THE CHINESE UNIVERSITY OF HONG KONG

Progress Report on Quality Assurance in Teaching and Learning

March 2010

PROGRESS REPORT ON QUALITY ASSURANCE IN TEACHING AND LEARNING

March 2010

PREAMBLE

The Chinese University of Hong Kong (CUHK) is grateful to the Quality Assurance Council (QAC) for its audit of the quality of teaching and learning (T&L) at the University, and proud to have been the first University Grants Committee (UGC)-funded institution audited under this system. The process of institutional self-review prior to the audit visit provided a good opportunity for the University to identify issues that need to be addressed for further enhancement of the quality of student learning. Many of these have been confirmed and augmented by the QAC's findings, elicited by the Audit Panel and presented in the *Audit Report* (September 2008) as commendations of good practices, affirmations of improvements already in train, and recommendations for further enhancement. CUHK provided an *Institutional Response* which was appended to the *Audit Report*.

As stated in the *Institutional Response*, the University is gratified by the confirmation that

> 'CUHK is providing a high quality student learning experience that reflects its mission and role statement, underpinned by good quality assurance systems'.

The areas for future attention cited in the *Audit Report* in most cases confirmed the University's own assessments and plans. Therefore the present *Progress Report* not only responds specifically to the suggestions of QAC, but forms part of the broader and regular reporting and self-monitoring on the University's own T&L Action Plan already outlined in the *Institutional Submission* (Section 15 & SM8.1) for the Audit and augmented thereafter. The University is making good progress in the direction set by the Action Plan, and is confident that the educational quality and environment for its students will continue to be enhanced.

CUHK has grown in size and complexity, and the institution (with the rest of society) is undergoing rapid changes. It is necessary, in these circumstances, for the quality assurance system to evolve from autonomous and individual good practices based on implicit shared values suited to a relative small and stable community, to more structured, more explicit and more uniform institutional procedures supported by an appropriate degree of documentation and monitoring, in order to provide the input for collective reflections, and for accounting to external stakeholders. Many of the changes that have taken place, and many of the improvements suggested by the QAC, fall into this category.

The advice from an independent audit gives the fresh perspective that adds clarity to the tasks ahead, based on this recognition of the value of building on the good practices in this manner.

This *Progress Report* is divided into the following parts:

A. Summary table on Affirmations and Recommendations
B. Detailed report on progress on Affirmations
C. Detailed report on progress on Recommendations
D. CUHK T&L Action Plan

A. SUMMARY TABLE ON AFFIRMATIONS AND RECOMMENDATIONS

	Affirmation/ Recommendation	Follow-up Action
A1	To incorporate all components of Ug curriculum into IF	• Policy clearly adopted in 2004 • GE externally reviewed • Programme design for the normative four-year curriculum driven by IF, monitored from second cycle of internal programme review • IF extended to TPg and SD as from 2010
A2	'OBA roadmaps'	• OBA being used to drive the normative four-year curriculum design
A3	Appointed Deans	• All Faculty Deans appointed as of February 2010
A4	Study of the use of technology in student life and learning; use outcomes to inform course delivery in four-year curriculum	• Two completed University-wide studies • eLearning TDGs developed into a cluster • eLearning built into coming programme review of the normative four-year curriculum
A5	Re-examine the role of ILC	• Attention broadened beyond languages, towards independent learning in a variety of domains • ILC transferred out of the Faculty of Arts • New mission and Strategic Plan established
A6	Assessment policy (see also R8)	• Detailed assessment policy under consultation and committee discussion
A7	Use of Exemplary Teacher Award winners to disseminate good practice	• Continuing and extended to programme level in a TDG project
A8	Implementation of Action Plan	• Continuing
R1	Graduate attributes at postgraduate level	• Formal policy adopted and posted

R2	Mandatory, standard template for course outlines	• Standard template now in use
R3	Maximum number of Ug credit units that can contribute towards TPg award	• Formal policy adopted (Previously there was no breach of the principle even though the rule was not explicit)
R4	(a) Procedures and accountability for Action Plans	• Now stated more explicitly
	(b) Annual programme and course monitoring, time-series data	• Annual reporting already required • Strengthening of time-series data
	(c) Align the monitoring and review processes for Ug & TPg	• Parallel IF documents for Ug & TPg
R5	Draw on input from employers and professional bodies for curriculum	• Already done in professional programmes • Require all programmes to be aware of voices of employers generally • Employer comments are a key factor in the normative four-year curriculum programme design
R6	eLearning strategy for the normative four-year curriculum	• eLearning Strategy has been endorsed with clear allocation of responsibilities for all tasks
R7	Clarify the roles and responsibilities of the various academic and pastoral student support units	• Better documentation especially for benefit of external stakeholders now provided
R8	Assessment policy (see also A6)	• Detailed assessment policy under consultation and committee discussion
R9	Course and Teaching Evaluation	• Improved University-wide questionnaire piloted and adopted
R10	University-level processes to monitor and address research student concerns	• Improved RPg student progression form to close all feedback loops already adopted
R11	Codify policies and procedures for RPg training, supervision and management	• Policies and procedures on research student training reaffirmed and already implemented across the University • A 'Code of Practice' has been approved and will soon be announced

B. PROGRESS ON AFFIRMATIONS

Affirmation 1

The QAC affirms CUHK's plans to incorporate all components of the undergraduate curriculum (including majors, minors, electives, general education and language courses) into the undergraduate Integrated Framework for Curriculum Development and Review. *[page 7]*

The University had decided in March 2004 that the Integrated Framework (IF), first developed and applied to Major programmes, should in phases be extended to other components of the undergraduate (Ug) curriculum, including Minors, electives, languages and General Education (GE). GE was externally reviewed in November 2008, in a process aligned with the IF. Other elements will be incorporated: (a) in terms of programme design, starting with the new normative four-year curriculum, to ensure alignment with an outcomes-based approach (OBA); and (b) in terms of programme monitoring, starting with the second cycle of Programme Reviews from mid-2010. The specific plan was adopted by the Senate Committee on Teaching and Learning (SCTL) in May 2009 (**Appendix 1**). All offering units have been so informed, and the adoption of the IF is already adding to the clarity of curriculum design for the normative four-year curriculum, in terms of specified outcomes and aligned T&L strategies.

Going beyond this Affirmation, CUHK will further extend the IF to the taught postgraduate (TPg) and sub-degree sectors as well. Draft IF documents have been finalized for adoption in 2010–11. These documents demonstrate a consistent philosophy and strategy in three substantially different contexts.

Affirmation 2

The QAC affirms CUHK's production of 'OBA roadmaps', to consolidate a number of initiatives for more efficient and effective curriculum development and to indicate how an outcomes-based approach (OBA) will be implemented in all programmes. *[page 9]*

In October 2006, CUHK decided to implement OBA in all Ug programmes for the normative four-year curriculum, and all eight Faculties and G.E. were asked to consolidate their ongoing and planned initiatives into strategic OBA roadmaps, which were developed and accepted in August 2008. Each 'roadmap' was supported by a faculty-wide Teaching Development Grant (TDG) in the 2005–2008 triennium. Outcomes from these projects include: revision of programme-level statements of learning outcomes (one faculty); mechanisms to enhance student reflection on their learning (two faculties); stronger emphasis on professional learning outcomes, including case-based learning (four faculties); and clearer linkage between assessment and learning outcomes (four faculties).

A University-wide workshop on OBA as applied to the normative four-year curriculum design was held in December 2008 to share experience and collate feedback. All Ug Major programmes, as well as the different elements of the University Core requirements (languages, GE, Physical Education and IT) have by now drafted holistic outcomes in their new normative four-year curriculum (**Appendix 2**), and these are now under consideration by the Sub-group on Four-year Curriculum Design.

In December 2006, the proposal for a system of full-time appointed Faculty Deans was endorsed by the Senate. Implementation arrangements were presented to the Senate in March 2007 and the legislative process was completed in June 2007. Search Committees were established as the terms of the original elected Deans expired (timing staggered) and global searches were launched. As of February 2010, all Faculty Deans have been appointed and have assumed duty.

In August 2009, the Administrative and Planning Committee (AAPC) approved a new set of roles and responsibilities of Faculty Deans (**Appendix 3**), which highlights their strategic and leadership roles, and explicitly cites their responsibility over T&L, quality assurance, and external benchmarking through the advice of Visiting Committees.

Associate Deans (Education) of all Faculties are members of the SCTL, which is a high-level committee overseeing all T&L initiatives of the University.

A number of initiatives have contributed to planning in this area. The 'Digital Natives' project, developed under the auspices of the Academic IT Steering Committee (AITSC), was completed in December 2008 and the results were published in two papers (**Appendix 4**). A TDG project surveyed over 1400 students on their perceived needs and requests about eLearning, and was completed in 2009 (**Appendix 5**). The students were in favour of eLearning and expect better learning outcomes if certain eLearning strategies are used. They also provided feedback on strategies they consider useful, such as a range of communication strategies and directed searching of the web for information. A number of TDG projects in the 2009–2012 triennium have been funded in this area, with an 'eLearning cluster' set up to ensure best use of resources and the sharing of good practice. In the Programme Review cycle planned for 2010–2011, the normative four-year curriculum proposals for all programmes will be examined to see if optimal use of eLearning is planned. See also Recommendation 6.

The original name of the Independent Learning Centre (ILC) in Chinese, 'Independent *Language* Learning Centre' (語文自學中心), was rectified with effect from the academic year 2009–10, to remove specific reference to 'language', becoming simply 自學中心, to reflect its wider remit in supporting independent learning across all fronts – one thrust of the strategy especially in the move to the normative four-year curriculum. Moreover, ILC has

been transferred from the Faculty of Arts (where it was placed because of the language element) to be a unit attached to the Centre for Learning Enhancement And Research (CLEAR) with effect from 2009-10. In this new role, a new mission statement and strategic plan were developed (**Appendix 6**), with increased emphasis on support of independent learning.

Affirmation 6

The QAC affirms CUHK's decision to implement the recommendations of the Senate Committee on Teaching and Learning Working Party on Assessment. *[page 23]*

See report under Recommendation 8.

Affirmation 7

The QAC affirms the use of Exemplary Teacher Award winners to disseminate good practice within their Departments and invites CUHK to consider how they could also be used for systematic dissemination of non-discipline-specific good practice across the institution. *[page 26]*

The Vice-Chancellor's Exemplary Teaching Award is presented each year to one teacher from each Faculty. Some awardees later assume positions of responsibility, e.g. as Associate Deans (Education) who are SCTL members. A set of principles for excellent teaching has also been derived from the experience of these exemplary teachers.

A TDG project developed in 2008-09 involves filmed seminars, panel discussions with exemplary teachers and classroom practices. A CD of good practice will be completed in 2009-10.

To systematize dissemination of good practice, a University-wide workshop on curriculum design and OBA was held in December 2008, with a total of 132 attendees. Several awardees were invited to speak.

More importantly, the identification of good practice is now being elevated from the level of individual teachers (often a matter of good *delivery*) to the level of programmes (involving alignment in *design*). A recently funded (2009) TDG project *Excellence in teaching and learning: A framework for CUHK undergraduate programmes* will synthesize insights drawn from the completed Programme Reviews, views of stakeholders and relevant higher-education literature. The findings will be presented as a book and disseminated within CUHK and to sister institutions.

Affirmation 8

The QAC affirms CUHK's intent to implement the Action Plan that stemmed from its self-review as a means of continuing to assure and enhance the quality of student learning. *[page 34]*

The T&L Action Plan developed from the University's self-review has been augmented and updated in the light of the Audit *Report*. A consolidated progress report on the Action Plan is in Section D.

C. PROGRESS ON RECOMMENDATIONS

Recommendation 1

The QAC recommends that CUHK's graduate attributes at postgraduate level are more clearly and concisely articulated, particularly those relating to bilingual proficiency and whole-person development. *[page 8]*

The graduate attributes cited in the Strategic Plan (2006) and the *Institutional Submission* referred to first-degree programmes, in which the University has a duty to help students develop a broad set of desirable skills and attributes. Within the University, it is understood that these statements are not meant for postgraduate (Pg) students, for whom these attributes should either be part of the profile at intake, or should be developed through lifelong learning, without specific reference to the Pg programme pursued at CUHK. However, CUHK does recognize that these assumptions had not been made explicit, and is in the process of clarifying the policy, especially to external parties including prospective students, in two steps.

First, a statement on 'Expected Attributes for Graduates of Postgraduate Programmes' including the University's official policy on bilingual proficiency and whole-person development as they relate to Pg students was prepared by the Graduate School and endorsed by the Executive Committee of the Graduate Council in February 2009, and by SCTL in May 2009; this statement was noted by the Senate in September 2009, and is now posted on the Graduate School website (**Appendix 7**).

Second, when the Strategic Plan is revised, suitable qualifiers will be added to make it clear that the broad statement refers to Ug education, with a pointer to the Graduate School website for the Pg version.

Recommendation 2

The QAC recommends that CUHK considers introducing a mandatory, standard template for course outlines across the University that contains sufficient information for students to make informed decisions about course selection; and that this information is published well before the date of enrolment for a course. *[page 10]*

A number of aspects of the normative four-year curriculum planning have been aligned. Course outline templates have been standardized at CUHK for some years. The latest template with supporting guidelines is available on the web, and is integrated into a Course Outline Warehouse (COW), which will in turn be part of the Chinese University Student Information System (CUSIS) to be launched in mid-2010.

CUSIS includes a new portal for staff, students and alumni, through which users can access COW to find curriculum options, and enter the eLibrary, eLearning platform, ePortfolio system and other community websites. The integrated virtual campus is reinforced by a pervasive wireless LAN across CUHK's spread-out campus.

> **Recommendation 3**
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> The QAC recommends that CUHK reviews its policy in regard to undergraduate and postgraduate students being taught together and specifies the maximum number of undergraduate course credit units that can contribute towards a taught postgraduate award. *[page 12]*

Although previously there was no overall University-wide statement on the maximum number of Ug courses within a Pg programme, the following were noticed. (a) There was only one case of a large percentage of Ug courses; but in this programme, the absolute amount of Pg courses was still adequate, and was supplemented by many Ug courses as make-up for those whose first degree was in a different subject; the make-up nature will be more clearly stated. (b) Excessive (in the sense of >15%) amount of Ug courses in fact does not occur, through programme-level regulations and advising.

Nevertheless, the Senate in March 2009 approved a more explicit policy (**Appendix 8**), in particular specifying that as part of the programme requirement, Ug courses should not exceed 15%, and should be limited to 4000 level courses. So far, 17 postgraduate programmes have revised their study schemes for explicit compliance, for implementation in 2010-11. For the specific programme mentioned above, its study scheme has also been revised to comply with the rule. However, since formal approval from the respective external professional board is required, the new study scheme will be effective from 2011-12. It is emphasized that previously these programmes did not in actual practice breach the rule now in force.

The opportunity was also taken to agree on descriptors for courses coded at different levels.

> **Recommendation 4**
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> The QAC recommends that CUHK (a) identifies clear procedures, including lines of responsibility and accountability, for implementing the Action Plans arising from six-yearly Programme Reviews; (b) considers implementing annual programme and course monitoring driven by standard data sets presented in time series; and (c) more closely aligns the monitoring and review processes for undergraduate and taught postgraduate provision. *[page 14]*

(a)   Each Action Plan in response to a Programme Review is endorsed by the Faculty Board (chaired by the Faculty Dean) before submission to SCTL. The Action Plan is then considered in the programme rating, which may result in an adjustment of the one-line budget of the department (for UGC-funded programmes). Furthermore, the Action Plan is reviewed during an annual consultation between each programme and CLEAR. Actual implementation is to be scrutinized in the next round of Programme Reviews.

Importantly, in several instances where the Action Plans were considered inadequate, the Resource Allocation Committee (RAC) decreased the relevant departmental budget (by typically 0.5%). The decrease could be suspended for one to two years, pending improved response and evidence of action taken. This mechanism has been effective in ensuring forceful action.

In preparation for the normative four-year curriculum, the next (second) cycle of Programme Reviews will be a 'light' review starting in mid-2010, focusing on curriculum design as well as follow-up on the Action Plan (**Appendix 9**).

(b)   SCTL has approved in November 2008 a policy on 'Data on the Student Learning Experience at CUHK' (**Appendix 10**). CLEAR's reorganized Evaluation Services will now deliver Ug programme-level data at the end of Year 1, the end of programme, and one year and five years post-graduation. Discussions are occurring with the Graduate School about exit surveys for all TPg programmes. See also comments for Recommendation 9.

Separately, as part of the process to place more responsibility on Faculty Deans for strategic leadership, faculty-level data are collated annually as KPIs and presented as time-series for Deans and Faculties; these include elements related to T&L. (**Appendix 11**).

(c)   At present both Ug and TPg programmes have to go through Programme Reviews as stipulated in the respective IF documents. The principles are the same, though the details are adapted to the different circumstances. The IF documents for Ug and TPg programmes have been recently reviewed and brought into closer alignment with each other. See also the comments for Affirmation 1.

Recommendation 5

The QAC recommends that CUHK considers ways to draw on its links with local employers and professional bodies, to gain more external input into curriculum development and to obtain external evaluation of the effectiveness of curricula in imparting desired graduate attributes. *[page 16]*

Existing practice

As a comprehensive university, CUHK offers programmes across a broad front: professional programmes targeting specific careers (e.g. doctors, lawyers, teachers), as well as programmes in the mode of liberal education (e.g. philosophy) not tied to any particular profession – but which in fact provide access to *many* careers. Professional and employer input is more important for the former category. For this reason, the practice across the University is necessarily varied, and the University-level *Institutional Submission* may not have given an adequate impression of the long-existing practice of seeking professional and employer input, especially within professional programmes. The use of employer and professional input by Ug programmes of a professional nature is summarized in **Appendix 12**.

At the University level, a reliable source of feedback is through large-scale employers' surveys conducted every three years by the Education Bureau (EDB), previously the Education and Manpower Bureau (EMB). The latest survey conducted in 2006, *Survey on Opinions of Employers on Major Aspects of Performance of Publicly-funded First Degree Graduates in Year 2003*, covered all the eight UGC-funded institutions in HK. Key results are summarized in Section A15 'Measurement of output' of the *Institutional Submission* (IS) and SM3.2 'Output Statistics' of the *Supplementary Material* submitted to the QAC in January 2008. The University looks forward to the results of the next survey soon.

<u>More explicit future policy</u>

The University will be more *explicit* in its policy in this regard, in terms of both programme design and implementation.

In Programme Reviews, the actual use of feedback from employers will be one element for monitoring. This of course applies to professional programmes, but other programmes, for example in the arts and sciences, will still be expected to demonstrate awareness of the voices of employers in those sectors that are in practice major career destinations of its graduates — even if the programmes are not necessarily designed with those sectors in mind.

<u>Programme design for the normative four-year curriculum</u>

There is ample evidence that employers in Hong Kong place a high value on generic skills (including languages) and good working attitudes, whereas specialist knowledge is seldom cited as an area of serious concern. This view is taken as a key factor in driving the design of the normative four-year curriculum, in which much of the extra year is devoted to general skills and knowledge.

In making these decisions, the University is aware that career preparation is only *one* purpose of higher education, and employer views only *one* factor that influences curriculum design. Views of other stakeholders such as alumni (who are often themselves employers) are also taken into consideration.

Recommendation 6

The QAC recommends that CUHK develops and implements an institutional e-Learning strategy as part of its preparation for the four-year normative curriculum. *[page 18]*

The adoption of a formal eLearning Strategy at CUHK is timely and echoes the comments made in Section A on 'Overall Reflections'. This is an exciting time in Hong Kong and at CUHK because the growth in student numbers and the development of the normative four-year curriculum coincide with a growing maturity of many technologies and systems that can support eLearning. Hence, there is the need for a clear conceptual framework about how information and communication technologies (ICTs) can be used in eLearning that can be clearly linked to the curriculum elements in the IF. The eLearning Strategy, endorsed by the AITSC in January 2010, aims to: clarify the role of eLearning in supporting OBAs, especially for the normative four-year curriculum; continue research needed in order to plan investments in infrastructure for CUHK; enhance and monitor staff training, support and collaboration strategies, as well as student induction to eLearning and student IT competence training; and benchmark eLearning at CUHK against other comparable universities.

Each of the areas above has agreed parties who are responsible for undertaking appropriate work. The AITSC has oversight of the eLearning Strategy and will arrange regular reporting to the IT Policy Committee and SCTL (**Appendix 13**).

A number of eLearning projects were proposed for funding as TDGs for 2009–12; and were recommended by SCTL in July 2009 (Minutes 4-2, – **Appendix 14**). These projects have been clustered together and provide a core group for testing ideas, e.g. on platforms and

systems. There will be discussions on the coordination of the various projects in view of establishing a University-wide eLearning platform. See also Affirmation 4.

Recommendation 7

The QAC recommends that CUHK clarifies the roles and responsibilities of the various academic and pastoral student support units including how they inter-relate, how they are accessed and how overall provision, as well as each component of provision, is evaluated. *[page 19]*

The different student-support units have distinct roles and responsibilities:

Unit	Responsibility
Faculties & Departments	• Academic student-support services • Academic advisory system in each Faculty/ Department to provide academic-advice services • Information on student-support activities offered by various other units, and referral of students to these units where appropriate
Colleges	General pastoral student-support services
Office of Student Affairs (OSA)	A wide range of services and programmes to all students in the four functional areas: • Student activities and amenities • Services for incoming students • Student counseling and development • Career planning and development
Office of Academic Links (OAL)	Development of international relations, coordination and administration of student exchange programmes, and support for incoming exchange students and outgoing students prior to exchange
OAL (China)	Promotion of students' exposure in Mainland China
Office of Admissions and Financial Aid (OAFA)	• Award of scholarships, prizes and other academic awards • Award of bursaries and loans to students in genuine needs
University Health Service	• Administration of various health-education programmes for both physical and mental well-being of students • Health services for students

All the key student-support units are represented on the University's Committee on Student Affairs for coordination.

