deliver and improve best practice services that rely on elearning platforms.	Deliver high quality effective and efficient integrated systems to support the institutions’ processes.	Develop and ensure the assignment of appropriate inputs, decision rights and accountabilities to ensure appropriate investment in elearning and encourage desirable behaviour in its use.
OUTCOMES	<ul style="list-style-type: none">Individual learning environments using blended learning opportunitiesOn-line teacher professional developmentUbiquitous access to learning opportunities and resourcesCollaborative learning environments and communitiesDevelopment of elearning support for the learning and teaching programsTeacher staff control learning environment within a standardized frameworkStudents highly engaged via elearning environmentImproved learning outcomes.	<ul style="list-style-type: none">Elearning systems that efficiently support teaching, learning, reporting, and institutional servicesImproved consistency and availability of reporting for:<ul style="list-style-type: none">Student performanceResource managementImproved decision makingImproved accountability and reporting on student performanceImproved access to quality assured digital and other teaching and learning resourcesSingle academic record for each studentImproved teacher access to information to manage learning outcomesImproved capacity to develop individualized learning programsImproved efficiencies in student and learning administration for teachers and office staffMobile access to student assessment recording.	<ul style="list-style-type: none">Retention of high value and skilled staffImproved match between people skills and organizational requirementsEnhanced regional capabilityIncreased staff capability across technology and businessInnovative application of elearning to institution needsOn-line elearning professional development capabilityImproved engagement and understanding of the institution by elearning related staff.	<ul style="list-style-type: none">Consistent campus-wide view of students across all systemsWhere possible, data captured once only, as close as possible to the sourceConsistent quantitative reportingImproved institutional, financial and other decision makingImproved institutional, financial and other decision makingImproved data availability and traceabilityImproved data qualityDefined and maintained institutional meta dataPublished master and reference data sourcesSingle standardized records tracking systemCompliance with national and state government reporting requirementsAccurate web-based directory services.	<ul style="list-style-type: none">Improved access and availability to institutional systems and servicesElearning education continuity plans that are in placeInfrastructure procurement that facilitates the on-time delivery of educational initiativesElearning infrastructure of a design that is responsive to teaching and learning initiativesInfrastructure secured according to business riskInfrastructure supplied and managed to international benchmark standardsInfrastructure complies with enterprise architecture standards.	<ul style="list-style-type: none">Elearning is seen as an essential and valued resourceElearning staff have sufficient understanding of institutional areas to provide technology advice in educational provisionIncreased relationship building skills amongst elearning staffElearning staff have capability to deliver services and projectsStakeholders engaged in the design, development and implementation of services and productsIncreased awareness throughout the institution of elearning products, services and strategyImproved partnering with institutes and regionsTechnology solutions demonstrably addressing institutional business driversStrategic plans of portfolios have an elearning component aligned with the institutional elearning Strategic PlanImproved return on elearning investment.	<ul style="list-style-type: none">Communication with users about the services that are delivered and that will be delivered in the futureImproved information for customersFully costed and reported delivery of elearning servicesProfessional delivery of appropriate elearning services based on defined institutional requirementsEffective program and project management capabilities to deliver educational provisionsIncreased service levels.	<ul style="list-style-type: none">Improved and responsive institutional and support services aligned to the learning and teaching needs of the institutionInformation management systems that effectively support shared institutional services business reformImproved capacity for business analysis and decision supportReduced administrative costsIncreased devolution of accountabilityImproved ability to invest in educational strategiesImproved access to institutional information assets (HR, finance, payroll)Improved decision making at all levels through increased flexibility for unit/department leadersInformation management systems that effectively support compliance reporting	<ul style="list-style-type: none">Agreed annual elearning capital investment programClearer business objectives for elearning investmentStable governance mechanismsAgreed IT policies, guidelines, procedures and standardsAppropriate executive participation in elearning governanceAgreed elearning prioritiesMore focused elearning strategies.
	SUCCESS INDICATORS	<ul style="list-style-type: none">Available, responsive on-line learning environmentsResponsive network applicationsEnhanced graduate attributesPercentage of programs/courses and other education provisions connected to content sourcesSatisfied and engaged students.	<ul style="list-style-type: none">Motivated and skilled staffIncreased elearning literacy of teachers and studentsImmediate online enrolment and paymentLearning management systems that allow teachers to engage in blended delivery and professional developmentIncrease in the prevalence and use of online learning communities.	<ul style="list-style-type: none">Improved user satisfaction survey resultsStaff turnover ratesProgression against behavioral based competenciesProject delivery success.	<ul style="list-style-type: none">Reduction in number of application interfacesIncreased number of applications conforming to enterprise data modelIncreased reporting accuracyIncreased reporting complianceReduced data duplications and omissions.	<ul style="list-style-type: none">AvailabilityPredictabilityResponsivenessResilienceTrust.	<ul style="list-style-type: none">Increasing proportion of customers satisfied with elearning servicesIncreased retention of competent elearning staffImproved overall staff satisfaction levelsEnterprise-wide understanding of elearning strategyIncreased percentage of customers aware of elearning servicesIncreased compliance to prescribed elearning architecture.	<ul style="list-style-type: none">Reduced cost of supportElearning service performance against defined and benchmarked metricsUser satisfaction survey resultsProject performance measured against agreed metricsEnsure appropriate support services are available to allow staff with disabilities to effectively participate in professional development activities such as physical access, requirements for sign language interpreter and adaptive technology	<ul style="list-style-type: none">Positive improvements in competitive performance benchmarking with other institutional service delivery systemsPercentage reduction in incidents due to improved risk analysisDelivery of sub-programs of work on time and within budgetAccuracy and management of budget to forecastCost reduction in high volume procurement