All student services and activities are subject to evaluation both by the units concerned and by students involved in the activities. Evaluation is conducted by various means. There are also external and indirect sources of evidence that illustrate the effectiveness of the University's student-development activities and student-support programmes.

Details of these arrangements were adopted by SCTL in December 2009 (**Appendix 15**).

Recommendation 8

The QAC recommends that CUHK implements an assessment policy for all taught programmes, to be applied across all Faculties and Departments, at both undergraduate and postgraduate levels. *[page 23]*

Most elements of an assessment policy had been in place, though these were not unified into a single document and there was some degree of variation. A consolidated policy is now under formal consideration (**Appendix 16**). This document articulates the principles of a good assessment policy in the OBA framework, the code of good practice that flows from these principles, and the process of departmental/ faculty and University-level monitoring that ensures compliance.

Recommendation 9

The QAC recommends that CUHK considers (a) revising Course and Teaching Evaluation (CTE) to elicit student feedback on a broader range of institution-wide elements of teaching and (b) adopting University-wide procedures, informed by best practice, for administering the CTE. *[page 27]*

SCTL decided in September 2008 to revise its CTE processes, and to develop a new version of CTE instrument incorporating these features.

An Expert Group was tasked to improve and systematize CTE. The new CTE consists of (a) common items, uniform across the University with key results archived centrally, and (b) additional items to take into account disciplinary differences. A pilot on the validity and reliability (in parallel with the existing questionnaire on a small sample of students) was conducted at the end of Term 2, 2008–09. Analysis was conducted in summer 2009 and reported to SCTL in October 2009. The new questionnaire (**Appendix 17**) was adopted university-wide from the academic year 2009–10.

University-wide procedures are in place for the administration of the CTE which ensures its proper conduct and confidentiality, with minor adaptations approved by each faculty to suit its particular circumstances.

Recommendation 10

In affirming CUHK's adaptation of the annual progression form to allow research students to record any views and concerns about supervision, resources or other relevant matters, the QAC recommends that University-level processes are put in place to monitor and address any research student concerns. *[page 33]*

The Graduate School has revised the research postgraduate (RPg) student progression form (**Appendix 18**) to close all the feedback loops for comments received via the form. Students are requested to make comments on the form, and supervisors/ division heads will provide a response where necessary. Students will be able to see supervisors' responses and give further feedback if they wish.

> **Recommendation 11**
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> The QAC recommends that CUHK draws on international best practice to codify its policies and procedures in regard to research student training, supervision and management, and mandates their implementation across the University. *[page 33]*

In 2008, the Executive Committee of the Graduate Council (GCExCo) formed a Task Force on Management of RPg Students to review the existing practices. The Task Force and the subsequent GCExCo discussion has reviewed, revised and affirmed the set of policies and procedures in regard to research student training. These updated policies and procedures are implemented across the University.

To make the guidelines/ regulations on postgraduate studies easily accessible, the Task Force also agreed to follow international practice to put them into a 'Code of Practice' (CoP) for the general reference of various stakeholders, including division heads, supervisors, teaching staff, administrative staff and students. A framework of the CoP **(Appendix 19)** has been approved by the Task Force, and will soon be announced.

Supervisor training will be a topic offered in conjunction with the existing Professional Development Course run by CLEAR. Completion is a requirement for first-time supervisors to be incorporated in the supervisor register.

D. CUHK T&L ACTION PLAN

SCTL adopted a T&L Action Plan in its self-review in September 2008, and this is regularly updated, both as a plan and as a periodic update of progress. A major update was undertaken after the QAC Audit, to incorporate QAC's recommendations and to integrate these within the broader context of the overall plan. The latest version is in **Appendix 20.**

APPENDICES

App	Ref	
1	A1	Future scope of programme reviews under the Integrated Framework for Curriculum Development and Review
2	A2	Examples of specification of outcomes in the draft normative four-year curriculum
3	A3	Delegation of authority and responsibility to Faculty Deans
4	A4	Digital Natives – Abstracts of two published papers
5	A4	Summary of TDG project 'A survey of students' perceived needs and requests about eLearning'
6	A5	ILC Strategic Plan
7	R1	Expected attributes for graduates of postgraduate programmes
8	R3	Course sharing between undergraduates and postgraduates and guidelines for assignment of level of course code
9	R4	'Light' reviews of the plans for the four-year normative curriculum
10	R4	Data on the student learning experience at CUHK
11	R4	Time-series data for Faculties – a fictitious sample
12	R5	Use of employer and professional input by undergraduate programmes of professional nature
13	R6	An eLearning Strategy for The Chinese University of Hong Kong: 2009–12
14	R6	eLearning projects funded by Teaching Development Grants (TDGs) (2009–12)
15	R7	Student-support services and activities at CUHK
16	R8	Assessment of student learning in taught programmes
17	R9	New course and teaching evaluation questionnaire
18	R10	Study plan and progress report for research postgraduate students
19	R11	'Code of Practice' for research postgraduate studies
20		CUHK T&L Action Plan

ABBREVIATIONS

AAPC	Administrative and Planning Committee (of CUHK)
AITSC	Academic IT Steering Committee (of CUHK)
CLEAR	The Centre for Learning Enhancement And Research (of CUHK)
CoP	Code of Practice (for RPg training, supervision and management in CUHK)
COW	Course Outline Warehouse
CTE	Course and teaching evaluation
CUHK	The Chinese University of Hong Kong
CUSIS	Chinese University Student Information System
EDB	Education Bureau of the HKSAR Government
EMB	Education and Manpower Bureau of the HKSAR Government. Re-organized to the Education Bureau (EDB, op.cit.) in July 2007
GCExCo	Executive Committee of the Graduate Council (of CUHK)
GE	General Education
ICTs	Information and communication technologies
IF	Integrated Framework for Curriculum Development and Review
ILC	Independent Learning Centre (of CUHK)
IS	Institutional submission
IT	Information technology
OAFA	Office of Admissions and Financial Aid (of CUHK)
OAL	Office of Academic Links (of CUHK)
OBA	Outcomes-based approach
OSA	Office of Student Affairs (of CUHK)
Pg	Postgraduate
QAC	Quality Assurance Council
RAC	Resource Allocation Committee (of CUHK)
RPg	Research postgraduate

SCTL	Senate Committee on Teaching and Learning (of CUHK)
SD	Sub-degree
SMs	Supplementary Materials
T&L	Teaching and learning
TDG	Teaching Development Grants
TPg	Taught postgraduate
Ug	Undergraduate
UGC	University Grants Committee

THE CHINESE UNIVERSITY OF HONG KONG

Senate Committee on Teaching and Learning

Future scope of programme reviews under the Integrated Framework for Curriculum Development and Review

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This paper outlines the proposed broad schedule and coverage of future programme reviews to be conducted under the auspices of the Integrated Framework for Curriculum Development and Review (Integrated Framework).

First round reviews

The first round of undergraduate (Ug) programme reviews will be completed in 2010. The focus of this first round was on each programme's major study.

Taught postgraduate (TPg) reviews are occurring under the direction and oversight of each Faculty and the Graduate School.

Second round light reviews for Ug programmes

The next round of Ug programme reviews will take place in 2010–2011 and will focus on the design of the normative four-year curriculum. These 'light reviews' will provide collegial feedback on programme's overall curriculum planning using the headings
* learning outcomes,
* content,
* learning activities, and
* assessment.

'Light reviews' will also be conducted on language programmes (Chinese and English), Physical Education and IT.

It is expected that the TPg reviews will also have completed one full round by 2012.

Arrangements after 2012

By 2012 there will be three revised versions of the Integrated Framework — for the sub-degree sector, the Ug sector and the TPg sector. The wording of the Integrated Framework documents will demonstrate the consistency in attention to quality considerations within the substantially different contexts of the three sectors.

The post-2012 Ug programme reviews for each department will include minors and elective courses, but exclude departmental offerings for General Education. The aim is to provide collegial feedback to programmes and departments on all aspects of Ug students' formal learning experiences.

Separate reviews will be conducted for language programmes (Chinese and English), Physical Education and IT.

Post-2012, programme reviews will be coordinated with the deliberations of the Visiting Committees. The proposed arrangement is that each programme review will be conducted by an internal panel a short time before the Visiting Committee. The review outcome (with report) will then be presented to the Visiting Committee for scrutiny and comment before it is submitted to SCTL. Visiting Committees will consider the quality of all Ug and TPg programmes under the purview of the department together. The process and especially timing for programme reviews will need to be developed with the role of Visiting Committees in mind.

Integrated framework

Draft versions of the three Integrated Framework documents should be available for discussion by the end of 2009.

[Noted by the Senate Committee on Teaching and Learning at its Third meeting (2008-09) held on
13 May 2009.]

Examples of specification of outcomes in the draft normative four-year curriculum

An example from the Major Programme in English

Through the course of their studies, students learn:
1. to read, understand and appreciate literatures in English, specifically in the major genres of poetry, fiction and drama (K/S/V);
2. to understand and apply the systematic study of language (K/S);
3. to develop an understanding and appreciation of the local and global dimensions of English, including multilingualism and multiculturalism (K/V);
4. to produce creative and scholarly work in high quality written English, using a variety of styles, both formal and informal, academic and non-academic (K/S);
5. to communicate effectively in spoken English in a manner appropriate to the communicative and cultural context, including making effective oral presentations using appropriate technology (S/V); and
6. to continue building upon their knowledge and skills after graduation, with an interest in learning as a lifelong process (K/S/V).

K = Knowledge outcomes   S = Skills outcomes V = Values and attitudes outcomes

An example from the Major Programme in Electronic Engineering

The program objectives are summarized by the following three main points:

1. Our graduates will acquire technical knowledge and skills in fundamental areas within mathematics, science, and engineering. They will achieve specialized understanding in one or more electronic engineering subject areas.

2. They will become aspiring engineers well educated to develop state-of-the-art technologies and to break new grounds.

3. They will gain an understanding of ethical and contemporary issues, and the impact of engineering solutions in the society. They will obtain an appreciation of the importance of safety and environmental considerations. Some will be ready to pursue further studies in graduate school.

Electronic engineering students will be trained to obtain the following outcome measures and will have the following knowledge, skills and attitudes upon graduation.

1

Knowledge:
Foundation: Mathematics, basic science, computer science, engineering science, electronic devices, design, circuits, systems

Elective specialisation in electronic engineering: Biomedical engineering, multimedia and signal processing, integrated circuit technology, microelectronics and photonics, microwave engineering and wireless communications.

Skills:
General :Communication, presentation, interpersonal skills, language, leadership, team-building, problem-solving, critical and independent thinking, project management

Electronic engineering: Circuit analysis and design, programming, design of electronic systems, design of electronic components and development of electronic techniques and processes, design and implementation of experiments, use of hardware and software in engineering design.

Attitudes:
Professional ethics, lifelong learning, appreciation of values and impact of electronic engineering, awareness of safety, humanity, and contemporary issues.

(AAPC M4/10/2009 - 18.8.2009)

THE CHINESE UNIVERSITY OF HONG KONG

Delegation of Authority and Responsibility to Faculty Deans

1.   Background

The UGC in its *Higher Education in Hong Kong – Report of the University Grants Committee (Sutherland Report)* of 2002 recommended a system of appointed Deans for local universities. Following a review of the University's governance structure, consultations from 2005 to 2006 and endorsement by the Senate on 13 December 2006, the Council decided at its 2nd (2007) Meeting held on 27 March 2007 to replace the system of concurrent Deanships filled by election to a new system of full-time Deanships filled by appointment after a search, with members of the Faculty concerned constituting the majority of the Search Committee. The amendment to the University Statutes giving effect to this change came into effect on 8 June 2007. At the start of the academic year 2009-10, 6 out of the 8 appointed Faculty Deans will be in office, including the Deans of Arts, Business Administration, Education, Medicine, Law, and Social Science. It is expected that the remaining two appointed Faculty Deans will be appointed before the end of 2009 and will all be in office by February of 2010.

The Deans of Faculties will be members of the University senior management team responsible to the Vice-Chancellor (or the Provost or a Pro-Vice-Chancellor designated by the Vice-Chancellor) and through the Vice-Chancellor to the Council. As the academic and executive head of the Faculty, the Dean will provide academic leadership and discharge administrative responsibilities in respect of academic, staff, resource and student matters as well as quality assurance and control within the Faculty. Given these new developments, the original policy on the *Duties of Dean of Faculty* (**Annex 1**), first approved by AAPC in 1997 with only minor revisions since then, will need to be updated.

2.   Roles and Responsibilities of Faculty Deans

2.1   Intention of appointed Deanship

Sutherland Report

The intention of the governance reform is to delegate more authority and responsibility to Deans to lead their Faculties. The *Sutherland Report* pointed out that:

> "It will therefore be for the Head of Institution to make recommendations upon the appointment of, and delegation of powers and responsibilities to, senior academic leaders. International practice suggests that procedures should be devised for appointing rather than electing Deans and related senior budget holders, and that *accountability and management lines should run to individuals rather than committees*." (3.39) (emphasis added)

Panel of External Experts

The Panel of External Experts recommended that:

> "Deans should be full-time appointments with an overarching responsibility for ensuring the well-being of all the Departments in their Faculties. However, in order to do this they should have resources that they can deploy at their discretion to meet special needs. This would allow the Deans to take on a more proactive role and should reduce the burden that is at present carried by the Pro-Vice-Chancellors."
> *(Third Report of the Task Force on University Governance*, paragraph 11)

Task Force on University Governance

The Task Force on University Governance recommended that:

> "Full-time Deans will be in a position to assume more leadership and administrative responsibilities in their Faculties, and a series of related measures will have to be considered to develop more authority, including budgetary authority, to each Faculty, to be exercised by the Dean and/or relevant committees. It is expected that Faculty Deans appointed after a search process will be asked to take on a broader range of responsibilities, including the following:
>
> (a) To recommend appointments of Department Chairmen after broad consultation with individual members of the Departments concerned;
>
> (b) To take broad charge of the Faculty processes for appointment and pay review, with approval by the University simplified and reduced principally to substantiation, senior, and exceptional cases; and
>
> (c) To have authority over a portion of any additional budgetary resources that may be made available to the Faculty (e.g. upon reversion to a four-year curriculum) in order to promote strategic developments in the Faculty."
> *(Third Report of the Task Force on University Governance*, paragraphs 21-22)

It is necessary to give effect to these intentions, in measured steps.

2.2   Revised roles and responsibilities of Faculty Deans

Given these developments, it is appropriate to revise the specified roles and responsibilities of Faculty Deans, in order:

(a) to reflect the authority and responsibility of the Faculty Deans under the new governance structure;

(b) to incorporate the new review mechanism for teaching staff approved by AAPC at its 8th (2009) Meeting held on 23 June 2009, with Faculty Deans chairing the standing Faculty Academic Personnel Committees (FAPC);

(c) to make more explicit the authority over one-line budgets (which previously was in practice often devolved to Departments/Schools) and where appropriate the authority over Faculty lines as well as the authority over space allocation and reallocation within the Faculty (to be delegated from the Committee on Space Allocation (COSA));

(d) more importantly to put emphasis not just on the management of various processes, but also on strategic planning, the setting of goals and the achievement of results; and

(e) to make explicit general responsibilities over a range of matters that are important for the welfare of the Faculty and its students.

The proposed *Roles and Responsibilities of Deans of Faculties* is attached (**Annex 2**), incorporating duties specified by Statutes, and also those approved and/or delegated by the Council, AAPC or the Vice-Chancellor. In particular, the arrangements in respect of personnel and resource (financial and space) matters are described in more details in Sections 3 and 4 below, while the roles of some of the supporting committees and officers within each Faculty are described in Section 5.

3.   Staff Matters

3.1   Faculty lines

The Faculty Dean will be in charge of the strategic development of the Faculty, and one important instrument for doing so is the control of the Faculty lines (i.e., slots for appointment of academic staff), within the overall budgetary responsibility. It is expected that all or some of the Faculty lines that become available through retirement, end of contract, attrition or new resources will be held by the Faculty Dean for strategic new hires, or for competition among Departments/Schools based on the quality of proposed candidates.

3.2   Faculty Academic Personnel Committee (FAPC)

The Faculty Dean will take charge of all academic personnel matters within the Faculty, through Chairmanship of the Faculty Academic Personnel Committee (FAPC), consisting of the Dean plus 3 or 4 senior staff members of the Faculty appointed by the Vice-Chancellor in consultation with the Dean. FAPC is a standing committee for all personnel processes (including appointment, contract renewal, substantiation/conversion to continuous appointment, pay review, advancement, crossing of pay bands, retirement/ extension of service). The FAPC is a key step in all such processes, and the Faculty Dean is responsible for active recruitment and, if appropriate, retention, and the setting of high standards.

3.3   Routine staff matters

The Faculty Dean has the authority and the responsibility for the following routine staff matters:

(a) Honorary, part-time and adjunct teaching appointments;

(b) Applications for leave and for conference grants;

(c) Outside practice applications, including cases that exceed the stipulated time limits or involve part-time teaching for other UGC-funded institutions;

(d) Part-time teaching, including cases beyond the normal permissible annual limit;

(e) Reimbursement of staff training and development expenses for degree programmes in respect of academic and research staff; and

(f) Exemption from the requirement to attend the Professional Development Course.

Other matters where there is an element of exceptional approval beyond normal guideline/regulation, competition, priority setting among the applications, maintenance of standard across Faculties or involving the Dean himself/ herself will require the further endorsement/decision by the Provost (or in the absence of a Provost the Pro-Vice-Chancellor in charge of academic personnel matters) upon the recommendation of Faculty Dean. The followings are some examples:

(a) Nominations for staff development grants under various schemes, including those requiring the University's nomination;

(b) Waiver of the requisite period of notice of resignation;

(c) Recommendation for retaining outside practice income accrued for part-time teaching beyond the annual time limit (i.e. without the need to forfeit income to the central).

3.4 Staff relationship and staff grievances

The Faculty Dean is expected to help develop good staff relationship within the Faculty. In the event of staff grievances, it is expected that the Faculty Dean will contribute to the informal resolution, or, where necessary, take part in or lead the formal grievance procedure, in accordance with established procedures available at the Personnel Office website.

4. Resource Matters

4.1 Sub-allocation of one-line budget

It is the general policy that the basic one-line budget of each Faculty will be allocated each year by the Resource Allocation Committee (RAC) to a single account held by the Faculty Dean. The Faculty Dean will decide whether to sub-allocate to each Department or School. If no sub-allocation is made, the Dean will be the budget-holder.

Under the existing practice, all Faculties make sub-allocations to Departments and Schools and the nominal Departmental shares are typically made known to Departments and Schools. Some Deans formulate their own internal sub-allocation formulas, while some simply pass the allocations to Departments and Schools after a small top-slice. It is expected that this practice will change: RAC will continue to inform the Dean (and only the Dean) about the nominal Departmental shares, but the Dean is not obliged to reveal or follow this pattern in any sub-allocation. This new practice will be implemented across all Faculties with effect from 2010-11.

It is suggested that the funds for Faculty lines be handled separately, i.e., subject to clawback by the Dean in the event that any vacancies arise.

4.2 Approval of one-line budget

In line with the recommendation of the *Sutherland Report* to place accountability on individuals rather than committees, and in recognition of the fact that the statutory authority of Faculty Boards does not extend to budgetary matters, Faculty budgets will be approved by the Dean upon the advice of the Faculty Executive Committee, rather than by the Faculty Board. A revision to the one-line budget manual is required.

4.3 Retained authority after sub-allocation

After sub-allocation, the Dean is still responsible for final approval and counter-signature in respect of the following:

1	Budget plans of Departments/Schools/Faculty-based units
2	Revised budget plans of Departments/Schools/Faculty-based units
3	Reimbursement of entertainment expense to the Department Chairmen/ School Directors in excess of $1,000 per transaction
4	Expenses on overseas travel, including per diem for duty trips
5	Invited academic visitors
6	Conference lunch and dinner, air-passage, accommodation and meals of invited keynote and lead speakers to conference
7	Reimbursement of staff training and development expenses exceeding $10,000

The same approval and countersigning arrangement applies to self-financed teaching programmes.

4.4 Private funds

The Faculty Dean is ultimately accountable for the financial sustainability of all activities supported by private funds within the Faculty (including those of self-financed programmes) and the deployment of resources generated by such activities. The Bursary will separately provide to each Dean a list of the accounts involved.

4.5 Space allocation/reallocation

AAPC at its 20th (2000) meeting authorized the Committee on Space Allocation (COSA) to allocate/re-allocate all University space on campus (except student hostels and staff residences), irrespective of purposes and funding source.

To support the Dean's role as the academic and executive head of the Faculty, it is proposed that Faculty Dean, in consultation with the Faculty Executive Committee, shall be delegated with the authority to sub-allocate, re-distribute, clawback and withhold *space within the Faculty* with a view to supporting the operational needs, strategic developments as well as vision and mission of the Faculty, while taking note of historical and sensitive factors.

The Faculty Dean shall therefore also be responsible for the utilization and efficient use of space within the Faculty to support teaching and research in the academic departments and Faculty-based units (including research institutes, centres and other supporting services).

In the case of space shortage, the Faculty Dean, instead of an individual user Department/Unit, shall be responsible for submitting space requests to COSA which will be assessed with the Faculty as one single unit. The total Faculty space requirement will be worked out according to the new space formulas adopted in 2007, with breakdowns for individual Departments/Units made available to the Dean as *indicative figures*. Similar to budget allocation, the Dean is not obliged to reveal these indicative figures to the user Departments/Units.

COSA has already been moving towards the direction of negotiating space issues with the Faculty Deans on a Faculty basis (at least 6 out of the 8 Faculties at the moment) especially when long-term

space planning is now being done in preparation for the 4-year curriculum. COSA will separately work with the Faculty Deans to support their work in internal space allocation/reallocation with this new authority now formally given to them.

5. Supporting committees and officers

The Dean in discharging his/her duties is supported by a range of committees and officers. In addition to the Faculty Academic Personnel Committee already described above, as well as the constituent Departments/Schools, these include the following:

5.1 The whole Faculty

The Dean will need to periodically consult and engage the entire Faculty. Statute 15.5 specifies that each Faculty (not Faculty Board) "shall meet at least once a year, and shall have the power to *discuss* any matters relating to the Faculty and to express its opinion thereon to the Senate" (emphasis added). This is clearly intended to be a "town-hall" type meeting for the purpose of two-way communication, and Faculty Deans are urged to make use of this opportunity for broad input into Faculty strategic and annual plans.

5.2 Faculty Board

The Faculty Dean shall chair the Faculty Board (for composition see Statute 15.6, 15.6A). The responsibility of the Faculty Board lies in academic matters (broadly speaking similar to the powers of the Senate, but at Faculty level); specifically (see Statute 15.7), its functions are to "coordinate the activities of the Departments within the Faculty, and to consider and deal with the recommendations of the Departments (a) on the content of courses for the degree or degrees, and (b) on the details of syllabuses"[1]. Personnel and resource matters are *not* within the purview of reference of the Faculty Boards.

5.3 Faculty Executive Committee

All Faculties have set up Executive Committees. In view of the need of Faculty Deans to consult and be advised on matters beyond those under the jurisdiction of the Faculty Boards, it is proposed that each Faculty should set up a Faculty Executive Committee, not as a subcommittee of the Faculty Board, but as a separate *advisory* body to the Dean in discharging his/her duties as head of the Faculty. If the Faculty Board finds it necessary to delegate some of its more routine functions, on academic affairs as described above, these should be delegated to the Dean, who may consult the Faculty Executive Committee for advice.

The proposed composition and terms of reference of the Faculty Executive Committee is in **Annex 3**, which is drafted in parallel to the functions of AAPC at University level (Statute 13, also reproduced in **Annex 3** for easy comparison), except that matters related to academic personnel are removed and placed under the Faculty Academic Personnel Committee, also chaired by the Dean.

5.4 Associate Deans

AAPC at its 20th (2004) meeting held on 12 October 2004 decided that each Faculty should appoint at least three Associate Deans to assume responsibilities for the three areas of (a) education, (b) research, and (c) student affairs, who would act as the designated representatives for centralized

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[1] Statutory amendment is being drafted to change "Departments" to "Departments/Schools".

information collection and dissemination in respect of their respective Faculties in the corresponding areas. Each Faculty may, if it wishes, appoint other Associate Deans; their responsibility allowance, if any, will be borne by the Faculty itself.

In this connection, the following guidelines should be adopted, with such modifications as may be appropriate to suit the circumstances of each Faculty:

(a) The Associate Deans should be members of the Faculty Executive Committee;

(b) The Associate Deans should be members of the Faculty Board[2];

(c) Service as Associate Dean should be recognized with suitable relief of teaching or administrative duties of the Department/School, and any resources required should be provided through the Faculty budget held by the Dean; and

(d) Administrative support for the Associate Deans in the discharge of their duties should be provided by the Faculty Office, or by mutual agreement, by a suitable unit within the Faculty.

6. **Decision**

AAPC is requested to approve the above proposals on delegation of authority and responsibility to Faculty Deans, especially

(a) the proposed *Roles and Responsibilities of Deans of Faculties* (**Annex 2**);

(b) the composition and terms of reference of the Faculty Executive Committee (**Annex 3**); and

(c) a revision to the one-line budget manual to place the authority for Faculty budgets on the Dean after consultation with the Faculty Executive Committee.

18 August 2009

[Approved by the Administrative and Planning Committee at its 10th meeting (2009) held on 18 August 2009.]

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[2] An amended Statute 15.6, expected to become operational from 1 January 2010, will give effect to this clause.

THE CHINESE UNIVERSITY OF HONG KONG

Duties of Dean of Faculty

(Approved by AAPC on 20 May 1997 & updated on 8 January 2008)

General

1.   The Dean is the executive head of the Faculty who takes overall charge of staff, academic, financial and student matters as well as quality assurance and control matters within the Faculty. The Dean is responsible to the Vice-Chancellor (or the Provost or Pro-Vice-Chancellor designated by the Vice-Chancellor) and through the Vice-Chancellor to the University Council.

Academic Matters

2.   To formulate Faculty development proposals/reports such as triennial and annual development proposals.

3.   To review the programmes of studies, to curb the unnecessary proliferation of courses and to enforce course assessment at the Faculty.

4.   To monitor the conduct of courses, the conduct of examinations and grading to ensure a certain degree of uniformity within the Faculty.

5.   To coordinate and encourage research efforts within the Faculty.

Staff Matters

6.   To formulate recruitment strategies and coordinate recruitment efforts within the Faculty, and to serve as Chairman of ad hoc Selection Committees for recruitment of staff (below the appointment grade of Reader or its equivalent) in the Faculty.

7.   To serve as Chairman of ad hoc Review Committees for substantiation of appointment/crossing of efficiency bar in respect of teaching staff (below the appointment grade of Reader or its equivalent) in the Faculty, and to conduct review meetings with staff members within the Faculty who have been given a rating of more than one "average" or below in each periodic report during probationary employment.

8.   To consider applications/nominations in respect of contract renewal, promotion, retirement, extension of service and award of academic titles as a member of the Academic Staff Review Committee and Administrative and Planning Committee. To give views to the Vice-Chancellor on similar matters in respect of staff members as requested by the Vice-Chancellor.

9. To endorse applications/nominations for conference grants, staff development grants and special research grants, in competition with staff of other Faculties and to approve applications/nominations for staff development programmes within the Faculty.

10. Upon appointment by the Vice-Chancellor, to serve on review panels concerning staff discipline cases.

11. To approve applications for special leave and other forms of leave (personally or by delegation of authority to another person) as stipulated by and in accordance with relevant University regulations, and endorse applications for outside practice as recommended by Department Chairmen.

Financial Matters

12. To be responsible for the effective and efficient allocation of Faculty funds in pursuit of agreed Faculty objectives.

13. To determine in consultation with Department Chairmen within the Faculty on whether the budget allocated to the Faculty should be sub-allocated to each Department and if so, the internal allocation for each Department.

14. To finalize the budget plan (and its revision) of the Faculty after it has been endorsed by the Faculty Board for presentation to the University for approval, if the Faculty budget is not sub-allocated to the Departments.

15. To approve the budget plans (and their revision) of Departments within the Faculty and budget plans (and their revision) of faculty-based units after endorsement by the Faculty Executive Committee for presentation to the University for final approval, if the Faculty budget is sub-allocated to the Departments.

16. To manage the budgets of the Dean's Discretionary Fund and the faculty-based units within the Faculty.

17. To approve expenditure applications for travelling and related expenses of academic visitors and staff members in the Faculty, and other expenditure items as may be determined by the University from time to time.

Student Matters

18. To ensure that relevant University regulations are observed.

Others

19. To carry out any additional duties as may be requested by the Vice-Chancellor from time to time.

[This policy was superseded upon approval of the paper in Annex 2]

THE CHINESE UNIVERSITY OF HONG KONG

Roles and Responsibilities of Deans of Faculties

(For approval by AAPC on 18 August 2009)

General

1. The Dean is the academic and executive head of the Faculty who takes overall charge of staff, resource (financial and space) and student matters as well as quality assurance and control matters within the Faculty. The Dean is responsible to the Vice-Chancellor (or the Provost or a Pro-Vice-Chancellor designated by the Vice-Chancellor) and through the Vice-Chancellor to the University Council.

Strategic planning

2. The Faculty Dean is expected to develop a Faculty Strategic Plan that sets out the goals of the Faculty in alignment with the University's Vision, Mission and Strategic Plan, and as agreed with the Vice-Chancellor (or the Provost or a Pro-Vice-Chancellor designated by the Vice-Chancellor), and an annually updated Action Plan within the envelope of available resources for achieving the said goals. Some of the duties below should be seen as part of the process for achieving the goals in the Faculty Strategic Plan.

Academic Matters

3. The Faculty Dean shall formulate Faculty development proposals/reports such as triennial and annual development proposals.

4. The Faculty Dean shall receive and as appropriate act on the advice of Visiting Committees (appointed by the Vice-Chancellor) on the performance and future development of Departments/Schools in the Faculty.

5. The Faculty Dean shall:

    (a) receive and as appropriate act on the report of the Programme Reviews pertaining to the programmes of studies;

    (b) curb the unnecessary proliferation of programmes and courses, and make recommendations for endorsement of the Faculty Board as to which self-financed taught postgraduate programmes and sub-degree programmes should be supported for continuation after the valid period of approval by the Senate; and

    (c) supervise course and teaching evaluation in the Faculty.

6. The Faculty Dean shall monitor the conduct of courses, the conduct of examinations and grading to ensure a certain degree of uniformity within the Faculty.

7. The Faculty Dean shall coordinate research and knowledge transfer efforts and set expectations within the Faculty, lead and coordinate the effort of the Faculty in seeking external grants and funding support for research.

8.   The Faculty Dean shall lead in fostering collaborations and partnerships of the Faculty (in teaching and learning, research and other areas) with key institutions nationally and internationally.

Staff Matters

9.   The Faculty Dean shall formulate recruitment, retention and succession strategies and lead recruitment efforts within the Faculty.

10.   The Faculty Dean shall serve as Chairman of the Faculty Academic Personnel Committee (FAPC) and in that role be responsible for setting high standard in the reviews related to academic personnel, including appointment, contract renewal, substantiation/ conversion to continuous appointment, pay review, advancement, crossing of pay bands, retirement/ extension of service.

11.   The Faculty Dean shall approve routine staff matters such as leave, outside practice, conference grants, reimbursement of staff training and development expenses, etc. in accordance with the University regulations, and make recommendations for consideration by the relevant authority in respect of those matters with an element of competition such as staff development grants, and those matters that require approval beyond the Faculty level, such as remunerative outside/visiting academic appointments.

12.   The Faculty Dean shall handle staff discipline and grievance matters within the Faculty. In the event of staff grievances or discipline case, the Faculty Dean shall take part in or lead the relevant procedures, in accordance with University policies and guidelines.

Resource Matters

13.   The Faculty Dean shall be responsible for the effective and efficient allocation and deployment of Faculty funds and space in pursuit of agreed Faculty objectives.

14.   The Faculty Dean shall manage the budget of the Faculty and determine whether the budget allocated to the Faculty should be sub-allocated to each Department/School and if so, the internal allocation for each Department/School.

15.   The Faculty Dean shall finalize the budget plan (and its revision) of the Faculty, after receiving the advice of the Faculty Executive Committee, for presentation to the University for approval, if the Faculty budget is not sub-allocated to the Departments/Schools.

16.   The Faculty Dean shall approve the budget plans (and their revision) of Departments/Schools and Faculty-based units within the Faculty, after consultation with the Faculty Executive Committee, for presentation to the University for final approval, if the Faculty budget is sub-allocated to the Departments/Schools.

17.   The Faculty Dean shall be held ultimately accountable for the financial sustainability of all activities supported by private funds within the Faculty (including those of self-financed programmes) and the deployment of resources generated by such activities.

18.   The Faculty Dean shall approve expenditure applications for travelling and related expenses of academic visitors and staff members of the Faculty, and other expenditure items as may be determined by the University from time to time.

19. The Faculty Dean shall be responsible for the utilization and efficient use of space within the Faculty and shall, in consultation with the Faculty Executive Committee, sub-allocate, re-distribute, clawback and withhold space within the Faculty, if needed, and submit requests to the Committee on Space Allocation (COSA) in case of space shortage.

Student Matters

20. The Faculty Dean shall lead and be responsible for the quality of student admissions, the monitoring of student progress and the performance of graduating students.

21. The Faculty Dean shall ensure that relevant University regulations are observed.

22. The Faculty Dean shall lead and coordinate experiential learning opportunities for students in the Faculty.

23. The Faculty Dean shall lead and coordinate efforts to enhance career opportunities for graduates of the Faculty.

Others

24. The Faculty Dean shall ensure that the achievements and contributions of the staff and students in the Faculty are suitably made known to stakeholders and the wider community.

25. The Faculty Dean shall liaise with potential supporters and to seek funding support for the educational and research endeavours of the Faculty.

26. The Faculty Dean shall ensure that relevant laws, applicable government regulations and University policies are observed within the Faculty, such as policies on work place and laboratory safety, copyright and intellectual property rights, prevention of sexual harassment and discrimination, and protection of personal data privacy.

27. The Faculty Dean shall carry out any additional duties as may be requested by the Vice-Chancellor (or the Provost or a Pro-Vice-Chancellor designated by the Vice-Chancellor) from time to time.

Deliverables

28. As part of the Faculty Strategic Plan and through the above tasks, the Faculty Dean is expected to be responsible through the Provost (or a Pro-Vice-Chancellor designated by the Vice-Chancellor) to the Vice-Chancellor for the following:

    (a) the quality of student admission;

    (b) the quality of teaching and learning;

    (c) the quantity of research grants and the success rate in securing such grants; the quality, quantity and impact of research output; and the setting of research standards;

    (d) the extent and impact of knowledge transfer and community engagement; and

    (e) the quality of staff appointment, especially for substantiated staff.

THE CHINESE UNIVERSITY OF HONG KONG

Faculty Executive Committee

(For approval by AAPC on 18 August 2009)

In view of the need of Faculty Deans to consult and be advised on matters beyond those under the jurisdiction of the Faculty Boards, each Faculty should set up a Faculty Executive Committee as an separate *advisory* body to the Dean in discharging his/her duties as head of the Faculty.

1. Each Faculty shall establish a Faculty Executive Committee, which shall consist of -
    (a) the Dean of the Faculty, who shall be the Chairman;
    (b) the Associate Deans of the Faculty;
    (c) (i) all, or at least three of the Chairmen of the Departments and Directors of Schools (and with the approval of the Vice-Chancellor, the Director of Studies) within the Faculty, nominated by the Dean of the Faculty;
        (ii) alternatively for any Faculty without constituent Departments or Schools, at least three teachers within the Faculty, nominated by the Dean of the Faculty.
    The Faculty Dean shall appoint the secretary of the Committee.

2. It shall be the duty of the Faculty Executive Committee –
    (a) to assist the Dean of the Faculty in the performance of his/her duties;
    (b) to initiate plans for Faculty development;
    (c) to assist the Dean of the Faculty in managing the budget, finances and space of the Faculty; and
    (d) to deal with any matter referred to it by the Vice-Chancellor or his designate, AAPC or the Faculty Board.

3. The Faculty Executive Committee shall report to AAPC through the Faculty Dean.

Note: The above is patterned after AAPC, whose membership and terms of reference are defined by Statute 13, which reads as follows:

1. There shall be a Committee of the Council known as the Administrative and Planning Committee, which shall consist of –
    (a) the Vice-Chancellor, who shall be the Chairman;
    (b) the Pro-Vice-Chancellors;
    (c) the Heads of the original Colleges and of Shaw College;
    (d) the Dean of each Faculty and of the Graduate School;
    (e) the Secretary;
    (f) the Registrar;
    (g) the Bursar; and
    (h) the University Dean of Students.
    The Secretary or his deputy shall serve as secretary of the Committee.

2. Subject to the Ordinance and the Statutes, it shall be the duty of the Administrative and Planning Committee –
    (a) to assist the Vice-Chancellor in the performance of his duties;
    (b) to initiate plans of University development;

(c)   to assist the Vice-Chancellor in reviewing and co-ordinating the annual and supplementary estimates of recurrent and capital expenditures of the University, before transmitting them to the Finance Committee of the Council;

(d)   to review or propose academic and administrative appointments that are at and above the level of Tutors and Demonstrators or their equivalent before these appointments are made;

(e)   to deal with other matters referred to it by the Council.

3.   The Administrative and Planning Committee shall report to the Council through the Vice-Chancellor.

The digital divide between university students and teachers in Hong Kong

McNaught, C., Lam, P. & Ho, A. (2009)
In R. Atkinson & C. McBeath (Eds.), *Same places, different spaces* (pp. 654–664)

Abstract
A study presented at ASCILITE 2008 (Kennedy, Dalgarno et al., 2008) suggested that the digital divide between students and staff has been overestimated. This study, conducted at The Chinese University of Hong Kong, investigated the ownership and use patterns of a range of digital technologies by a stratified sample of 689 Year 1 Hong Kong students and 56 of their teachers. The study illustrated that our students on the whole are 'digitally ready'. However, these so-called digital natives are not a homogeneous group and there is variation both in the level of ownership of digital devices and of perceived acquisition of appropriate digital skills. The digital divide between teachers and students is not straightforward and appear to relate, not to ownership, but to preferences and prior experiences with technology. Factor analysis revealed seven categories of technology-based activities with students reporting higher use and confidence in most areas. Implications for staff development and student-support services are noted.

Digital natives are not necessarily willing mobile eLearners

McNaught, C., Lam, P., & Lam, S-L. (2009)
International Journal of Excellence in eLearning, 2(2), 1–14

Abstract
Findings of two studies at The Chinese University of Hong Kong are reported. The digital natives study investigated the use of technology by our Year 1 students. The data showed that the students in Hong Kong are very familiar with information and communication technologies. The mobile eBook study investigated whether students at the same University would welcome eBooks as a new learning strategy. The results indicated that eBooks are not yet a useful and practical tool for academic learning. The contrast of the two sets of findings reveals that, although digital natives are able to use digital devices for many tasks in their daily life, they can be conservative and hesitant when they adopt certain eLearning strategies. Students are practical and rational and they compare the new strategies with the traditional learning methods. The motivation of the students and the suitability of the technology in supporting learning are important factors that determine the successful diffusion of new eLearning strategies. Good and functional software, hardware and user support lead to acceptability.

Summary of TDG project 'A survey of students' perceived needs and requests about eLearning', January – December 2009

We cannot assume that students welcome eLearning strategies because they use technology in everyday life. The TDG-funded study had three main research questions: 1) what kinds of technology do CUHK undergraduate students use in daily life; 2) what kind of eLearning approaches have they used or experienced; 3) what benefits do students think eLearning can bring to their studies.

An online survey was generated in April 09. The survey in its final form had a total of 62 questions (60 5-point scale multiple-choice questions and two open-ended questions) covering the three components: (a) use of technology; (b) use and usefulness of eLearning strategies, and (c) perceived benefits of using eLearning. Invitations to complete the online questionnaire were sent to total 10,768 undergraduate students in June 09. Two reminders were sent in mid-July and early August, and the online survey was closed in mid-August. 1440 valid responses were collected and the response rate was 13.4%. As the profile of the respondents was close to that of CUHK undergraduate students in general, this was considered to be an acceptable sample.

In term of using technology, an interesting thing to note is that the students reported using eCommunication strategies very frequently: e.g. emails, blogs, discussion forums, multimedia-rich communications and instant messaging. We found that students are comfortable with using technology for communication. Around 90% of respondents reported using instant messaging frequently (at least several times a week). Around 60% of them use discussion forums frequently too. The use of blogs and other media-rich strategies are less common but are still used by 20% to 40% of students.

Regarding the second research question, we found that while many of the eLearning strategies were not frequently used at the moment (except using the web as source of information), many of the students had high expectations of these strategies. For example, students felt that various forms of eCommunication could assist learning a great deal but they were not communicating this way often.

Regarding the benefits, the data indicated that students were on the whole more confident about the value of eLearning in assisting acquisition of knowledge. They were less certain about the effect of the strategies on the other learning outcomes such as learning attitudes and various learning skills. Follow-up correlation analyses were also conducted. Results indicated that students who used the eLearning technologies more frequently tended to find eLearning more beneficial to them. Significant positive relationships also existed along each dimension of eLearning benefits and use of eLearning strategies.

The study revealed that students' experiences of different types of eLearning strategies are varied. For example, the use of the web as a source of information and storage place for course materials was quite common while the use of the web as a communication channel for academic discussions was comparatively limited. The students nevertheless saw huge potential in using eCommunication for teaching and learning. In general, students had high hopes for eLearning strategies assisting them in achieving learning outcomes. Students seemed to desire more eLearning strategies than they were experiencing at present. Teachers can obviously consider the use of eCommunication strategies in their teaching. There was also a certain degree of cautiousness in students' replies, particularly when they were asked to comment on less commonly used strategies. As a consequence it seems wise to introduce uncommon innovations with caution.

At present, students found the acquisition/ understanding of knowledge, and access to information as the most obvious benefits. They were less certain about the other potential: e.g. deeper understanding of knowledge and learning skill acquisition. This is not surprising as most of the students had not experienced eLearning strategies that were designed with these purposes in mind. However, there are indications that the more experience students have in using technology to learn, the more they will appreciate it and find it useful.

ILC Strategic Plan

Mission

The Independent Learning Centre (ILC) aims to advance the University's excellence in teaching and learning through assisting students' self-learning in their development of learning skills, including language skills.

Goals

- To support the mission of the University, particularly in its concern for the development of high-quality support services for student independent learning.
- To provide a supportive environment so as to maximise the potential of students as self-directed learners.
- To provide focused learning resources and activities to assist students to develop their Chinese and English language skills in reading, listening, writing and speaking.
- To provide a website which acts as a central point (or clearinghouse) where students can access information and learning resources to assist the development of their study skills and learning strategies in the range of domains noted in the University's Strategic Plan. This includes a diverse range of literacies (numerical, information, IT, etc.) and skills in interpersonal contexts.
- To work in partnership with teachers and units across the University in providing resources and activities to support students' learning needs, including language needs.