Appendix 5:

Quality Assurance Annual Report Exercise 2010-11

Information on the Quality Assurance Annual Report Exercise 2010-11

(extracted from the website site: http://qa.ust.hk/faculty_exercise.html)

The Quality Assurance Annual Reporting Exercise 2010-2011

Schools and Departments

Under the framework, *The Quality Assurance of Teaching and Learning at HKUST*, departments/divisions and Schools together with academic support units are requested to provide annual reports based on designated report templates. Departments/divisions provide annual reports to Schools, and Schools to provide annual reports to the Senate Committee on Teaching and Learning Quality (CTLQ), based on information from the departments/divisions and relating to the Schools own activities. CTLQ then reports on the exercise to the Senate. This annual reporting exercise provides the backbone for the University's monitoring of quality assurance practice and educational quality and is a source of improvement in teaching and learning by encouraging a reflective and forward-looking review of programs and sharing good practice.

QA Annual Report Templates

- For Undergraduate Program (Department / Division) (Annex 1)
- For Taught Postgraduate Program (Program Office / Associated Department)
- For School/IPO (Annex 2)
- For Academic Support Unit

Timeline for Annual Reporting 2010-11	
September 2011	Templates and relevant information to be distributed to reporting units
October 2011	Academic departments/divisions and program offices prepare annual reports and submit to Schools / Interdisciplinary Programs Office
November 2011	Schools / IPO prepare annual reports at School level and submit them to CTLQ Academic support units prepare annual reports and submit to line managers
January 2012	CTLQ prepares findings on reports received and submits a report to Senate

Data Sets for Annual Reporting

The following sets of data are provided to help departments/divisions to reflect on their work. Reports should emphasize evidence-based evaluation and follow-up.

Undergraduate Programs

- 1) Enrolment 2010-11
- 2) Trend of JUPAS Score over the years
- 3) Classification of Honor and Course Grade Distribution 2010-11
- 4) Undergraduate Employment Survey 2010
- 5) Survey on Non-academic Background of Undergraduate Students 2010
- 6) Course Evaluation Results
- 7) Results of Student Engagement and Satisfaction Questionnaire (SESQ) 2010-11
Detailed results of the SESQ 2010-11 will be distributed to Schools via internal delivery.

Taught Postgraduate Programs

- 1) Statistics extracted from *Statistical Information on PG Students 2010-2011*
- 2) Results of Postgraduate Employment Survey 2010

Annual Reporting Guidelines



(Annex 3)

Good Practice in Annual Reporting



2006/2007



2007/2008



2008/2009



2009/2010

Data Archive

[2008-09](#)

[2009-10](#)



Departmental Annual Report on Undergraduate Education Academic Year 2010/2011

Source of the Report	
Department	
School	

Author Details	
Name	
Email	

Checklist – to be completed by the author of the annual report prior to submission	
1) The annual report has been considered by faculty members in a formal meeting at Departmental level.	Yes / No
2) The data on the QA website http://qa.ust.hk/faculty_exercise.html have been helpful in preparing the annual report.	Yes / No

Head of Department's Endorsement
<div>Date:</div>

Departmental Annual Report on Undergraduate Education

Part A: Quality Assurance of Undergraduate Education⁽¹⁾

Has the department implemented the QA system and related policies according to the University's framework?

Enter the text here...

Part B: Teaching, Learning and Assessment⁽²⁾

B1. Stakeholder Feedback

Have stakeholders including students, faculty and external parties expressed their views and suggestions on the quality of teaching, courses and programs? What are the department's responses and follow-up actions?