Preamble

The University is committed to a model where the development of students as independent learners is the core principle guiding the design of a blended student-support environment (see, for example, Figure 1, p. 4). In such an environment resource-based modules (online, in stand-alone digital format, and in print) are blended with face-to-face activities (in classes in programmes, with fellow students in peer learning mode, and with ILC instructors). ILC's chief responsibility is in the development of a collection of student-learning resources, with particular attention to interactive resources.

Strategies

1. Establishing a blended student-support environment
As a basis for developing a suite of resources for independent learning modules, the ILC will:
- develop by wide consultation[1] a list of key needs students have in learning including languages, both as generic needs and as discipline-specific needs;

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[1] Consultation will include liaison with members of the Senate Committee on Language Enhancement (SCLE) and the Senate Committee on Teaching and Learning (SCTL). This will facilitate the development of processes for communication with all CUHK language units and will also enable interchange with Associate Deans (Education) who can facilitate communication with programmes in the University.

- articulate the different learning needs including language needs that undergraduate and postgraduate students have; and
- highlight the model for a blended student-support environment through the ILC website.

2. *Development of core support resource-based modules*

- This will often involve repurposing existing materials to produce either generic resources, or tailored modules developed in partnership with staff teaching in a variety of contexts across CUHK, including language units, academic departments and programmes, and units such as the Office of University General Education (OUGE) and the Office of Student Affairs (OSA).
- The principles of authentic learning should be applied in the design of ILC modules so that students' learning needs are framed in contexts that are relevant to them. This applies to the learning needs of their programmes of study, as well as lifelong language and learning needs.
- The role of consultations needs to be contextualized within the structure of specific ILC resource-based modules, so that students take responsibility for an ongoing plan for their own development of their learning.

3. *Support for specific language needs of CUHK students*

- The ILC will work with staff in the Chinese Language Centre (CLC) and the Department of Chinese Language and Literature (CLL) to develop the best strategies for Chinese (Cantonese and Putonghua) to be taught to learners who have minimal competence in the target language. The learning needs of these students are different from those who are working to refine first-language skills (e.g. in Cantonese) or skills in a language they have used for many years (e.g. English).
- The ILC will liaise with the English Language Teaching Unit (ELTU) to develop a unified model and blended support modules for students studying for IELTS and TOEFL examinations.

Data for monitoring and evaluation of the outcomes of ILC modules and activities

1. Formative student evaluation of ILC modules during development.
2. Formative peer evaluation from a range of teachers of ILC modules during development.
3. Access statistics of the online resources on the redeveloped ILC website.
4. Participants' evaluation of ILC modules on completion, including the resources and the associated activities.
5. Feedback from colleagues in SCLE and SCTL on annual ILC reports.

Process for enactment of the strategies

Immediate actions
1. Form a project team for each of the three strategy groups. Specific ILC staff should be designated as members of each project team.
2. Develop a separate project plan with timeline, including six-monthly milestones, for each strategy group.
3. Plan a one-day retreat in April, 2010 to review the project plan for completeness, coherence and clarity.
4. Develop a template for an ILC annual report that focuses on reporting progress on each strategy.

Ongoing action
Annual reports will be sent to SCTL and SCLE via CLEAR.

September, 2009

[Noted by the Senate Committee on Teaching and Learning at its Second meeting (2009-10) held on 16 December 2009.]
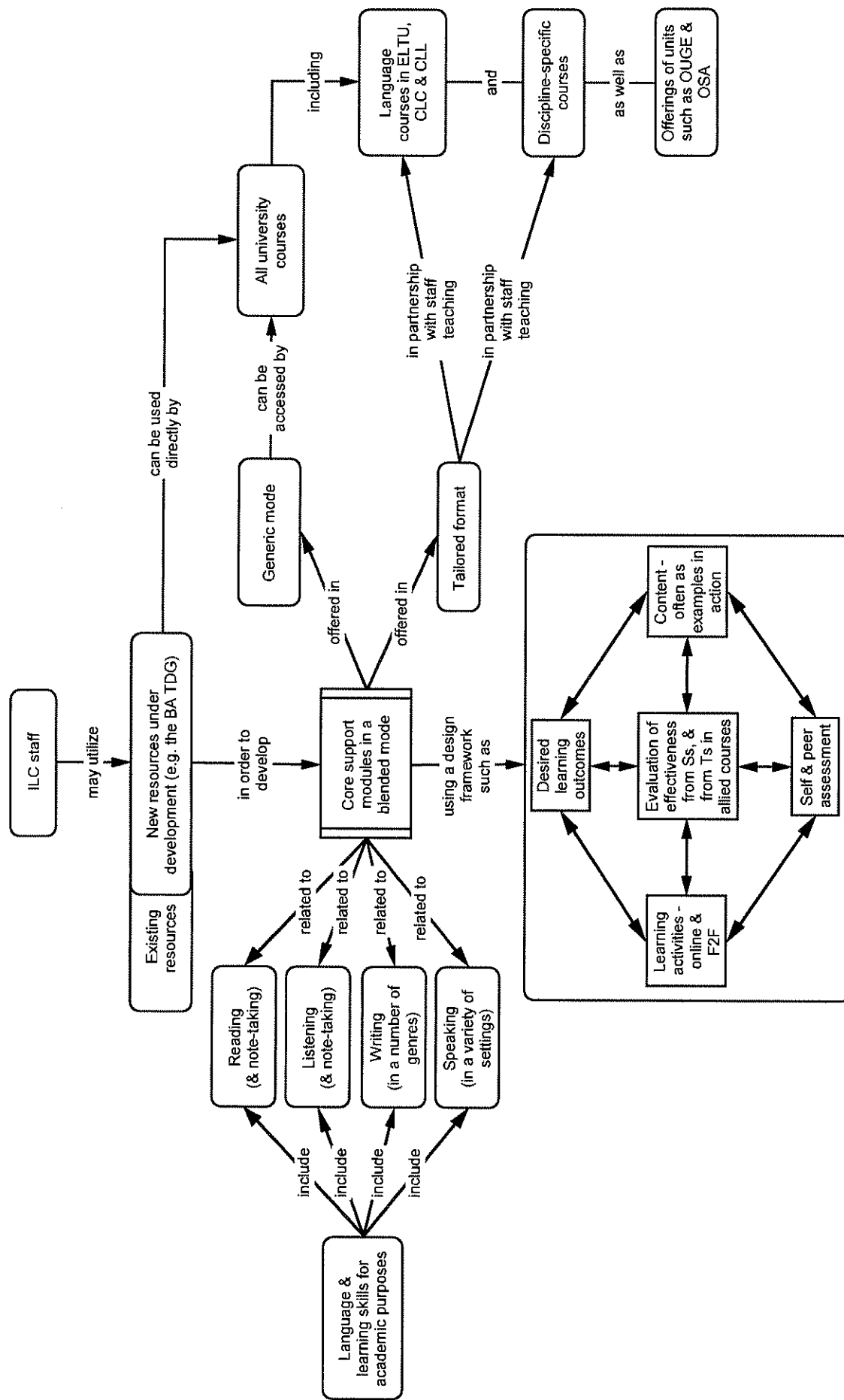
Figure 1. A possible model for blended modules to support the ongoing development of students' language and learning needs

4

EXPECTED ATTRIBUTES FOR GRADUATES OF POSTGRADUATE PROGRAMMES

Introduction

1.   The University has clear expectations of the attributes of its graduates.   The desired attributes of those graduating from first-degree programmes are clearly stated in the University's Strategic Plan <http://www.cuhk.edu.hk/v6/en/cuhk/strategicplan/images/strat_plan_eng2.pdf>. Broadly speaking these attributes can be assumed for postgraduate students at entry to the postgraduate programmes of the University.   The further attributes that might reasonably be expected to be achieved in postgraduate programmes are set out below.

2.   The University offers both research and taught postgraduate programmes. These programmes cover a wide range of educational objectives and address a diversified spectrum of educational demands from society. While an individual programme may expect certain specific attributes from its graduates, there is a common set of educational ideals that the University strives to achieve for the graduates of its postgraduate programmes as a whole.

Research Programmes

3.   Our research programmes aim to educate researchers to embark on careers that would allow them to become world leaders in their fields, working as university professors, principal investigators in research institutes, senior managers in enterprises, or experts in other professions related to the pursuit and application of knowledge.

3.1   The University expects **doctoral degree graduates** of research programmes to have acquired in-depth knowledge in a number of major areas of an academic discipline while maintaining a broad understanding of other related fields. Doctoral degree graduates should have accumulated enough educational experience and background learning to be capable of performing independent research to advance scholarship, with global standards. In particular, doctoral graduates should have the ability to identify research trends and opportunities, venture into new research areas when appropriate, define long-term research objectives, formulate original research problems, and originate and develop solution methodologies. Doctoral graduates should be

capable of producing research output at a level that can either lead to publications in high-ranking scholastic venues, or to novel applications in relevant industrial, commercial, or other public sectors, or to other forms of useful knowledge transfer to society. They should have gained proficiency in techniques of knowledge dissemination through presentation and writing and some teaching experiences through student tutoring.

3.2   The University expects **master's degree graduates** of research programmes to have acquired advanced knowledge in major areas of an academic discipline while maintaining a broad understanding of other related fields. Master degree graduates should have gained enough background knowledge to enable them to perform research with minimal supervision. In particular, they should have the ability to formulate individual research tasks and to develop solution methodologies under minimal supervision. Master degree graduates should be capable of producing original, innovative research output, some of which may lead to publication in well-respected scholastic venues. They should have gained proficiency in techniques of knowledge dissemination through presentation and writing.

3.3   For graduates of research programmes at both doctoral and master's level, communication and language skills at a level appropriate to university graduates are expected already at the time of admission. In particular, fluent communication skills are expected in the language(s) essential to their research areas. In general, a high level of proficiency in English is expected as it is commonly regarded as the default international research language. Ability in another language, particularly Chinese, in encouraged.

Taught programmes

4.   The University's taught programmes address societal needs by educating students to acquire the knowledge that helps them become specialty experts or leaders in their professions, working for example as senior managers in enterprises, practitioners in private practices or public organizations, teachers in educational institutions, or other types of career professionals.

5.   The University expects degree graduates of taught postgraduate programmes to have acquired comprehensive, state-of-the-art knowledge and relevant expert skills in the subject discipline. Graduates of taught programmes should have gained access to results from up-to-date advances in the field and a depth of knowledge in specialty areas. They should have accumulated ample experience in practical training, clinical work, project development, or research activities, as prescribed by their programmes. Communication and language skills at a level appropriate to

university graduates are expected already at the time of admission. In particular, fluent communication skills are expected in languages essential to their discipline. Proficiency in English is expected as it is the default international language in many professional and scholastic fields.

For all graduates

6.   Graduates from both research and taught programmes are expected to attain appropriate IT capabilities and life-long self-learning skills. While whole-person development is not part of the formal education objective for all these postgraduate programmes, graduates are expected to already possess attributes of first-degree holders from CUHK or other leading universities, for example in domains such as honesty and integrity, in particular academic honesty, critical and independent thinking, cultivation of global perspective, desire to serve society, communication and language skills, and others.

Postgraduate diplomas

7.   The University through the Graduate School also offers a number of postgraduate diploma programmes. As these programmes tend to serve very specific and diversified objectives and have relatively short study periods, the expected attributes of the graduates of these programmes should be specified by the divisions concerned.

6 October 2009

[Approved by the Senate Committee on Teaching and Learning at its Third meeting (2008-09) held on 13 May 2009.]

THE CHINESE UNIVERSITY OF HONG KONG

Senate Paper

Course Sharing between Undergraduates and Postgraduates
and Guidelines for Assignment of Level of Course Code

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1.   The Quality Assurance Council (QAC) has drawn attention to the policy of allowing undergraduates (Ug) and postgraduates (Pg) to share the same course, and asked CUHK to review the situation.   There are actually several different types of situations, for which the policy ought to be different.

2.   The fundamental premise is that a course is a coherent collection of learning activities, with a clearly specified set of learning objectives against which students are assessed and grades are assigned.   This definition then implies that the treatment of all students in the same course should be identical, irrespective of their status.

Policy for enrolment across levels

3.   For the present purpose, a course is designated as Ug or Pg depending on whether its course code is below or above 5000 (see also Paragraph 6 below), and enrolment across levels include the following situations.

(a)   **Ug students taking a Pg course as an elective**

So long as the course is taken as an elective and therefore on a voluntary basis (including the case of an elective course that contributes to the major requirement), there is no problem in principle with an Ug student subjecting himself/herself to more stringent standards and less favourable chances of obtaining good grades (even though the QAC Report seems to query this practice).   Such practice is common in many United States universities, within the credit-unit system, especially among the better students intending to go on to graduate school.

Individual programmes may of course impose restrictions or conditions on enrolment, but these should be clearly spelt out in advance.

(b)   **Ug students taking a Pg course as a programme requirement**

However, if an Ug programme specifies a Pg course as a programme requirement, without alternate choices of Ug courses, this can be unfair to the students concerned. This practice should be disallowed at programme approval stage.

(c)   **Pg students taking Ug courses to satisfy programme requirement for an advanced degree**

Such practice for advanced degree programmes (masters and taught doctorates) should be discouraged; where approved on an exceptional basis, such Ug courses should not exceed 15% of the unit requirement for the Pg degree, and unless specifically approved

with good justification, should be limited to 4000 level courses. (The limit of 15% is suggested by QAC in its audit report, while the restriction to 4000 level courses would appear to be common sense.)

Moreover, in such cases, the programme may wish to set a higher grade requirement, e.g., "to complete BIO4123 with a grade of at least B".

The case of Pg programmes *not* leading to an advanced *degree* is dealt with separately below.

(d)   Pg students taking Ug courses as make-up requirements

A student with a first degree in subject A admitted to a Pg degree programme in subject B may have to make up some Ug courses in subject B. There should be no limit on such practice, provided such make-up is genuinely *additional* and does not count towards the normal Pg degree programme requirement.

(e)   Pg students taking Ug courses that are not required

Pg students may take other Ug courses, typically in a different subject, purely for broadening and interest (e.g., calligraphy or music), or to develop other skills (e.g., language, including a third language). These *additional* courses, which are not required, should be allowed without limit. It is of course up to the student and the advisor to consider overall workload.

Postgraduate Diplomas

4.   Postgraduate diplomas (PgDip) are offered in two modes.

     (a)   In many cases, a PgDip is offered to allow a first degree in one subject to be topped up or converted to another subject – with no claims that the latter is at a higher level than a first degree (i.e., a Bachelor's degree). In fact, this is the recognized mode in the largest UGC-funded PgDip programme, namely the PGDE, since the official policy is that a subject degree (BA, BSc etc.) plus a PGDE is regarded as equivalent as BEd. The PgDip in Psychology is also intended to bring a student with a first degree in another subject up to a level comparable to that of a BSocSc in Psychology, in preparation for Pg or professional training. For these programmes, so long as the designated programme outcome is broadly as described above, and is so stated in the programme description, approval can be sought from the Graduate Council for exemption from the rules in Paragraph 3 above.

     (b)   In other cases, a PgDip is just the first part of a master-degree programme, and can count towards the requirements of the latter. In these cases, the rules in Paragraph 3 above will apply.

Grading policy

5.   Students in the same course should be graded in exactly the same way, blind to their

status, i.e., the definition of A/B/C/D etc. should be the same for all students. (This policy should apply not only to Ug versus Pg, but also to RPg versus TPg, and also within the Ug sector between majors and non-majors.)

6. Nevertheless programmes should have the authority to apply the percentage guidelines on grade distribution to the appropriate subset of students. As an example, suppose the enrolment in a 4000-level course contains significant number of Pg students. Then the percentage guidelines on grade distribution can be applied to the Ug subset first of all to obtain grade boundaries (e.g., the B/C cut-off is 70 marks), and then the same boundaries are applied to all students. The result (assuming the Pg students perform better on average) could be that for the whole group, the cumulative percentage above a certain grade may exceed the guidelines significantly. Likewise, in a 5000-level course, the percentage guidelines can be first applied to Pg students only, and the resultant grade boundaries applied to the whole group.

7. It is recognized that the definition of "pass" as well as the use of D+ is currently different between the Ug and Pg sectors. This technical issue will be separately addressed, but in the meantime, it is best if the concept of "pass" is totally avoided in this context, and reference is only made to letter grades. If a higher standard is needed for the Pg programme, then that should be specified as a higher grade requirement (e.g., "at least B"), not by altering the meaning of any grade.

Sharing of learning activities

8. In special cases where there is a genuine need, two similar but not identical courses, respectively at Ug and Pg levels, can share the same learning activities but differ in other aspects such as assessment. The shared learning activities might be lectures, laboratory classes, formal workshops, excursions or field trips, etc. Indeed, a wide range of shared learning activities are possible. The conditions for such practice will be separately considered, but a central tenet is that the two groups of students are given genuinely different assignments or tasks as assessments, and because of this difference, the resulting credits are not transferable between the two courses. This practice should not be conceptualized as double coding the *same* course, because the courses must not be the same.

Student support

9. Course teachers should be alerted to the need for special attention in student support when there is a mix of Ug and Pg students in the same class.

Cross-charging

10. The Ug / TPg division happens to be closely related to the Block Grant / self-funded division (though the two are not identical). But the issue of enrolment across levels discussed here, a matter of quality assurance, should not be confused with the issue of possible cross-subsidy. The latter can always be handled by imposing a level of cross-charging approved by the Bursar.

Guidelines on level assignment of course code

11.   The above policy recommendations presuppose a clear understanding of what a particular level of course code means (in particular the difference between 4000 level and 5000 level). In the language of OBA, there should be an articulated set of outcomes for different levels. The present discussion presents a good opportunity to formalize a set of guidelines, which are proposed as below.

Level	Specification
1000	An introductory course appropriate to 1st year students in a 4-year normative Ug programme, but could also be open to more senior students, especially non-majors seeking an introduction to the subject. There should be no prerequisite requirements, not even at A-level. The learning outcome would typically be to gain an introduction to a subject at university level, and to enable students to then access 2000 level courses and higher.
2000	An introductory course appropriate to 2nd year students in a 4-year normative Ug programme (or 1st year students in a 3-year normative Ug programme), but could also be open to more senior students, especially non-majors seeking an introduction to the subject. The prerequisites, if any, should be limited to 1000 level courses or A-levels. The learning outcome would typically be to gain an introduction to a subject at university level (over and above A-level), and to enable students to then access 3000 level courses and higher.
3000	An intermediate course appropriate to 3rd and/or 4th year students in a 4-year normative Ug curriculum (or 2nd and/or 3rd year students in a 3-year normative Ug curriculum), building on introductory courses at 1000 and 2000 level. The level of sophistication should be appropriate to upper years of university study, and typical learning outcomes would include the ability to integrate knowledge, make use of high-level skills, master advanced and specialist content. Such courses would typically not be appropriate as a required part of Pg studies, with possible exceptions such as a third language.
4000	An advanced course appropriate to 4th (and possibly 3rd) year students in a 4-year normative curriculum (or 3rd (and possibly 2nd) year students in a 3-year normative curriculum), building on introductory and intermediate courses at 2000 and 3000 level. The level of sophistication should be appropriate to the culmination of undergraduate studies, and typical learning outcomes would include the ability to integrate knowledge, make use of high-level skills, master advanced and specialist content, begin to undertake research and provide preparation for immediate entry to graduate school. Some such courses could form a (small) part of programme requirements in postgraduate studies.
5000	An advanced course designed with standards and learning outcomes appropriate to Pg studies, with an associated teaching and learning strategy that emphasizes independent learning, some research, engagement with open questions and possibly contact with the frontiers of knowledge in the subject. Some such courses could be made available as electives in Ug programmes; however, courses at this level should not be made part of the requirement of Ug programmes.
6000+	A highly advanced or specialized course designed with standards and learning outcomes appropriate to Pg studies, especially upper-year Pg students, with an

		associated teaching and learning strategy that emphasizes independent learning, research, engagement with open questions and contact with the frontiers of knowledge in the subject. Such courses would not normally be appropriate for Ug students even as electives, and any Ug students seeking to enrol would require justification and exceptional approval.

Notes:

(a)   The descriptors cannot be absolutely sharp, and each Faculty/ Department/ Programme Board is expected to exercise its discretion taking into account the particular circumstances of the course.

(b)   The level is defined by course design, including: desired outcomes, standard, teaching and learning strategies and assessment.   It is *not* defined by the enrolment pattern. For example, if a course is designed with outcomes and standard etc. appropriate to Pg level, but for some reason the enrolment is predominantly Ug (e.g., the department has a small Pg enrolment, but many Ug with good standards), that course should still be classified as 5000 level rather than 4000 level.

(c)   The Visiting Examiner/ External Examiner/ Visiting Committee/ Programme Review Panel in reviewing the course should apply a benchmark appropriate to the level assigned.

12.   It is noted that at present some units use the first digit of the course code to denote attributes other than the level (e.g. "9" for a course in a non-local programme).   Such practice should be phased out, and the first digit should be reserved exclusively for denoting the level as above.   The CUSIS steering group will be asked to consider the need for allowing one more digit for labeling other attributes.

Decision requested

13.   The Senate Committee on Teaching and Learning (SCTL) has endorsed these proposals at its meeting on 21 January 2009.   The Senate is requested to approve the policies contained in this paper.   Subject to such approval, course sharing arrangements and course code assignments should be brought into conformity with this policy not later than the academic year 2010-11.

10 March 2009

[Approved by the Senate at its Third meeting (2008-09) held on 18 March 2009.]

THE CHINESE UNIVERSITY OF HONG KONG

Discussion Paper for Senate Committee on Teaching and Learning

'Light' Reviews of the Plans for the Four-year Normative Curriculum

This discussion paper contains a plan for the so-called 'light' reviews to be conducted in 2010–2011. The paper follows from the previous SCTL paper 'Future scope of programme reviews under the Integrated Framework for Curriculum Development and Review' approved at the Third SCTL Meeting (2008-09) held on 13 May 2009.

Scope of the light reviews
The 'light' reviews will focus on the new 3+3+4 curriculum and programme design, as well as the tracking of the action plans of programmes arising from the first review.

Need for a streamlined yet rigorous process
During 2010–2011, there will be between 50–60 Ug programme reviews on the design of the normative four-year curriculum. With this number, a streamlined process is needed. The plan needs to be pragmatic while ensuring that programmes receive collegial yet rigorous feedback on their overall curriculum designs. Light reviews will also be conducted on language programmes (Chinese and English), Physical Education and IT.

Size and selection of review panels
Each review panel will have three members:
1. one member of SCTL or experienced programme reviewer (Panel Chair);
2. one member from a broadly similar discipline area; and
3. one member from a different discipline area.

SCTL will be responsible for the selection of the review panels. Associate Deans (Education) will be asked to produce a list of colleagues within each Faculty who might be invited to serve on the review panels.

Process for the reviews

	Steps	Responsible party *Suggested completion date*
1.	Each Faculty will be asked to suggest an overall timetable (at the level of months) for individual programmes/ cluster(s) of programmes under its aegis. Faculties may wish to have all their programmes reviewed at approximately the same time in order to arrange Faculty-wide follow-up events in the Faculty after the review process. Alternatively, Faculties may elect to spread the reviews out. AQS will assist in the negotiations for the timetable. AQS will also negotiate with the language programmes (Chinese and English), Physical Education and IT.	Faculty Deans *January 2010*
2.	List of some potential review panel members from each Faculty.	Associate Deans (Education) *February – March 2010*

3.	Selection of the review panels.	SCTL *April 2010*
4.	AQS prepares a detailed timetable for the process. This will not be open to negotiation as there are no external members. If a programme wants an external member and can make the arrangements within the timetable, this is fine. The extra cost will be borne by the unit concerned.	AQS *April – May 2010*

5.	• Programme prepares a description of the programme design using the four areas – learning outcomes, content, learning activities, and assessment. Much of this documentation will exist already in the submission made to the 3+3+4 Task Force (334TF) Sub-group on Four-year Curriculum Design; any differences from this version should be clearly explained.
	• An overview of the process and the educational philosophy underpinning the curriculum should be added in an Introduction.
	• A brief report on the follow-up action plan from the previous review, including how the action plan has informed the design of the 3+3+4 curriculum, should be included.
	• There will be some additional questions added about the design and consultation process, for example:
	    * How were students involved in the curriculum design process?
	    * How were prospective employers or industry representatives involved in the curriculum design process? (if applicable)
	• Some 'bundling' of programmes might be possible.
		Programme(s)
		4 weeks before each scheduled review

6.	Panel members read the documents (including reports emanating from the first review and any comments collated from the Sub-group on Four-year Curriculum Design regarding the new curriculum). The Panel meets once independently and once with key programme staff. A member of AQS will be in attendance at both meetings.	Panel members *AQS schedules meetings August 2010 - December 2011*
7.	AQS takes detailed notes during each of the two meetings. The Panel Chair is responsible for ensuring that the final form of these notes is a summary of the discussion on key aspects of the programme – both areas of design that should be shared as good practice and suggestions for the programme to consider. All panel members should check the draft and sign off that this is a fair report of the review.	AQS & Panel Chairs *4 weeks after the meeting with programme staff*
8.	Programme prepares a brief response, noting how the 3+3+4 offerings will be enhanced as a result of the review. The response has to be approved by the Department Board and Faculty Board concerned.	Programme *2 weeks after receiving the report for factual accuracy; 4 – 6 weeks afterwards for the brief response.*
9.	After all reviews have been conducted, CLEAR prepares an overall report on innovative ideas for design that have emerged from the light review cycle. Issues of common concern will also be noted and a plan made by SCTL for addressing such issues.	CLEAR & SCTL *2 months after completion of all reviews*

[Endorsed by the Senate Committee on Teaching and Learning at its Fourth meeting (2008-09) held on 30 July 2009.]

THE CHINESE UNIVERSITY OF HONG KONG

Discussion Paper for Senate Committee on Teaching and Learning

Data on the Student Learning Experience at CUHK

This paper outlines issues related to the development of useful longitudinal data. This paper builds on an earlier plan endorsed by the Senate Committee on Teaching and Learning (SCTL) via Circular No. 1, 2008–09 in November 2008.

Appendices 1–3 show the plan for administration of the SEQ, GCQ and AQ from 2009 to 2027. The logistics of handling the changed curriculum arrangements in 2012 have been considered in this plan.

In order to support the development of useful longitudinal data, the Evaluation Services provided by CLEAR have been reorganized as follows:

The reorganized Evaluation Services will have key responsibilities for the administration of the:
• *Student Experience Questionnaire (SEQ)* to be administered in Year 1 and the final year of undergraduate (Ug) studies – around March of each year. Tailored versions of the SEQ are possible but are not encouraged as there are already multiple mechanisms for obtaining feedback from Ug students, and there is evidence that there is a growing overuse of questionnaires at CUHK. Where possible, online surveys will be used, though this may take a few years to achieve.

• *Graduate Capabilities Questionnaire (GCQ)* to be administered one year post-graduation from Ug studies – around June of each year. For the GCQ there is the possibility of a tailored version through an additional section being added to the core GCQ scales. The GCQ administration will be conducted online. Having a tailored GCQ should curb the proliferation of graduate surveys that is now occurring. The administration of the GCQ will be coordinated with the administration of the graduate employment survey, run by the Office of Student Affairs (OSA). There should be thus one survey administered to early graduates.

• *Alumni Questionnaire (AQ, same items as the GCQ)* to be administered five years post-graduation from Ug studies – around November of each year. The first administration was in November 2008. The AQ will not be administered in a tailored version. The AQ administration will be conducted online.

For each programme the surveys will be conducted with the same group of students/ alumni over a time span of eight to ten years. Longitudinal tracking will thus be possible. Confidential reports will be provided to each programme. Regular institutional research reports will be provided to University administration from aggregated data. Data which identifies any individual programme can only be disseminated with that programme's permission.

Appendices 1–3 show the plan for administration of the SEQ, GCQ and AQ from 2009 to 2027. The logistics of handling the changed curriculum arrangements in 2012 have been considered in this plan. Furthermore, due to changes in the arrangements for some programmes in the next year or so (such as more double degrees and double majors, bundled admissions, and the possibility of developing more tailored courses in all years of study), CLEAR intends to provide data EVERY year for all of the Ug programmes as our default option. Good longitudinal data can thus be achieved. Staff in CLEAR will provide a consultation service to programmes for discussing the implications of the data and providing support for the implementation of appropriate teaching and learning enhancements.

It should be noted that the Evaluation Services in CLEAR will provide additional evaluation services, including:

- advice to all CUHK staff on the evaluation of new initiatives and innovations; this may include collaborative projects;
- advice to departments and programmes on how best to establish quality assurance (QA) processes;
- support for qualitative evaluations such as focus groups; and
- support for self-financed programmes (sub-degree and postgraduate), as covered by the University's commitment to quality support for these sectors.

Some evaluation processes are listed at http://www.cuhk.edu.hk/clear/services/evaluation.htm (website soon to be updated)

[The overall plan for the provision of longitudinal data on the student learning experience at CUHK was approved by the Senate Committee on Teaching and Learning via Circular No. 1, 2008-09 in November 2008.]

Appendix 1: Schedule of survey administration from 2009 to 2025
(For a 3-year programme, assuming it will become a 4-year programme in 2012)

1st data collection	2nd data collection	3rd data collection	4th data collection
SEQ (March)	SEQ (March)	GCQ (June)	AQ (November)

First Year → Final Year → Graduation → One year post-graduation → Five years post-graduation

Admission
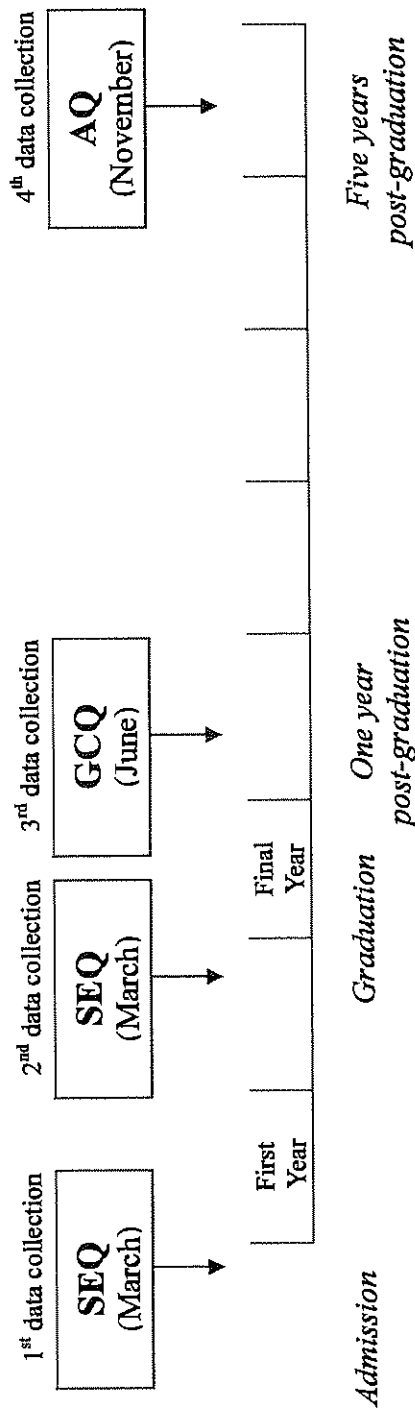
		Year of Survey Administration			
Cohort	**SEQ**	**SEQ**	**SEQ**	**GCQ**	**AQ**
3-year Programme					
2008	2009	2011		2012	2016
2009	2010	2012		2013	2017
2010	2011	2013		2014	2018
2011	2012	2014		2015	2019
2012	2013	2015		2016	2020
4-year Programme					
2012 (S6)	2013		2016	2017	2021
2013	2014		2017	2018	2022
2014	2015		2018	2019	2023
2015	2016		2019	2020	2024
2016	2017		2020	2021	2025

Remarks:
2012: 2012 cohort students (Secondary 7, JUPAS, etc.) entering the University taking a 3-year programme
2012 (S6): 2012 cohort students (Secondary 6) entering the University taking a 4-year programme

Appendix 2: Schedule of survey administration from 2009 to 2026
(For a 4-year programme, assuming it will become a 5-year programme in 2012)

1st data collection	2nd data collection	3rd data collection	4th data collection	5th data collection
SEQ (March)	**SEQ**(*) (March)	**SEQ** (March)	**GCQ** (June)	**AQ** (November)

	First Year	Third Year	Final Year		
Admission			Graduation	One year post-graduation	Five years post-graduation

			Year of Survey Administration			
	Cohort	SEQ	SEQ(*)	SEQ	GCQ	AQ
4-year Programme	2008	2009		2012	2013	2017
	2009	2010		2013	2014	2018
	2010	2011		2014	2015	2019
	2011	2012		2015	2016	2020
	2012	2013		2016	2017	2021
5-year Programme	2012 (S6)	2013	2016	2017	2018	2022
	2013	2014	2017	2018	2019	2023
	2014	2015	2018	2019	2020	2024
	2015	2016	2019	2020	2021	2025
	2016	2017	2020	2021	2022	2026

Remarks:
(*) SEQ for third-year students will be collected starting from 2012 for a 5-year programme.
2012: 2012 cohort students

(Secondary 7, JUPAS, etc.) entering the University taking a 4-year programme
2012 (S6): 2012 cohort students (Secondary 6) entering The University taking a 5-year programme

Appendix 3: Schedule of survey administration from 2009 to 2027
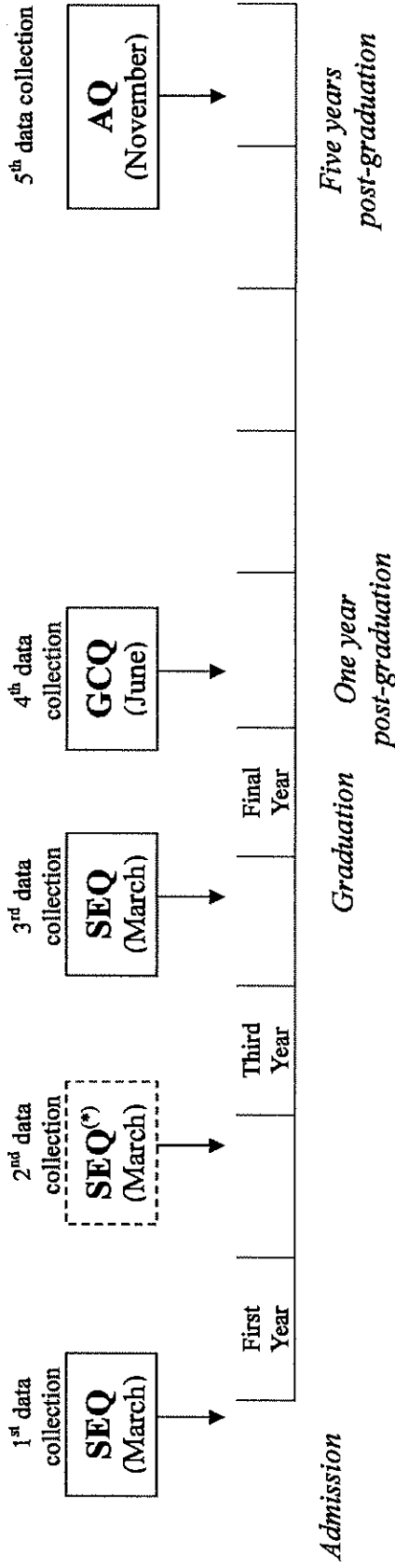**(For a 5-year programme, assuming it will become a 6-year programme in 2012)**
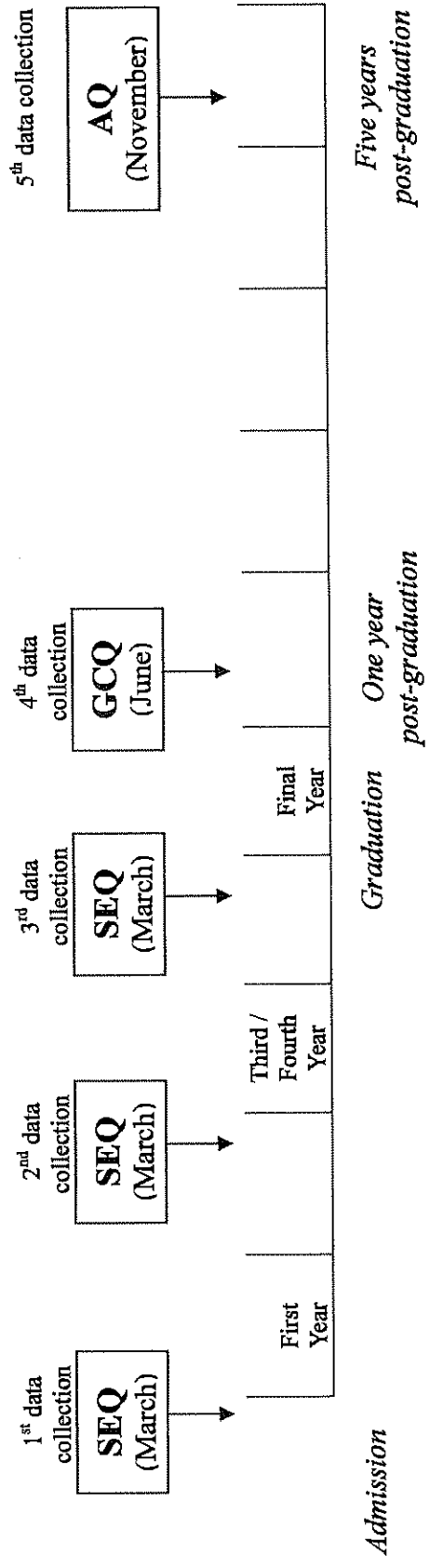
	1st data collection	2nd data collection	3rd data collection	4th data collection	5th data collection
	SEQ (March)	SEQ (March)	SEQ (March)	GCQ (June)	AQ (November)

Admission	First Year	Third / Fourth Year	Final Year	Graduation	One year post-graduation	Five years post-graduation

				Year of Survey Administration			Remarks:
	Cohort	**SEQ**	**SEQ**	**SEQ**	**GCQ**	**AQ**	
5-year Programme	2008	2009	2011	2013	2014	2018	2012: 2012 cohort students (Secondary 7, JUPAS, etc.) entering the University taking a 5-year programme
	2009	2010	2012	2014	2015	2019	
	2010	2011	2013	2015	2016	2020	
	2011	2012	2014	2016	2017	2021	
	2012	2013	2015	2017	2018	2022	
6-year Programme	2012 (S6)	2013	2015/16	2018	2019	2023	2012 (S6): 2012 cohort students (Secondary 6) entering the University taking a 6-year programme
	2013	2014	2016/17	2019	2020	2024	
	2014	2015	2017/18	2020	2021	2025	
	2015	2016	2018/19	2021	2022	2026	
	2016	2017	2019/20	2022	2023	2027	

Faculty of Arts

Faculty Data

2005–10

(Fictitious data for demonstration only)

CONTENTS

[Confidential]
Fictitious data for demonstration only – Sep 2009

A STUDENTS AND PROGRAMMES

A1 ENROLMENT (BY HEADCOUNT)

		Academic year starting				
		05	06	07	08	09
Block Grant (BG) Programmes						
1.	Ug	2150	2281	2411	2578	*
2.	RPg total	154	151	155	152	*
2.1	RPg – MPhil or equivalent	62	61	60	60	*
2.2	RPg – PhD or equivalent	92	90	95	92	*
3.	TPg total	-	-	-	-	-
3.1	TPg – PgDip or equivalent	-	-	-	-	-
3.2	TPg – Masters or equivalent	-	-	-	-	-
	BG Total	2304	2432	2556	2730	*
Self-Financed (SF) Programmes						
1.	Ug	-	-	-	-	-
2.	RPg total	-	-	-	-	-
2.1	RPg – MPhil or equivalent	-	-	-	-	-
2.2	RPg – PhD or equivalent	-	-	-	-	-
3.	TPg total	1503	1488	1566	1617	*
3.1	TPg – PgDip or equivalent	99	150	159	137	*
3.2	TPg – Masters or equivalent	1404	1338	1407	1480	*
	SF Total	1503	1488	1566	1617	*
Grand total (BG + SF)		3807	3920	4132	4347	*

* Data not yet available.

- Not applicable.

A2 UG ADMISSION (BLOCK GRANT PROGRAMMES ONLY)

	Academic year starting				
	05	06	07	08	09
Numbers					
Total intake (planned quota)	496	513	517	509	502
Total intake (actual)[a]	508	519	530	521	517
Local	492	509	520	507	506
EAS	8	4	8	4	3
JUPAS	474	483	494	485	476
Local non-JUPAS	10	22	18	18	27
as % of local	2.0%	4.3%	3.5%	3.6%	5.3%
Non-local	16	10	10	14	11
Mainland	10	3	5	11	7
Macau	3	3	0	1	0
Others	3	4	5	2	4
Non-local as percentage of total actual intake	3.2%	1.9%	1.9%	2.7%	2.1%
EAS as percentage of HK total (CUHK)[b]	1.9%	1.0%	2.2%	1.0%	0.7%
(X)	0.2%	0.7%	0.5%	0.5%	0.75%

[a] "No. of students admitted" refers to all students admitted (including students from Self Recommendation Scheme, School Principal's Nominations, Sports Scholarship Scheme, and   joint programmes) who have met the CUHK entrance requirements.

[b] Figures based on the *offers* made (not actual number admitted) as a % of total offers in Hong Kong. The actual numbers admitted by other universities are not publicly known.

* Data not yet available.

	Academic year starting				
	05	**06**	**07**	**08**	**09**
Quality [a]					
No. of JUPAS students admitted (CUHK)	477	490	496	531	516
(X)	388	379	352	365	372
Comparison based on ALL students [b]					
JUPAS upper quartile score (CUHK)	3.65	3.63	3.71	3.66	3.75
(X)	3.68	3.66	3.72	3.75	3.86
JUPAS median score (CUHK)	3.27	3.29	3.36	3.33	3.45
(X)	3.31	3.30	3.39	3.51	3.60
JUPAS lower quartile score (CUHK)	3.04	3.02	3.09	3.08	3.19
(X)	3.02	3.03	3.15	3.22	3.37
Comparison based on EQUAL no. of students [c]					
JUPAS upper quartile score (CUHK)	3.81	3.78	3.88	3.87	3.90
(X)	3.68	3.66	3.72	3.75	3.86
JUPAS median score (CUHK)	3.42	3.48	3.63	3.55	3.65
(X)	3.31	3.30	3.39	3.51	3.60
JUPAS lower quartile score (CUHK)	3.19	3.24	3.39	3.38	3.46
(X)	3.02	3.03	3.15	3.22	3.37

[a] The University WGPA formula is applied to students admitted to CUHK as well as to the other institutions. A=5, E=1.

[b] If university X and Y admit 100 and 200 students respectively, then the upper quartile figures refer to the WGPA of the 25th student in X and the 50th student in Y. Same rule applies to median and lower quartile scores.