Enter the text here...

B2. Benchmarking

Has the department carried out any benchmarking in relation to teaching, learning and assessment?

Enter the text here...

B3. Review and Comment on Specified Items

(i) ***Intake Quality and Diversity***

(Reference: *Enrolment 2010 and Trend of JUPAS Score available at Data Sets for Annual Reporting* at http://qa.ust.hk/faculty_exercise.html)

Describe the intake quality and diversity? Any difference comparing with the previous reporting period?

Enter the text here...

(ii) ***Course Evaluation Results (Student Feedback Questionnaire)***

(Reference: <http://www.ust.hk/~webaa/courseval/index.html>)

Has the department reviewed the course evaluation results with instructors? What are the department's follow-up actions?

Enter the text here...

(iii) ***Exit Survey***

(Reference: *Results of Student Engagement and Satisfaction Questionnaire (SESQ) 2010-11*)

Has the department made reference to the SESQ results (eg. Section I. Academic Experience at HKUST) to maintain and improve educational quality?

Enter the text here...

B4. Review of Other Evidence Relevant to the Success of the Program

The relevant information would include data available at http://qa.ust.hk/faculty_exercise.html

Enter the text here...

B5. Planned Actions for the Future and Follow-up Actions Items from Previous Reports

Has the department compiled an action plan for the future to address the key issues / concerns identified from this reporting exercise?

Has the department reviewed the follow-up actions from previous reports?

Enter the text here...

B6. Difficulties for the Development of Programs Including Resources Constraints

Enter the text here...

B7. Examples of Good Practice

Provide brief details of good practices of teaching, learning and assessment which have a particular positive impact on the learning experience of the students and/or the success of the program.

Enter the text here...

B8. Other Information and Comments *(such as statistical observations and special events and activities)*

Enter the text here....

NOTES

1. In completing **Part A** department may make reference to the quality assurance framework of the University: *The Quality Assurance of Teaching and Learning at HKUST* available at http://qa.ust.hk/qa_framework.html. The major requirements are:
 - The department has in place committees or equivalent forums to review: admissions and induction of students; academic programs, courses and the co-curriculum delivered by the department; mentoring and advising; and student assessment and academic progress.
 - The role of individuals and committees is clearly assigned within a system that is designed to maintain and improve the quality of teaching and learning.
 - These committees: provide for a range of views to be expressed; consider evidence relevant for evaluating performance; share good practice; determine an agenda for action; and to follow up on planned action. In particular:
 - The department has taken advantage of external peer review and input from employers, professional bodies and others to benchmark academic standards and the quality of educational provision and the preparation of graduates for employment or graduate studies.
 - There are regular opportunities for students/student representatives to meet with faculty responsible for courses and programs and to freely express their views.
 - The relevant committees have met regularly and have documented their work.
2. In completing **Part B** department may wish to consider the following checklist of areas of concerns but reports are NOT expected to cover all areas:

Areas of concern	
<u>Admissions</u> Recruitment and selection Admissions data and quality of admissions	<u>Orientation and induction of students</u> Orientation and induction activities for new students Advising and mentoring of new students
<u>Development of the curriculum</u> Development of program/course objectives and outcomes Significant changes made/planned for the curriculum Difficulties and issues in developing the curriculum	<u>Development of the co-curriculum</u> Significant changes made/planned for the co-curriculum Difficulties and issues in developing the co-curriculum
<u>Teaching and learning</u> Innovation in delivery of teaching and learning Support for professional development of faculty, instructors and teaching assistants Incentives and recognition for good performance	<u>Learning environment</u> Student advising and mentoring Facilities, including: laboratories, study space, classrooms Learning resources, including: Library, on-line resources Availability of elective courses requested by students Class size, access to faculty, student campus engagement
<u>Assessment</u> Review of assessment results, including graduation results Application of Senate policy for grading, plagiarism and academic integrity	<u>Graduation and placement</u> Graduate employment and further study



School Annual Report on
Undergraduate and Taught Postgraduate Education
Academic Year 2010/2011

Source of the Report	
School	

Author Details	
Name	
Email	

Checklist – to be completed by the author of the annual report prior to submission	
1) The annual report has been considered by faculty members in a formal meeting at School level.	Yes / No
2) The data on the QA website http://qa.ust.hk/faculty_exercise.html have been helpful in preparing the annual report.	Yes / No

Dean's Endorsement
Date:

School Annual Report on Undergraduate and Taught Postgraduate Education

Part A: Quality Assurance of Education Programs

(The School may make reference to the quality assurance framework of the University: *The Quality Assurance of Teaching and Learning at HKUST* available at http://qa.ust.hk/qa_framework.html.)