[c] If university X and Y admit 100 and 200 students respectively, then the smallest number of students admitted is used as cut-off for calculation of upper quartile, median and lower quartile. In this case, the top 100 students respectively in X and in Y are used in the calculation. The upper quartile figures show the WGPA of the 25th students respectively in X and in Y.

A3 UG STUDENT PROGRESSION AND ATTRITION

	Academic year starting				
	05	06	07	08	09
Total enrolment	2150	2281	2411	2578	*
Probation					
Students on probation	30	37	40	44	*
as % of total	1.4%	1.6%	1.7%	1.7%	*
Students on extended probation	6	7	13	15	*
as % of total	0.3%	0.3%	0.5%	0.6%	*
Discontinuation					
Students discontinued of own accord	18	14	15	*	*
as % of total	0.8%	0.6%	0.6%	*	*
Students discontinued by Regulations	3	6	4	*	*
as % of total	0.1%	0.3%	0.2%	*	*
Overall attrition	21	20	19	*	*
as % of total	1.0%	0.9%	0.8%	*	*
Continuing					
Continuing students (0-1 year)	39	43	52	47	*
as % of total	1.8%	1.9%	2.2%	1.8%	*
Continuing students (over 1 year)	2	1	2	3	*
as % of total	0.09%	0.04%	0.08%	0.12%	*
Transfer					
Transfer-in students	16	14	19	12	*
as % of total	0.7%	0.6%	0.8%	0.5%	*
Transfer-out students	19	21	23	17	*
as % of total	0.9%	0.9%	1.0%	0.6%	*
Net transfer (transfer-in minus transfer out)	-3	-7	-4	-5	*
as % of total	-0.1%	-0.3%	-0.2%	-0.2%	*
Exchange (outgoing)					
On 1 term or 1 year exchange	22	39	44	48	48
as % of total	1.0%	1.7%	1.8%	1.9%	*
On short-term exchange	-	--	0	*	*
as % of total	-	--	0%	*	*
On short-term/term-time study abroad	-	-	49	*	*
as % of total	-	-	2.0%	*	*

	Academic year starting				
	05	**06**	**07**	**08**	**09**
Discipline					
Subject to Faculty disciplinary procedure	1	1	6	2	*
as % of total	0.05%	0.04%	0.25%	0.08%	*
Examination performance					
% of first class honours	8.3%	8.6%	9.4%	11.6%	*
% of second-upper class honours	36.8%	35.9%	35.6%	39.7%	*
% of second-lower class honours	38.9%	41.0%	39.6%	31.3%	*
% of third class honours	15.8%	13.6%	14.0%	15.9%	*
% of no honours	0.3%	0.8%	1.4%	1.4%	*
Destination of graduates (by end of year)					
% employed	58.3%	61.2%	61.4%	*	*
% further studies	38.9%	34.1%	31.9%	*	*
% neither	2.8%	4.6%	6.7%	*	*

- Data not available.

* Data not yet available.

A4 RPG STUDENT PROGRESSION

	Academic year starting				
	05	06	07	08	09
Total enrolment	154	151	155	152	*
Discontinuation					
Students discontinued of own accord	9	7	5	5	*
as % of total	5.8%	4.6%	3.2%	3.3%	*
Students discontinued by Regulations	1	2	1	2	*
as % of total	0.6%	1.3%	0.6%	1.3%	*
Overall attrition	10	11	6	7	*
as % of total	6.5%	7.3%	3.9%	4.6%	*
Continuing					
Continuing students (0-1 year)	12	10	17	14	*
as % of total	7.8%	6.6%	11.0%	9.2%	*
Continuing students (over 1 year)	4	3	9	6	*
as % of total	2.6%	2.0%	5.8%	4.0%	*
Exchange					
On 1 term or 1 year exchange	1	0	0	0	0
as % of total	0.6%	0%	0%	0%	*
On short-term exchange	-	-	0	*	*
as % of total	-	--	0%	*	*
On short-term/term-time study abroad	-	--	0	*	*
as % of total	-	--	0%	*	*
Discipline					
Subject to GS disciplinary procedure	0	0	1	1	*
as % of total	0%	0%	0.6%	0.6%	*
Destination of graduates (by end of year) [a]					
% employed	69.6%	78.2%	85.9%	*	*
% further studies	17.7%	11.5%	8.2%	*	*
% neither	12.7%	10.3%	5.9%	*	*

[a] Survey conducted for full-time students only.

- Data not available.

* Data not yet available.

A5   TPG STUDENT PROGRESSION

	Academic year starting				
	05	**06**	**07**	**08**	**09**
Total enrolment	1503	1488	1566	1617	*
Discontinuation					
Students discontinued of own accord	27	33	29	19	*
as % of total	1.8%	2.2%	1.9%	1.2%	*
Students discontinued by Regulations	4	8	10	6	*
as % of total	0.3%	0.5%	0.6%	0.4%	*
Continuing					
Continuing students (0-1 year)	44	31	33	34	*
as % of total	2.9%	2.1%	2.2%	2.1%	*
Continuing students (over 1 year)	1	4	6	5	*
as % of total	0.06%	0.3%	0.4%	0.3%	*
Exchange					
On 1 term or 1 year exchange	36	34	16	29	35
as % of total	2.4%	2.3%	1.0%	1.8%	*
On short-term exchange	-	-	0	*	*
as % of total	-	-	0%	*	*
On short-term/term-time study abroad	-	-	0	*	*
as % of total	-	-	0%	*	*
Discipline					
Subject to GS disciplinary procedure	7	1	0	2	*
as % of total	0.5%	0.06%	0%	0.12%	*
Destination of graduates (by end of year) [a]					
% employed	46.2%	68.2%	-	*	*
% further studies	0.0%	0.0%	-	*	*
% neither	53.8%	31.8%	-	*	*

[a] Survey conducted for full-time students only.

- Data not available.

* Data not yet available.

[Confidential]

Fictitious data for demonstration only – Sep 2009

A6   MAJOR PROGRAMME NUMBERS

	Academic year starting				
	05	06	07	08	09
No. of Ug programmes	14	14	13	15 [a]	15 [a]
BG RPg programmes					
MPhil or equivalent	14	13	12	12	12
PhD or equivalent	12	11	10	10	10
MPhil-PhD or equivalent	2	2	3	3	3
BG TPg porgrammes					
PgDip or equivalent	0	0	0	0	0
Master's or equivalent	0	0	0	0	0
Doctoral or equivalent	0	0	0	0	0
SF TPg programmes					
in HK					
PgDip or equivalent	1	1	2	2	2
Master's or equivalent	16	17	19	19	20
Doctoral or equivalent	0	0	0	0	0
operated non-locally					
PgDip or equivalent	0	0	0	0	0
Master's or equivalent	0	0	0	0	0
Doctoral or equivalent	0	0	0	0	0
number launched in year	3	1	3	1	1
number phased out in year	0	0	0	1	0

[a] Including 2 Co-terminal programmes in Chinese Language and Literature & Chinese Language Education, and English Studies & English Language Education.

A7 COURSE TEACHING EVALUATION

	Academic year starting				
	05	**06**	**07**	**08**	**09**
Satisfaction with teacher's performance					
Mean CTE	4.84	4.94	4.98	*	*
University Mean CTE	4.89	4.95	4.96	*	*
% of courses with CTE >=5.5	9.5%	10.8%	14.6%	*	*
University % of courses with CTE>=5.5	9.6%	12.7%	20.0%	*	*
% of courses with CTE <= 4.0	15.1%	7.9%	8.2%	*	*
University % of courses with CTE<=4.0	10.7%	10.0%	7.8%	*	*

*Note.*The University mean and % did not include data from the Faculty of Medicine. A 6-point scale was used:

4=good, 5=very good, 6=excellent.

* Data not yet available.

B STAFF

B1 STAFF NUMBERS

	Academic year starting				
	05	06	07	08	09
FT Academic staff (Asst Prof – Prof)	95	98	102	106	*
Substantiated	64	66	68	70	*
On contract	31	32	34	36	*
Number of senior staff[a]	44	42	43	41	*
as % of total	46%	43%	42%	39%	*
Number appointed during year	22	18	16	11	*
as % of total	23%	18%	16%	10%	*
Number retiring during year	0	1	1	2	*
as % of total	0%	1%	1%	2%	*
Number leaving (other than retirement)	19	11	11	12	*
as % of total	20%	12%	11%	11%	*
FT Research staff (RAP, R Assoc P, RP)	0	0	0	1	*
Substantiated	0	0	0	0	*
On contract	0	0	0	1	*
FT Professional consultants	1	6	6	5	*
FT Instructional staff (I, SI)	17	17	23	24	*
Instructors	10	9	13	10	*
Senior instructors	7	8	10	14	*
SI as % of instructional staff	41%	47%	43%	58%	*

Note. For simplicity, all PT staff are excluded. Census date is December 31 of each year

[a] Senior staff is defined as P2 or above

* Data not yet available.

B2   STAFF PROGRESSION (FT ACADEMIC STAFF ONLY)

	Academic year starting				
	05	06	07	08	09
Substantiation					
Number of cases	8	4	5	6	*
Supported by Faculty	7	1	3	5	*
as % of total	87.5%	25%	60%	83.3%	*
Approved for substantiation	5	0	3	5	*
as % of total	62.5%	0%	60%	83.3%	*
as % of those supported by Faculty	71%	0%	100%	100%	*
Promotion to SL, R, P					
Number of cases	8	1	4	4	*
Supported by Faculty	7	1	2	3	*
as % of total	88%	100%	50%	75%	*
Approved for promotion	5	0	0	0	*
as % of total	63%	0%	0%	0%	*
as % of those supported by Faculty	71%	0%	0%	0%	*

* Data not yet available.

C FINANCE

C1 BLOCK GRANT : ONE-LINE BUDGET

	Academic year starting				
	05	**06**	**07**	**08**	**09**
	Actual	Actual	Actual	Actual [a]	Budget
	$m	$m	$m	$m	$m
One-Line Budget Allocation (OLB)	173	172	174	177	179
Expenditure					
Staff Cost	144	142	154	161	160
% of OLB	84%	83%	89%	91%	89%
Non-staff Cost	21	26	26	19	19
% of OLB	12%	15%	15%	11%	11%
Total Expenditure	166	168	180	180	179
Surplus/(Deficit) for the year	8	4	(6)	(3)	0
% of OLB	5%	2%	-3%	-2%	-0%
Reserves Set Aside					
Long Leave Liability	0	0	(9)	0	0
Matching Fund for Large Item Equipment	0	0	0	0	0
Fractional Surplus Carrying Forward Scheme-Levy	0	0	(5)	(4)	0
Accumulated Surplus/(Deficit) brought forward	48	56	60	40	37
Accumulated Surplus/(Deficit) at the end of year	56	60	40	37	37
as % of those supported by Faculty	32%	35%	23%	21%	21%

[a] Subject to audit and final adjustments.

C2   PROJECTED EXTRA BUDGET FOR 2012

Faculty of Arts	$ 3 million

C3   SELF-FINANCED TEACHING PROGRAMMES

	Academic year starting				
	05	06	07	08	09
	Actual	Actual	Actual	Actual [a]	Budget
	$m	$m	$m	$m	$m
Tuition Fee Income	37	41	41	41	59
Other Income	2	3	1	(1)	1
	39	**44**	**42**	**40**	**60**
Total Expenditure	33	38	39	44	57
% of Tuition Fee Income	89%	93%	95%	107%	97%
Surplus/(Deficit) for the Year	6	6	3	(4)	3
% of Tuition Fee Income	16%	15%	7%	-10%	5%
Transfer Reserve to Other Fund	(2)	(1)	0	(2)	0
Accumulated Surplus/(Deficit) brought forward	13	17	22	25	19
Accumulated Surplus/(Deficit) at the end of year	**17**	**22**	**25**	**19**	**22**
% of Tuition Fee Income	46%	54%	61%	46%	37%

[a] Subject to audit and final adjustments.

C4   PRIVATE FUNDS

	Academic year starting				
	05	06	07	08	09
	Actual	Actual	Actual	Actual [a]	Estimate
Donation ($m)	3	0	2	1	2
Total private funds balance ($m)	34	35	37	36	37

[a] Subject to audit and final adjustments.

D RESEARCH

D1 RGC/UGC GRANTS

	Exercise Round				
	05	**06**	**07**	**08**	**09**
GRF					
Number of GRF grants submitted	78	85	83	87	91
(HKU) [a]	64	63	66	63	69
(HKUST) [a]	99	100	106	105	110
Number of GRF grants won	34	47	48	46	41
(HKU) [a]	27	32	27	36	25
(HKUST) [a]	63	60	67	65	44
CUHK as % of GRF total	4.6%	5.6%	6.2%	5.2%	5.3%
CUHK as % of category [a]	15.8%	19.5%	18.7%	15.6%	21.7%
Amount of GRF grants won ($m)	16.4	24.7	26.7	21.4	28.8
(HKU) [a]	12.0	15.2	12.1	14.4	15.0
(HKUST) [a]	32.2	30.6	37.6	28.2	33.4
CUHK as % of GRF total	4.1	5	5.5	4.2	4.8
CUHK as % of category [a]	16.4	20.4	19.2	16.5	23
% of staff submitting GRF [b]	74%	75%	76%	81%	81%
% of staff winning GRF [b]	32%	42%	44%	43%	37%
CRF					
Number of CRF grants submitted	1	3	2	2	*
(HKU)	-	-	-	-	-
(HKUST)	-	-	-	-	-
Number of CRF grants won	0	1	0	1	*
(HKU)	0	0	0	0	*
(HKUST)	0	0	1	0	*
CUHK as % of CRF total	-	-	-	-	-
Amount of CRF grants won ($m)	0	2.9	0	4	*
(HKU)	0	0	0	0	*
(HKUST)	0	0	4.9	0	*
CUHK as % of CRF total	-	-	-	-	-

	Exercise Round						
	1st	2nd	3rd	4th	5th	6th	7th
PPRF							
Number of PPRF grants submitted	0	0	0	0	0	0	0
(HKU)	-	-	-	-	-	-	-
(all others)	-	-	-	-	-	-	-
Number of PPRF grants won	0	0	0	0	0	0	0
(HKU)	0	1	0	1	0	0	0
(all others)	-	-	-	-	-	-	-
CUHK as % of PPRF total	0%	0%	0%	0%	0%	0%	0%
Amount of PPRF grants won ($m)	0	0	0	0	0	0	0
(HKU)	0	0.5	0	0.2	0	0	0
(all others)	-	-	-	-	-	-	-

Note. Only grants whose PI is a member of the Faculty are counted.

[a] Including Institute of Chinese Studies and Centre for East Asian Studies..

[b] Staff number refers to total number of FT academic staff plus RAP, R Assoc P, RP.

- Data not available.

* Data not yet available.

[Confidential]
Fictitious data for demonstration only – Sep 2009

D2. OTHER GRANTS

	Calendar Year				
	05	**06**	**07**	**08**	**09**
QEF					
Number of QEF grants submitted	1	1	0	0	0
Number of QEF grants won [a]	1	1	0	0	0
(HKU)	0	1	0	*	*
(HKUST)	0	0	0	*	*
Amount of QEF grants won ($m)	0.5	0.6	0	0	0
(HKU)	0	2.5	0	*	*
(HKUST)	0	0	0	*	*
Hong Kong Arts Development Council					
Number of HKADC grants submitted	2	3	2	1	2
Number of HKADC grants won [a]	2	3	2	1	0 [b]
Amount of HKADC grants won ($m)	0.4	1.5	1.4	0.4	*
Others [c]					
Number of other grants submitted	3	7	4	6	2
Number of other grants won [a]	2	4	3	3	1 [b]
Amount of other grants won ($m)	1.5	109.7 [d]	0.8	0.8	0.7

Note. Only grants whose PI is a member of the Faculty are counted.

[a] Count based on project fund start date.

[b] Not including applications which are still under consideration.

[c] Including grants from The Hong Kong Jockey Club Charities Trust, Nippon Foundation, Lord Wilson Heritage Trust, Sumitomo Foundation, etc.

[d] Including a HK$65m grant from The Hong Kong Jockey Club Charities Trust and a HK$44m grant from Nippon Foundation.

* Data not yet available.

D3. OUTPUT ACCORDING TO RAO DATABASE

	Calendar Year				
	05	06	07	08	09 [a]
RAO OPIS [b]					
Scholarly books, monographs and chapters	16	14	19	10	6
Journal publications	95	114	98	101	28
Conference papers	48	69	68	57	12
Creative and literary works, consulting reports and case studies	2	0	0	0	0
Patents, agreements, assignments and companies	0	0	0	0	0
All other outputs	15	25	17	11	0
Total	176	222	202	179	46
ISI Citation Index Databases					
Number of Published Items [c]	46	56	52	76	28
Citations in Each Year [d]	7	33	81	204	179

[a] Calendar year incomplete.

[b] Research output statistics as of 17 July 2009. The 2008 and 2009 numbers may be incomplete as staff members tend to input their 2008 and 2009 research output data in August/September for preparing the 2008-09 Annual Departmental Records. The research output numbers for 2008 and 2009 therefore appear to be relatively low.

[c] Data are collected by trawling publication records at faculty level from ISI citation databases by using department names under different faculties. However, over 900 CUHK records in the period are without department names, and therefore could not be included into the statistics.

[d] Citation statistics from the ISI Web of Knowledge citation report prepared on 13 July 2009. The yearly figures show how many citations were made **each year** to any items in the set. For example, citations made in 2007 to an item published in 2005 are counted in 2007 instead of 2005. The 2005 number of times cited is small as it only includes the citations made to items published in 2005.

Use of employer and professional input by undergraduate programmes of professional nature

Programme	Advisory Committee / Similar Structure	Number of Meeting(s) Per Year	Terms of Reference (✓ / --)
Faculty of Business Administration			
Hotel and Tourism Management	Advisory Committee on Hotel and Tourism Management (with both internal and external members).	1-2	✓
Insurance, Financial and Actuarial Analysis	Advisory Committee on BBA Programme in Insurance, Financial and Actuarial Analysis (with both internal and external members).	1	✓
Professional Accountancy	Advisory Board on Accounting Studies (with both internal and external members).	1	✓
Faculty of Education			
Language Education	In the process of forming an advisory committee.	--	--
Liberal Studies	In the process of forming an advisory committee. *Remarks: The programme is newly-launched in 2009-10.*	--	--
Physical Education and Sports Science	In the process of forming an advisory committee. *Remarks: The programme obtains external inputs from SPE Alumni Association, teachers in the Teaching Practice Advisory Scheme, Alumni Survey and appointed professional consultants.*	--	--
Faculty of Engineering			
Computer Engineering	Advisory Committee (with both internal and external members). *Remarks: External inputs from the Hong Kong Institute of Engineers through programme accreditation.*	1 (normally)	✓
Electronic Engineering	Advisory Committee (with both internal and external members).	1	✓
Systems Engineering and Engineering Management	In the process of forming an advisory committee.	--	--

Faculty of Law			
LLB	Advisory Board (with both internal and external members). *Remarks: In addition to the Advisory Board, the Faculty keeps close liaison with the two professional bodies and the government on the development of the programmes. The Dean with another teaching colleague sit on the Standing Committee on Legal Education and Training (with representatives from The Law Society of Hong Kong, the Hong Kong Bar Association, the Department of Justice and the Judiciary) which meets on a regular basis, at which all matters about legal education, not least the LLB programme, are under constant discussion and monitoring. On top of these, the Faculty also maintains a close contact with professionals and employers through the Distinguished Professional Mentors Programme and through the profession audits admissions, audits classes and serving as examiners.*	2	✓
Faculty of Medicine			
MB ChB	*The programme obtains feedback from potential employers through the Central Internship Committee of the Hong Kong Hospital Authority. The programme undergoes thorough review by the Hong Kong Medical Council every five years.*	---	--
Nursing	Advisory Committee (with both internal and external members). Development Committee (with both internal and external members) Consultative Committee (with both internal and external members).	1 2 1	✓ ✓ ✓
Faculty of Science			
Chinese Medicine	*The School conducts surveys with employing institutes regularly. The latest one was carried out in 2009.* *The teaching faculty members are at present office-bearers of committees of various HA/NGO/CUHK clinical training and research centres. They are in the business and familiar with the needs of employers and the profession.*	--	---

Faculty of Social Science			
Architectural Studies	Architecture Academic Advisory Committee (with both internal and external members).	No regular annual meeting but members are invited to visit the Department every 5 years	✓
Double Degree Programmes			
Bachelor of Arts (Chinese Language and Literature) and Bachelor of Education (Chinese Language Education)	In the process of forming an advisory committee.	--	--
Bachelor of Arts (English Studies) and Bachelor of Education (English Language Education)	In the process of forming an advisory committee.	--	--

An eLearning Strategy for The Chinese University of Hong Kong: 2009 – 2012

The purpose of this document is to state the context and general principles guiding eLearning at The Chinese University of Hong Kong (CUHK), and to operationalize these principles into an Action Plan.

Context

CUHK is entering a challenging period over the next few years as the University prepares for the normative four-year undergraduate curriculum in 2012. The new curriculum is being designed with an emphasis on equipping our graduates with in-depth disciplinary knowledge and skills, combined with a raft of generic capabilities, and a broad experience of our increasingly globalized world. The campus environment (physical and virtual) is undergoing significant enhancements to support the realization of the potential of the four-year curriculum design. This first CUHK eLearning Strategy will focus on undergraduate matters; however, there are obviously activities occurring in the postgraduate sector and in partnerships arrangements with other institutions. Subsequent versions of the Strategy document will more explicitly address all sectors of CUHK education.