A1. Annual Reports on Undergraduate and Taught Postgraduate Education

Have the Departments/Divisions and Programs under the School provided annual reports in line with Senate's policy and guidelines and School requirements?

Enter the text here...

A2. Arrangements to Maintain and Improve Educational Quality

Have the Departments/Divisions and Programs under the School undertaken arrangements to maintain and improve educational quality?

Enter the text here...

A3. Committees or Equivalent Forums to Consider Issues Relating Teaching and Learning at School-level

Has the School established committees or equivalent forums to consider issues relating to teaching and learning that arise at School-level?

Enter the text here...

Part B: Teaching, Learning and Assessment

B1. Important Achievements

Describe the most important achievements over the reporting period of the School and Departments/Programs in teaching, learning and assessment

Enter the text here...

B2. External Peer Review or Inputs

Give an account of the results of external peer review exercises or external inputs over the reporting period

Enter the text here...

B3. Review and Comment on Specified Items, Areas of Concern and Follow Up

Respond to review and comment on specified items, as well as areas of concern raised by Department/Program Annual Reports and in School-level, discussion and follow-up

Enter the text here...

B4. Future Plans

Describe future plans to maintain and improve educational quality

Enter the text here...

B5. Examples of Good Practice

Provide brief details of good practices of teaching, learning and assessment which have a particular positive impact on the learning experience of the students and/or the success of the programs.

Enter the text here...

B6. Issues of Broad Institutional Interest *(if not yet reported in other items of this report)*

Enter the text here...

B7. Other Information and Comments *(such as statistical observations and special events and activities)*

Enter the text here....

How to Prepare an Annual Report on Teaching and Learning

Step 1

Review the data provided. The results of the exit survey of UG students (SESQ) are particularly important.

Consider additional information that might be helpful: the number of students in UROP/internships/exchange; student academic progress; graduate employment.....

Ask colleagues to provide input on “good practice”: innovation in teaching or assessment; student advising and mentoring; co-curricular activities.....

Step 2

Look at the results of stakeholder feedback

- What did students contribute through joint meetings or focus-group sessions?
- What have alumni or employer contacts or formal sessions contributed?
- Have there been visits/reviews by academic peers?

Consider accreditation-related feedback to report, or other benchmarking activities

Step 3

Reflect on the data and feedback. What does it indicate about areas of strength and weakness, what issues have been raised?

Reflect on your unit’s QA arrangements

- Is QA aligned with the requirements of the HKUST QA Framework?
- Could arrangements be streamlined or strengthened?
- Are decision-makers receiving the information they require?
- Have stakeholders been informed of decision makers’ actions?

Step 4

Make a determination of the key issues for the reporting period and the priorities for the year ahead.

Step 5

Provide a Draft report based on Steps 1 to 4. Discuss the Draft with colleagues. Present the Draft through the Head to the Department.

Develop a revised Report, based on comments.

Some Dos and Don'ts

- **Do** keep the Report brief (no more than five pages for department reports on UG education and TPG programs)
- **Do** show that evidence has been reviewed and has had an impact on plans
- **Do** try to identify trends and patterns
- **Do** give priority to feedback from “external points of reference”
- **Do** refer back to action items from previous reports
- **Do** be frank and self-critical, but, where you express concerns, show that there are plans for improvement
- **Do** make the most of the good things you are doing for student learning
- **Do** try to demonstrate that your QA process is working: issues have been raised in the right committee, referred to the right place, and dealt with
- **Do** be forward-looking and present plans for action

-
- **Don't** reproduce data that is already available
 - **Don't** make assertions unless you have some evidence or examples that can back them up
 - **Don't** simply describe your existing QA arrangements or activities supporting students without reflection and evaluation
 - **Don't** try to be comprehensive, focus on areas of concern for the reporting period

Appendix 6:

Report on Good Practice for Assessment Policy

COMMITTEE ON TEACHING AND LEARNING QUALITY

- Title:** Report on good practice for assessment policy
- Purpose:** The Quality Assurance Council (QAC) Audit Report was published in November 2010. The Committee on Teaching and Learning Quality (CTLQ) discussed the audit outcomes in its 26th meeting on 30 November 2010. As a follow-up on *Recommendation 6: The QAC recommends that HKUST develop an institutional assessment policy based on international best practice with reference to the number; timing and scale of assessment tasks and the nature of feedback to students on their performance relative to course ILOs*, the CTLQ Secretariat has conducted a study of international good practice for assessment policy, especially in the area of workload and student feedback.
- Prepared by:** CTLQ Secretariat **Date:** 13 February 2012

Introduction

According to the QAC Audit Report, *the Panel noted concern among some students and staff about the sheer volume of assessment.....The number, timing and scale of assessment tasks need to be examined on a programme by programme basis so that students are not overloaded and over-assessed. The mapping of programme ILOs to assessment tasks provides an ideal opportunity to undertake this exercise. The Panel also heard that feedback on assessment tasks is often cursory or episodic, with minimal or no comments to inform and guide students.*

To address the above, the CTLQ Secretariat has undertaken a broad scan of good practice for assessment policy in overseas universities and educational institutions, see Annex.