General principles

Two key factors are relevant for the design of the new curriculum. First, there is an exponential growth in the amount of information available and this has implications for the development and acquisition of knowledge in that the skills needed to find and utilize information to build knowledge are now more important than those needed for remembering pre-packaged information. Second, technology has become a pervasive part of daily life, especially for students, and this change in life style has implications for optimal curriculum strategies. There are opportunities for us to use technology to support the types of activities (such as self-learning, peer-learning, action-learning) that can support students in acquiring appropriate broad outcomes.

Moreover, technology may be able to bring certain efficiencies. For teachers, there is a continuation and probable intensification of demands for high-quality teaching together with a productive research profile. Efficient electronic strategies for processing student information, providing programme and course information to students, and enabling useful learning activities should allow teachers to provide high-quality teaching to students in a time-efficient manner.

Overall, the University's eLearning Strategy has been designed to ensure that eLearning is considered at the stage of programme and course design and not as an add-on feature of course delivery once details of programme and course design have been fixed. In the University's Teaching and Learning Policy, the Integrated Framework for Curriculum Development and Review, Figure 1 summarizes CUHK's approach to curriculum alignment. Besides students having electronic availability to key programme and course outline documents covering all aspects of the curriculum, eLearning offers opportunities for the provision of:

- diagnostic testing and gathering information about students' learning preferences and needs (box 1);
- a range of media and information that complements and extends content material in the courses (box 3);
- interactive activities through the use of discussions, quizzes, games, simulations, debates, roleplays, etc. (box 4);
- assessment tasks such as peer reviews, tests, etc. (box 5);

- spaces where students can reflect on their courses/ programme and provide feedback in ways that complement traditional surveys (box 6); and
- spaces where students can show evidence of their own learning using a range of ePortfolio tools (box 7).
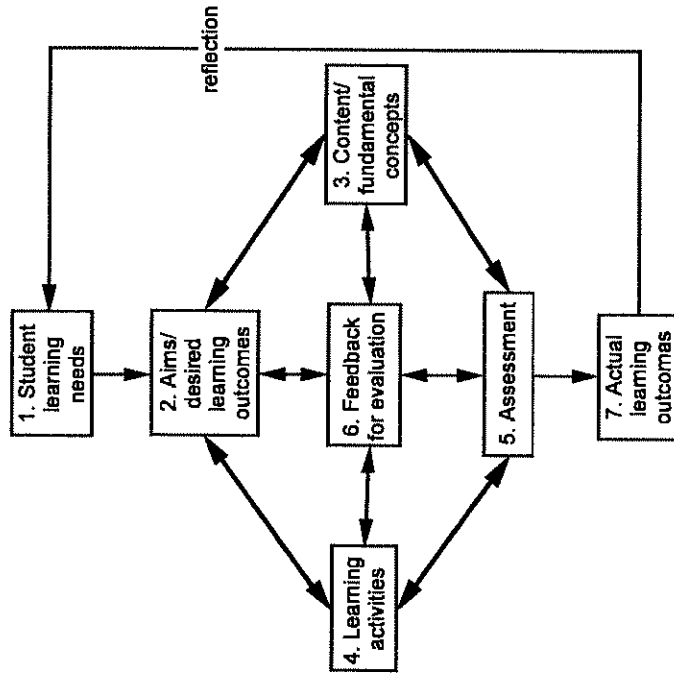

Figure 1. CUHK's approach to curriculum alignment

Aims of CUHK eLearning Strategy

1. To clarify the role of eLearning in supporting the adoption of outcomes-based approaches (OBAs) to student learning;
2. To continue research needed in order to plan investments in infrastructure for CUHK; in particular, to provide advice on University-wide eLearning platforms and systems;
3. In the particular context of CUHK, to apply appropriate educational design and technology to the four-year undergraduate curriculum;
4. To enhance and monitor appropriate staff training, support and collaboration strategies;
5. To enhance and monitor appropriate student induction to eLearning and student IT competence training; and
6. To benchmark eLearning at CUHK against other comparable universities.

Clarification about the nature of the eLearning Strategy

These aims underpin the Action Plan that follows. It is important to clarify that this is an eLearning Action Plan and **not** an eLearning Policy. There has been substantial uptake in the use of eLearning through blended learning course websites at CUHK. This growth has resulted in more than 80% of all undergraduate courses having an active course website (up from ~45% in the year 2003–04). In addition, there has been growth in the interactive nature of these course websites. While, CUHK is not complacent about this growth and has clear aims to further enhance the online learning environments that students can use, it is the University's belief that enhancements will continue to occur if appropriate support structures are in place. There is thus no need for a formal policy document prescribing specific uses of eLearning. Any mandating of the use of eLearning is unnecessary and likely to be counter-productive.

The Action Plan is not a theoretical statement about the ways eLearning *might* be used. Rather, it has been framed as a pragmatic set of interlocking components that will enable the University to explore and assess possibilities and opportunities in a number of areas.

Action Plan

1. To clarify the role of eLearning in supporting the adoption of outcomes-based approaches (OBAs) to student learning

Aspect	Work plan for 2009–2010*	Work plan for 2010–2011	Responsible parties **
a. Faculty OBA roadmaps (see also 3a and 3e)	● Related to each Faculty's roadmap. Each Faculty has its own roadmap which is linked to the design of the four-year curriculum. Regular reporting takes place.	● Related to each Faculty's roadmap. Each Faculty has its own roadmap which is linked to the design of the four-year curriculum. Regular reporting takes place.	Faculties, SCTL
b. ELearning OBA webpage with showcase examples	● Increase number of cases to at least ten – three sources of cases are Teaching Development Grants (TDGs), Courseware Development Grants (CDGs) and the Innovative Learning Design Service in CLEAR	● Ensure there is more than at least 20 cases, with at least 2 from each Faculty	CLEAR, ITSC
c. Consideration of students' future career needs in planning eLearning in the curriculum	● Develop and secure a TDG across Faculties related to an online system to provide resources and advice to students	● Continue the TDG project. Align to a strengthened Academic Advising system.	Faculties, OSA

Stocktake towards the end of 2009–2010 with adjustment of plans for 2010–2011	• *Major stocktake to ensure the final year 2011–2012 has all critical work accomplished. Goals for 2011–2012 to be defined during the latter part of 2010–2011*

* In many instances, this will include work done in previous years.

** Each unit to specify person(s) who will lead each aspect of the eLearning Action Plan. AITSC will oversee the Plan and will seek regular reports from specified units.

A number of key players will support AITSC in this work
• The eLearning Service has members from ITSC (infrastructure, platforms and technology-related matters) and CLEAR (educational support services, including advice and professional development on teaching, learning and curriculum matters).
• The Independent Learning Centre (ILC) within CLEAR has an increasing role in the provision of online resources to support students' learning needs, including but not limited to languages
• The Library is also a key player because of the increasing role of technology in Library services and the development of student information literacy skills.

2. To continue research needed in order to plan infrastructure for CUHK; in particular, to provide advice on University-wide eLearning platforms and systems

Aspect	Work plan for 2009–2010	Work plan for 2010–2011	Responsible parties
a. WiFi coverage	• All student hostels and all classrooms to have WiFi coverage • The installation work is progressing well and will last until summer 2011	Subject to resource availability: • Student common rooms in colleges and faculties to have WiFi coverage • Staff canteens, staff common rooms, major conference rooms and busy open areas to have WiFi coverage	ITSC
b. New CUHK portal	• New Portal will be launched together with the go-live date for CUSIS in June 2010 • Essential functions for students and teachers will be provided • Existing myCUHK will be replaced by the new Portal	• Extra functions will be considered after CUSIS Round 2 go-live	ITSC, CUSIS Steering Committee
c. EPortfolio system and tools (See also 3d. 2c has a focus on tools; 3d on educational use)	• Define the project scope, collect requirements of stakeholders and confirm functional specifications • Product evaluation and system design	• System development and testing of the pilot system • User testing of the pilot system • Support pilot testing of ePortfolio system and tools	ITSC, CLEAR, OSA
d. Review of eLearning platforms	• Refine monitoring web logs of eLearning use – ITSC & CLEAR • Establish a formal project to review the use of eLearning platforms at CUHK – AITSC • Decide on a single, centrally supported eLearning platform – ITSC	• On request, disseminate to faculties and departments a summary of relevant web logs of eLearning use – ITSC & CLEAR • Arrange migration to the centrally supported eLearning platform for departments on request – ITSC & Faculties	AITSC, ITSC, CLEAR, Faculties
e. Mobile technology	• Seek TDG funding to support the project • Develop mLearning portal for mobile devices • Provide guidance for mLearning	• Provide solutions for mLearning - Course materials for mobile devices - Support mobile devices in class activities - Podcast for mobile devices	ITSC, CLEAR

f. Learning Object Repository	• Establish CUHK Learning Object Repository to collect, host and share eLearning materials and courseware • Seek funding to support the production systems	• Support and assist teachers to put their eLearning materials into the repository	ITSC
g. Video and audio servers	• Establish university video and podcast servers for hosting and streaming video and audio contents for campus and public access • Seek funding to support the production systems	• Support and assist teachers to develop video and audio contents	ITSC
h. Learning spaces and teaching spaces (See also 2a)	• Identify the need and strategic locations for the provision of printing service and seek funding (ITSC) *[This section will need input relating to the technology aspects of T&L spaces, e.g.* *Classroom service — AVSU* *Future classroom specifications — CDO* *Design of learning commons — Library* *Design of informal learning spaces — CDO, EMO.* *Advice is sought from the PVC (Development)'s Office about how this might be phrased.]*	• Deploy printing service at specific locations (ITSC)	PVC (Development)'s Office & associated Working Groups, ITSC
	• *Stocktake towards the end of 2009–2010 with adjustment of plans for 2010–2011*	• *Major stocktake to ensure the final year 2011–2012 has all critical work accomplished. Goals for 2011–2012 to be defined during the latter part of 2010–2011*	

3. In the particular context of CUHK, to apply appropriate educational design and technology to the four-year undergraduate curriculum

Aspect	Work plan for 2009–2010	Work plan for 2010–2011	Responsible parties
a. Level of use of eLearning	• Map all courses against Level 1 & Level 2 eLearning Guidelines previously (2005) agreed by AITSC; this might be done for required courses only (also see 3d on web logs)	• Embed requirements for eLearning monitoring and evaluation into programme reviews via use of eLearning Guidelines and the Integrated Framework. The 'light' programme reviews in the next cycle will focus on the four-year curriculum (also see 3e)	AITSC, SCTL, Faculties
b. Courseware development	• Continue work with TDGs, CDGs, ITSC courseware service	• Continue work with TDGs, CDGs, ITSC courseware service • Report on three-year review of CDG outcomes for RAC	ITSC, CLEAR, AITSC
c. EAssessment	• Establish a project and website on eAssessment as part of the University's assessment website	• Increase the number of cases on the eAssessment website	ITSC, CLEAR, SCTL
d. Formal and experiential learning – ePortfolios (Refer also to 2c)	• Articulate possible functions and designs related to formal academic and experiential learning transcripts, and students' Personal Development Planning (PDP)	• Establish appropriate pilot projects	ITSC, CLEAR, 334 Task Force
e. QA for blended courses	• Establish collaborative peer reviews in each Faculty	• Embed requirements for eLearning monitoring and evaluation into programme reviews via use of eLearning Guidelines and the Integrated Framework (also see 3a)	SCTL, Faculties
	• Stocktake towards the end of 2009–2010 with adjustment of plans for 2010–2011	• Major stocktake to ensure the final year 2011–2012 has all critical work accomplished. Goals for 2011–2012 to be defined during the latter part of 2010–2011	

4. To enhance and monitor appropriate staff training, support and collaboration strategies

Aspect	Work plan for 2009–2010	Work plan for 2010–2011	Responsible parties
a. Staff training and seminars for teachers and teaching assistants	• Ongoing offerings which are evaluated and adjusted	• Ongoing offerings which are evaluated and adjusted	ITSC, CLEAR, Faculties
b. ELearning Assistant (eLA) support	• Strengthen eLA support by using full-time eLAs	• Evaluate the eLA service	ITSC, CLEAR
c. ELearning liaison persons (eLLPs)	• Increase number of eLLPs to cover the majority of departments	• Evaluate the eLLP scheme	ITSC, CLEAR, Faculties
d. ELearning Expo	• Continue with increasing focus on four-year curriculum matters	• Continue	ITSC, CLEAR
e. ELearning newsletter	• Continue 3 issues a year	• Continue 3 issues a year	ITSC, CLEAR
	• Stocktake towards the end of 2009–2010 with adjustment of plans for 2010–2011	• Major stocktake to ensure the final year 2011–2012 has all critical work accomplished. Goals for 2011–2012 to be defined during the latter part of 2010–2011	

5. To enhance and monitor appropriate student induction to eLearning and student IT competence training

Aspect	Work plan for 2009–2010	Work plan for 2010–2011	Responsible parties
a. Students' perspectives	• Report on the 'digital natives' project and on the TDG on students' perspectives and eLearning needs	• Use data as appropriate in planning curriculum and infrastructure initiatives	CLEAR, Faculties
a. Student IT competence	• Design the 1-unit course required of all students in 2012	• Develop the 1-unit course • Decide on implementation	AITSC, Faculty of Engineering
b. Information literacy to support eLearning	• Provide subject guides highlighting recommended Library resources for a particular discipline • Provide the licensing information on the conditions of use of individual electronic resources for online courseware	• Support information literacy by modifying the existing Information Literacy Tutorial at http://infolit.lib.cuhk.edu.hk to develop a number of discipline-specific tutorials • Provide subject guides highlighting recommended Library resources for a particular discipline • Provide the licensing information on the conditions of use of individual electronic resources for online courseware	Library
c. Independent learning	• Develop components of the ILC Strategic Plan relating to the provision of online resources to support students' language and learning needs	• Establish and evaluate a number of initiatives involving blended learning approaches to students' language and learning needs	ILC, CLEAR
	• Stocktake towards the end of 2009–2010 with adjustment of plans for 2010–2011	• Major stocktake to ensure the final year 2011–2012 has all critical work accomplished. Goals for 2011–2012 to be defined during the latter part of 2010–2011	

6. To benchmark eLearning at CUHK against other comparable universities

Aspect	Work plan for 2009–2010	Work plan for 2010–2011	Key players
a. ACODE 8 benchmarks	• Carry out focus groups using the ACODE 8 benchmarks agreed in the established working group • Develop a plan for addressing areas with 'low' ratings • Seek TDG funding to support the project	• Submit formal report on Benchmark project • Establish a system of internal monitoring for all 8 benchmarks • Seek partner institutions for collaboration in terms of benchmarking	AITSC
	• *Stocktake towards the end of 2009–2010 with adjustment of plans for 2010–2011*	• *Major stocktake to ensure the final year 2011–2012 has all critical work accomplished. Goals for 2011–2012 to be defined during the latter part of 2010–2011.* • *In essence, this component of the Action Plan will be adjusted to encompass an evaluation plan for the overall Strategy as the 8 benchmarks cover the areas of the first 5 aims.*	

January 2010

[Approved by the Academic IT Steering Committee at its Second meeting (2009–10) held on 22 January 2010.]

10

eLearning Projects funded by Teaching Development Grants (TDGs) 2009-12

Extracts from the minutes of the Fourth Meeting (2008-09) of the Senate Committee on Teaching and Learning held on 30 July 2009.

4-2 Applications for Teaching Development Grants (TDG) for the 2009-12 Triennium

The Committee heard from the Chairman that as a result of the invitation for applications to compete for a total TDG funding of HK$18m for the 2009-12 Triennium, 39 proposals had been received, requesting a total of about HK$27.6m. Of the 39 proposals received, eight were classified under category (A) University-wide activities and the remaining 31 were under category (B) Unit-level activities (including department and/or faculty level initiatives). The Chairman explained that there were a number of projects with possible synergies, therefore three clusters were suggested to enable these synergies to be exploited and developed for the benefit of the projects and the dissemination of models and results throughout the University. The suggested clusters were:

(a)   eLearning cluster: in terms of the use of a CUHK unified platform. The Chairman of the IT Policy Committee and the Director of the Information Technology Services Centre (ITSC) would be responsible for this cluster, with support from the Centre for Learning Enhancement And Research (CLEAR).

(b)   video cluster: in terms of the development and delivery of video case materials. The Director of ITSC would be responsible for this cluster, to be supported by members of the Academic Support Division in the ITSC.

(c)   experiential cluster: in terms of students' experiential learning in the University with synergy with the work of the Office of Academic Links (OAL) and the Office of Student Affairs (OSA). The University Dean of Students would be responsible for this cluster.

Some of the projects were placed under one or more of these clusters. The allocation of TDGs to these projects would be conditional on engagement with their cluster activities. The principal supervisors of these projects would be advised to work closely with the responsible parties of the respective clusters on the progress of their projects. In order to enhance the coordination of the various project proposals put forward under the eLearning cluster and video cluster, and for better utilization of the TDGs, a meeting would be arranged with all the principal supervisors under each of these two clusters respectively. The budgets for these projects might be further adjusted after an agreement was reached on the possible sharing of centrally acquired equipment and software for the projects.

Members also noted that in some cases, it was recommended that the projects should extend the coverage beyond the respective department/faculty to benefit a wider sector. For these cases, a higher level of funding was recommended. For better monitoring of the projects, the Committee recommended that the previous practice of holding back 20% of the funding allocation until satisfactory project completion should continue.

The Committee then considered the proposals and the recommendations were highlighted below (in the order of appearance on the summary table in Appendix 2 of the agenda paper):

(1)   Using eLearning benchmarking as a strategy to foster institutional eLearning strategic planning for the four-year curriculum

The Committee noted that the proposal was one amongst several to foster eLearning strategy planning for the four-year curriculum and suggested to put this project under the *eLearning cluster*.

The Committee was of the view that the proposal should include an additional component that explicitly addressed a unified CUHK eLearning platform. A number of projects in this round of TDGs would be cases for evaluation of any recommended Learning Management System, such as Moodle and Blackboard. The Committee recommended to allocate up to HK$500,000 for this project subject to the submission of a revised proposal towards such direction.

(2)   The impact of student workload on learning experiences at CUHK

The Committee was of the view that the proposal should include international benchmarking of student workload and should have a more explicit focus on evaluation of, and strategies for support for, students' reading skills. The project should also coordinate with another TDG project "Engagement in learning activities – students' perspective" (project no. 19 of the summary table in Appendix 2). The synergy with one of the Fresh Graduate projects was also noted, and the revised proposal should state how the fresh graduates would be integrated into this effort, and how this might help reduce the budget otherwise required. The Committee recommended to allocate up to HK$500,000 for the project subject to the submission of a revised proposal towards such direction.

(3)   Supporting mobile teaching and learning at CUHK

The Committee recommended that care should be taken to ensure that the programmes and courses where mLearning was trialed had good pedagogical reasons for using the technology, and a considered selection of these programmes and courses should be the first step in the project. The educational rationale needed to be explicit in the planned repository. The funding approved was HK$700,000 and the budget of the project would need to be revised in light of the recommended funding.

(4)   Benchmarks for excellence in teaching and learning: A framework for CUHK undergraduate programmes

The Committee was of the view that the proposal should ensure that the aim was to articulate excellent practice at the level of programme design and implementation.

This would mean that a variety of approaches were possible. It was noticed that the words "manual" and "guiding tool" (in the Abstract) might connote one single approach, while "standards" and "levels of achievement" (under Deliverables) might connote something like a marking scheme against one single template. It was recommended that care should be taken in the choice of words to avoid any such possible misunderstanding. Reference could be made to the booklet "Excellent University Teaching" by Kember et al, which gave a strong sense of plurality of methods. The Committee recommended to allocate up to HK$500,000 for the project, subject to the submission of a revised proposal towards such direction.

(5) <u>The development of critical-thinking skills as a graduate attribute for undergraduate and postgraduate students: A quantitative and qualitative approach</u>

The Committee noted that it was a useful project but advised that care should be taken to avoid simplistic generalizations about a multi-faceted construct in a variety of contexts. The funding approved was HK$700,000 and the budget of the project would need to be revised in light of the recommended funding.

(6) <u>Inter-faculty academic-related advising service</u>

The Committee noted that the proposal was one amongst several to enhance students' experiential learning in the University and suggested to put this project under the *experiential cluster*.

In terms of possible funding support for the project, the Committee recommended that the proposal should:

- have a primary focus on academic advising for choosing courses and groups of courses in a programme that relate to particular careers, and only a secondary focus on aspects of career development such as grooming and writing CVs;
- not be restricted to double degrees/majors or to particular faculties;
- involve career service; and hence
- be made available widely across CUHK.

The Committee recommended to allocate up to a possible maximum of HK$1,500,000 for the project subject to the submission of a revised proposal towards such direction.

More particularly, the synergy with the project "E-Learning platform (upgrade) to support experiential learning activities for business students" (project no. 15 of the summary table in Appendix 2) was noted, and the Committee would view the two proposals together in reaching a final decision. It was open to the proponents to re-submit the two as a synergistic sequence.

(7) <u>Analysis of interlanguage and development of automatic speech recognition technologies to support computer-aided pronunciation training for Chinese learners of English</u>

The Committee approved a funding of HK$1,000,000 to the project conditional on

buy-in from the English Language Teaching Unit (ELTU) that the CAPT system would be formally used in ELTU courses, and in that process evaluated. As the TDGs of this round were for the 2009-12 triennium, the completion date of all projects should not be later than the end of October 2012. In this connection, the expected duration of the project would need to be adjusted accordingly and the budget of the project would also need to be revised in light of the recommended funding.

(8)   Sports medicine, human kinetics and biomechanical engineering teaching

Noting that the project was focused on a small group of students and with limited widespread impact, which did not fit into the terms of the TDGs, the Committee did not support the proposal.

(9)   Summer field school in Yunnan

Noting that the project was one-off with limited lasting impact on teaching and learning especially beyond the particular programme, which did not fit into the terms of the TDGs, the Committee did not support the proposal.