The existing guidelines and practice of the University have also been reviewed.

Key Findings

The main elements of good practice in assessment as indicated in the review are:

- i. The amount and timing of assessments should enable effective and appropriate measurement of students' achievement of intended learning outcomes (QAA, UK).
- ii. In setting assessment tasks, distribution and completion of assessment tasks should be coordinated to minimize stress and pressure for both students and teachers. (City University of Hong Kong, QAA, UK)
- iii. Students should have adequate time to reflect on learning before being assessed. (QAA, UK)
- iv. Different assessment methods are appropriate for different assessment purposes. A variety of assessment methods can minimize the disadvantages of each. A mix of assessment methods is fairer than a single method. (University College London, University of Glasgow, Northumbria University)
- v. Assessment of a course should not rely on a final examination as the only form of assessment. (University of Canberra)
- vi. Students should be provided with timely and constructive feedback on assessment tasks explicitly related to the learning outcomes. Feedback supports student learning and provides advice on how performance can be improved. (University of Canberra)

Generally speaking, these elements of good practice are presented in the form of advice and encouragement. Rules and requirements limiting the flexibility of examiners and programs are not a feature of international good practice.

Existing Practice in HKUST

In November 2009, the University approved the guideline *Assessment of Students: Course Grading, Guidelines and Good Practice*. This guideline is clear that assessment of students is an opportunity for learning and sets out a general rubric for student grading on the basis of learning outcomes.

The guideline does not include more general advice on assessment practice. However the Center for Enhanced Learning and Teaching does provide extensive advice and support and links to resources, see <http://celt.ust.hk/teaching-resources/assessment-learning>.

Recommendations

It is not recommended that University adopts a rules and requirements as a means to improve practice in the assessment of students. However, consideration should be given to enhancing the existing guideline statement to include a clearer account of good practice in assessment.

A review of existing assessment practice may be useful as a basis for further efforts to encourage faculty and programs to adopt an assessment plan that takes into account the burden of assessments on students and faculty and ensures that useful feedback can be given. It is understood that in the period of the double-cohort it will be more difficult to stabilize such arrangements.

References on Assessment Policy

The Quality Assurance Agency for Higher Education, (QAA) UK
Code of Practice for the Assurance of Academic Quality and Standards in Higher Education, Section 6: Assessment of students
http://www.qaa.ac.uk/Publications/InformationAndGuidance/Documents/COP_AOS.pdf

University of Cambridge
Assessment Practices and Expectations: Educational and Student Policy,
<http://www.admin.cam.ac.uk/offices/education/curricula/practices.html>

University of Canberra
Policy: Assessment Policy
https://guard.canberra.edu.au/policy/policy.php?pol_id=2900

City University of Hong Kong
University Assessment Policy and Principles for Taught Programmes (Version 2, May 2011)
http://www.cityu.edu.hk/qac/assessment_policy/Assessment_Policy_revised_July_2011_WD_definitions.pdf

University College London
Lewis Elton (2002) Good Assessment Practice

University of Glasgow
Assessment Policy February 2011
<http://www.gla.ac.uk/services/senateoffice/academic/assessmentpolicies/assessmentpolicy/#d.en.192547>

Northumbria University
Guidelines for Good Assessment Practice
<http://www.northumbria.ac.uk/sd/central/ar/lteia/enhance/assessfeedback/>

University of Technology Sydney
Assessment 2020: Seven propositions for assessment reform in higher education

Appendix 7:

Abbreviations

Abbreviations

AOP	Annual Operation Planning
CELT	Center for Enhanced Learning and Teaching
CTLQ	Committee on Teaching and Learning Quality
HKUST	The Hong Kong University of Science and Technology
LLCs	Living Learning Communities
OBE	Outcome-Based Education
OPIR	Office of the Planning and Institutional Research
QAC	Quality Assurance Council
TDG	Teaching Development Grant
UROP	Undergraduate Research Opportunities Program



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