(10)   Creativity as a learning outcome in humanities

The Committee was pleased to note that the project was faculty-wide and gave full support to the project. The funding approved was up to HK$1,000,000 and, if necessary, the budget of the project might be revised in light of the recommended funding.

(11)   Bridging experiential (study abroad) and academic learning through critical reflection and web-enhanced pedagogy

The Committee noted that the proposal was one amongst several to enhance students' experiential learning in the University and suggested to put this project under the *experiential cluster*.

The Committee recommended that the project would be funded conditional on buy-in from OAL. Since the project was on a course for non-majors, and the Department could expect to be resourced through the increase in FLE, the Committee recommended to allocate only HK$250,000 for the project. The budget of the project would need to be revised in light of the recommended funding.

(12)   A study on the student-centered learning focusing on their preferred teaching approaches in MGT-coded courses

The Committee was of the view that:

- the use of the word "preferred" in the project title should be rephrased in terms of effectiveness (student preference should be accommodated only if the preferred approach was shown to be effective, and an effective approach should nevertheless be adopted even if it was not preferred);
- the project should not be limited to MGT, and should extend to BBA;
- more academic input was needed in the oversight of the project; and

- advice from the BA Undergraduate Programme Committee should be sought, and the revised proposal should state how the outcomes would be adopted across the BBA curriculum.

The Committee recommended to allocate up to HK$100,000 for the project subject to the submission of a revised proposal towards such direction.

(13)   An exploratory instrument in measuring the effectiveness of exchange programs and internship under the framework of outcome-based approach (OBA)

The Committee noted that the proposal was one amongst several to enhance students' experiential learning in the University and suggested to put this project under the *experiential cluster*.

In terms of the funding support for the project, the Committee was of the view that the proposal should be conditional on:

- buy-in from OAL and OSA to collaborate in the project and to adopt the outcomes in future planning;
- extending beyond one programme or faculty, and in particular extending the coverage to exchange and internship organized centrally rather than on a faculty basis.

The Committee recommended to fund the project at a higher level of up to HK$500,000, subject to a submission of a revised proposal towards such direction.

(14)   Video case method in the classroom: 10 true life business stories

The Committee noted that the proposal was one amongst several to enhance the development and delivery of video case materials and suggested to put this project under the *video cluster*.

The Committee recommended that the project would be funded conditional on:

- its involvement with the Centre for Case Teaching and Research under the Faculty of Business Administration;
- its including a process for external evaluation of the written cases *before* putting them into a video format; and
- a written undertaking from a course coordinator that the video cases would be used formally in courses.

The funding approved was up to HK$400,000 and the budget of the project would need to be revised in light of the recommended funding.

(15)   E-Learning platform (upgrade) to support experiential learning activities for business students

The Committee noted that a revised proposal would be submitted for its further consideration.

(16)   Promoting learning of education students through video-based teaching cases

The Committee noted that the proposal was one amongst several to enhance the development and delivery of video case materials and suggested to put this project under the *video cluster*.

The Committee recommended that the project would be partially supported.   The funding approved was up to HK$700,000 and the budget of the project would need to be revised in light of the recommended funding.

(17)   Creating and sustaining "communities of practice" for physical education teacher professional preparation programme

Noting that the project would overlap with the Fresh Graduates project "Web 2.0 platform for education" by the ITSC and the Faculty of Education, and was more like a research proposal, which did not fit into the terms of the TDGs, the Committee did not support the proposal.

(18)   Enhancement of learning effectiveness in exercise science: application of the "blended approach"

The Committee noted that the proposal was one amongst several to enhance the development and delivery of video case materials and suggested to put this project under the *video cluster*.

The Committee was of the view that the project would only have limited impact on one programme and so should be funded mostly from internal departmental resources.   A funding of up to HK$200,000 was approved and the budget of the project would need to be revised in light of the recommended funding.

(19)   Engagement in learning activities – students' perspective

The Committee was of the view that the project should:

- be restructured to have outcomes that were potentially University-wide;
- include external benchmarking;
- coordinate with the TDG project on "The impact of student workload on learning experiences at CUHK" (project no. 2 of the summary table in Appendix 2) and other appropriate Fresh Graduates projects.

The Committee recommended to allocate up to HK$1,000,000 for the project subject to the submission of a revised proposal towards such direction.

(20)   Enrichment of electronic technology learning through engineering designs

The Committee was of the view that the project was for the design of a single course and so should be funded mostly from internal departmental resources.   A funding of up to HK$200,000 was approved and the budget of the project would need to be revised in light of the recommended funding.

(21) Development of an interactive and intelligent platform for learning engineering mathematics

The Committee noted that the proposal pertained to the development of an interactive and intelligent platform and suggested to put this project under the *eLearning cluster*.

In terms of the funding support for the project, the Committee recommended that the proposal should:

- get buy-in from, and be made available to, other users of mathematics (e.g. Physics, Chemistry), including content that these units needed, with written support of use from such units;
- make the platform available to areas in the social sciences etc. to insert their own mathematics content, also with written support of use from these units;
- consider different mathematics preparation in HKDSE; and hence
- could be funded at a higher level.

The Committee recommended to allocate up to HK$750,000 for the project subject to the submission of a revised proposal towards such direction.

(22) Transitions and change for the Law students and the Faculty of Law: reflections on a four-year undergraduate Law degree

The Committee was of the view that the proposal should clearly show that the deliverable was not so much a film, but rather the conclusions and resultant action plan. The Committee recommended to allocate up to HK$500,000 for the project subject to the submission of a revised proposal towards such direction.

(23) Mediation: effective teaching and learning through demonstration videos for and with students and professionals based on Hong Kong cases

The Committee noted that the proposal was one amongst several to enhance the development and delivery of video case materials and suggested to put this project under the *video cluster*.

The Committee was of the view that this was designed for a single course and so should be funded mostly from internal departmental resources. A funding of up to HK$300,000 was approved and the budget of the project would need to be revised in light of the recommended funding.

(24) Developing interactive clinical case scenarios that can be shared worldwide and introducing them into the medical curriculum

Noting that the project appeared to be adding to existing systems, which did not fit into the terms of the TDGs, the Committee did not support the proposal.

(25)   Crisis resource management course

Noting that the issues were not core to the undergraduate curriculum, but might apply more to specialist training beyond the first degree, which did not fit into the terms of the TDGs, the Committee did not support the proposal.

(26)   Animation in medical teaching

Noting that the proposal did not demonstrate an exhaustive search for and evaluation of existing animations, the Committee did not support the proposal.

(27)   Developing e-Learning in evidence-based medicine (EBM) to facilitate life-long learning in medical students

Noting that the rationale for how eMaterials related to learning outcomes was not clear, the Committee did not support the proposal.

(28)   An innovative SLO mapping platform for enhancement of outcome-based learning

The Committee was of the view that the proposal would be supported if it could:

- be generalized beyond orthopaedics with buy-in across the MBChB curriculum;
- have active involvement of the Associate Dean (Education) of the Faculty, and upon presentation of a statement about how the resultant platform would be used by the appropriate curriculum committee across the entire MBChB curriculum; and hence
- could be funded at a higher level.

The Committee recommended to allocate up to HK$750,000 for the project subject to the submission of a revised proposal towards such direction.

(29)   Bringing anatomy to life: using 3-D projection on the human body to teach living anatomy in the context of clinical examinations and diagnoses

The Committee was of the view that there were a number of anatomy resources that had been funded at high levels, e.g. An@tomedia http://www.anatomedia.com/. The project needed to demonstrate why an existing resource could not be used, or how best to develop this 3D project so that it worked in concert with existing resources. The principal supervisor would be advised to contact Prof P.A. Heng of the Department of Computer Science and Engineering, whose project on virtual human anatomy was said to have the highest resolution in the world.

(30)   Achieving an outcomes-based approach: evaluation of web-enriched resources in enhancing Baccalaureate-nursing students' learning of clinical nursing skills

The Committee noted that the proposal was one amongst several to enhance the development and delivery of video case materials and suggested to put this project under the *video cluster*.

The Committee noted that an outcomes-based approach would be developed for Nursing students and gave full support to the project. The funding approved was up to HK$500,000 and the budget of the project would need to be revised in light of the recommended funding.

(31)   Towards integrated learning: creating and sustaining the online learning communities for enhancing public health education

Noting that the use of Moodle with generic applications was standard and did not justify a TDG, the Committee did not support the proposal.

(32)   Training graduating medical students to develop the non-technical domains necessary for holistic competence in practical procedural skills, using patient-focused simulation and practice

The Committee recommended that the project would be supported if adopted in all areas in the MBChB Programme. A plan for adoption across the medical curriculum needed to be submitted by means of a statement from the Dean or Associate Dean of the Faculty. The funding approved was up to HK$1,000,000 as set out in the proposal.

(33)   Development of a web-based teaching platform for biochemistry courses
(34)   Developing an integrative teaching strategy for large class students to learn cell biology and beyond
(35)   Development of online self-learning systems with multimedia-enriched pre-laboratory talks and pre-class tests for biology laboratory courses
(36)   Development of the problem-based learning model for transitioning undergraduate students from classrooms to research

The Committee noted that the proposals (33) to (36) were amongst several to foster eLearning strategy planning for the four-year curriculum and suggested to put these projects under the *eLearning cluster*.

In terms of the funding support for the projects, the Committee recommended that all the four projects should be merged into a resource-based model to benefit the entire Faculty of Science. The four sub-projects would then be instantiations of an overall approach.

The Committee recommended to allocate up to a total of HK$1,000,000 for the four projects together.

(37)   Learning through teaching – an undergraduate learning assistant training scheme

The Committee recommended that the project would be supported in part noting that this was more than a web-based teaching tool and would facilitate the learning of senior students in helping the junior ones. The funding approved was up to HK$250,000 and the budget of the project would need to be revised in light of the recommended funding.

(38)   The development of an OBA assessment model for science subjects

The Committee was pleased to note that an OBA assessment model would be developed

for science subjects in the Faculty of Science and gave full support to the project. The funding approved was HK$1,000,000 as set out in the proposal.

(39)   Enhancement of teaching and learning quality through implementing small class interactive tutorials

The Committee noted that although valuable work was proposed, long-term impact had not been demonstrated, and this would not fit into the terms of the TDGs. The Committee did not support the proposal.

Overall Comments

The Chairman summarized that a total funding of HK$15.4m would be provisionally allocated to support some of the projects as recommended by the Committee, leaving a balance of HK$2.6m still uncommitted. Most of the projects would be funded subject to their submission of a revised proposal and budget. All the revised proposals and budgets had to be further considered by the Committee.

Professor Ching Pak Chung expressed the need to clarify the role and responsibilities expected for the Director of the ITSC in coordinating the various projects grouped under the video cluster. The expertise of other audio-visual units in the University would perhaps need to be solicited in assisting the development and dissemination of the on-line materials. Professor Ching further suggested that the ITSC colleagues be asked to go through the proposals and see if there would be any redundancies and overlaps regarding the needs on audio-visual equipments. The funding allocation might need to be further adjusted pending the result of the review of these proposals.

Professor Jack Cheng expressed his observations about how to make the best use of TDGs: (a) Colleagues should be encouraged to put up the results of their projects for sharing and dissemination in an organized fashion across the University. (b) Coordination of various projects at the faculty level would need to be seriously considered. (c) If a thematic approach across the University was to be adopted, more sustained funding to support in-depth study in a systematic way would be needed. On the other hand, individual initiative with innovative ideas should also be supported. Hence, a balance between individual initiatives and a thematic approach at the University-wide level would need to be considered.   (Appendix 2)

THE CHINESE UNIVERSITY OF HONG KONG

Senate Committee on Teaching and Learning

Student-support Services and Activities at CUHK

Introduction

1. With an educational philosophy that stresses the development of all-round students and graduates, The Chinese University of Hong Kong (CUHK) aspires that its students gather specialized knowledge and skills, as well as general wisdom for life. The University provides a wide range of support to its students to facilitate their whole-person development.

Provision of General Support to Students

2. The University has extensive student-support systems. General pastoral student-support services are provided by Colleges and the Office of Student Affairs (OSA), as well as a number of other units which provide student services in specialized areas such as the Office of Academic Links (OAL), Office of Admissions and Financial Aid (OAFA), and University Health Service (UHS). Each of these units provides relevant support services for students in accordance with its mission and characteristics.

3. The different student-support units have distinct roles and responsibilities:

   (a) Colleges provide a wide range of educational experience to support the broader development of undergraduate students as whole persons. Colleges are congenial communities with their own hostels, dining halls and other facilities. Students receive pastoral care and whole-person education at Colleges, including formal and non-formal general education. Colleges coordinate student-orientation activities, and organize non-formal co-curricular activities which focus on a variety of dimensions and seek to facilitate student development in:

      i.   ethical development, e.g. community services;
      ii.   intellectual development, e.g. study tours and related activities;
      iii. physical development, e.g. various sports activities;
      iv.   social development, e.g. leadership training; and
      v.   aesthetic development, e.g. musical activities.

   (b) The OSA provides a wide range of services and programmes to both undergraduate and postgraduate students, which aim at meeting their varying needs as they progress along their university years. The Office facilitates the growth of students through the specialized services and activities of its four functional sections:

i.   *student activities and amenities*: coordinating new student orientation at University level as well as university-wide and intervarsity student activities, supporting student bodies, and managing student amenities;

ii.   *incoming students services*: providing general care services to non-local students, promoting a culturally diverse campus, and supporting the learning effectiveness of non-local students via a team of Learning Enhancement Officers;

iii.   *student counselling and development*: providing individual and group counselling services, organizing personal growth and self-development activities, and promoting mental wellness;

iv.   *career planning and development*: providing students with job information and placement services, organizing career guidance and development activities, and offering summer internship programmes.

(c)   The OAL is responsible for the development of international relations and the coordination and administration of student-exchange programmes at CUHK, while the OAL (China) assists to promote, among other duties, students' exposure in Mainland China.

(d)   The OAFA offers scholarships, prizes and other academic awards as due recognition to students who have demonstrated academic excellence and outstanding performance in other areas, as well as different types of bursaries and loans to help students who are in genuine needs.

(e)   The UHS administers various health-education programmes (both for physical and mental well-being) for students.

4.   The different responsibilities of the various student-support units and the characteristics of their activities are summarized in Annex 1.

Provision of Academic Support to Students

5.   Besides the provision of general pastoral and career support, various University units also provide a variety of specialized services in support of student learning.   The key units are as follows:

(a)   The Library provides resources and services to support students from all disciplines of the University's academic programmes, in study and research. Library staff also provide training and guidance in information literacy to both undergraduate and postgraduate students.

(b)   The Independent Learning Centre (ILC) provides advice, training and resources for students to become more effective lifelong learners.   ILC activities and resources focus on learning skills, including language and communication skills.

6.   In addition, a series of language-enhancement programmes are provided by various units to students with a view to assisting them to upgrade the level of their language proficiencies.

Academic-advisory System

7. An academic-advisory system has been set up in each faculty/ department to provide academic-advice services and to coordinate various academic matters at the department level. The academic student-support services can also provide relevant information on student-support activities offered by various units and refer students to these units when appropriate, e.g. referring a distressed student to a counselor in the Office of Student Affairs, and forwarding a case concerning hostel adjustment to the relevant College. In this way, the department-level academic-advisory system also forms part of the wider student-support and pastoral-care system.

8. The academic-advisory functions are overseen by an Associate Dean (Student Affairs) in each of the faculties.

Coordination of the Student-support Units

9. The key units in general student support are represented in the Committee on Student Affairs chaired by the University Dean of Students. The Committee coordinates the various student-support programmes offered by different units. The diagram at Annex 2 illustrates the major functions of the units concerned.

Evaluation of the Student-support Activities

10. Student-support services and activities are developed from various internal and external inputs. Each unit considers the needs of the students, studies the external environment, evaluates past performance and makes its long-term and short-term plans. Information is collected from progress and regular reports through internal meetings and surveys among students.

11. Student services and activities are subject to evaluation by both the units concerned and students who have participated in the activities. Evaluation is conducted by various means, such as gathering direct student feedback, studying student output and reports, conducting satisfaction surveys, personal/ group interviews, knowledge/ skill tests, and drawing up statistical reports and behavioral change studies, etc. There are also sources of indirect evidence that illustrate the effectiveness of the University's student-development activities and student-support programmes, e.g. surveys on performances of our students done by external parties.

A "Road Map" of the Student-support Activities

12. Through its many student-support services units, the University has developed a wide range of student-development activities and services. For better coordination and integration of the services and activities, a framework of the services/ activities which facilitate the whole-person development of undergraduate students has been developed.

13. The framework will facilitate students and the relevant units of the University to grasp the diversity as well as totality of activities offered, and enable students to gain the maximum benefit from participating in appropriate activities and services. The framework outlines and enhances the diversity of students' experiential-learning opportunities in the University, and aims to serve as a guide for Colleges, faculties and other units in planning for students' experiential learning, hence making the best use of limited resources, and sharpening the objectives of the activities they organize. The framework will also serve as roadmap for the experiential-learning opportunities for students, guiding them through their university experience.

February 2010

[Endorsed by the Senate Committee on Teaching and Learning at its Second meeting (2009-10) held on 16 December 2009.]

Roles and Responsibilities of Student-support Units

I. University Administrative Units

Agency	Service Content	Major Characteristics	Access to Services	Evaluation of Services
Office of Student Affairs	- Psychological counselling services - Mental-health programmes	- Sole service agent on campus	- Mass email - Office website - ITSC Digest - Regular e-newsletters - Regular magazines for student community - Notices - Posters - Brochures - Roll-up banners - Set-up of booths - Through relevant student associations	- Attendance statistics - Survey questionnaires - Follow-up evaluation on case-by-case basis - Informal sharing, individual contact with students, etc.
	- Career-planning and development programmes	- Major provider of career services on campus		
	- Internship Programmes - Mentorship Programmes	- Generic placement opportunities		
	- Cultural-diversity programmes - Guidance for student unions and student societies - Student-activity funds - Orientation programmes for new students - Leadership-training programmes	- Emphasis on interaction between local and non-local students - University-based i.e. open to all students of the University - Some programmes are intervarsity		
	- Advising on adjustment and learning effectiveness	- Exclusively for Mainland undergraduate students		
	- Advice on housing arrangements	- Mainly for non-local students		

Office of Admissions and Financial Aid	- Scholarships - Bursaries and financial aids	- University-based i.e. open to all students of the University	- Mass email - OAFA website - Posters - Grant/ Loan talks on registration days	- Questionnaire (for selection interview workshops)
Office of Academic Links/ Office of Academic Links (China)	- Student-exchange programmes - Interflow programmes	- University-based i.e. open to all students of the University	- Mass email - OAL website - Briefing sessions - Posters - Brochures	- Compulsory online questionnaire (for exchange programmes) - Focus groups
University Health Service	- Health-education programmes - Student-health ambassadors	- Aim at the whole University community including students, staff and their families	- CUHK website (rolling icon) - UHS website - Posters - Notices - CUHK Newsletters	- Attendance statistics - Questionnaires - Sharing (with Student-health Ambassadors)

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II.   College Administrative Units

Agency	Services Content	Major Characteristics	Access to Services	Evaluation of Services
Dean of Students' Office	- Orientation activities - Scholarships and financial aids - Exchange programmes - Language-enhancement programmes - IT-awareness programmes - Mentorship programmes - Leadership development programmes - Community-service programmes - Artistic and cultural programmes - Guidance for College student unions, student societies and hostel associations - Activity subsidies and awards - Overseas study tours - Hostel activities for students	- College-based i.e. restricted to college students	- Mass emails - College website - Notices - Leaflets - Banners - Through GE classes - Electronic display boards - Through relevant student associations	- Attendance statistics - Questionnaires - Skill tests (for language programmes) - Participants to provide post-programme reports - Evaluation groups, review meetings, informal sharing and gatherings, etc. - Internal meetings between the organising committee and the advisors from relevant disciplines (for artistic programmes)

Agency	Services Content	Major Characteristics	Access to Services	Evaluation of Services
Chaplain's Office	- Pastoral care - Sunday services - Weekly fellowships	- For all students	- Mass emails - Posters - Announcements	- Attendance statistics - Sharing - Annual reviews and planning during summer camps - Online feedback forms (for assemblies) - Questionnaires (for language programmes)
	- Language programmes - Recreational activities	- College-based i.e. restricted to college students - Exclusively for non-local undergraduate students		

III. Academic Units

Agency	Services Content	Major Characteristics	Access to Services	Evaluation of Services
Faculty/ Departments	- Internship programmes - Mentorship programmes	- Confined to designated disciplines/ specialty	- Mass emails - Faculty/ Department website - Posters - Through compulsory courses	- Questionnaires - Participants to provide post-programme reports - Follow up on case-by-case basis
	- Academic advising services	- Faculty/ Department-based - For undergraduate students		

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IV. Academic-support Units

Agency	Services Content	Major Characteristics	Access to Services	Evaluation of Services
Library	- Books and resources - Services in support of student learning and research	- For all students	- Personal services - Web-based services	- Questionnaires - Student sharing/ feedback - Logs of online accesses
Independent Learning Centre	- Activities on learning skills, including language and communication skills - Consultations, print and online resources are provided to help students implement effective learning strategies.	- Mainly for undergraduate students - Focused on independent learning	- Website - Mass emails	- Questionnaires - Student feedback - Logs of online accesses & patterns of activity

Coordination of Student-support Units

Committee on Student Affairs

Associate Dean (Student Affairs) of each Faculty

Director of Admissions and Financial Aid

Director of Academic Links

Director of Academic Links (China)

Director of Student Affairs

College Deans of Students

Academic Advice Coordinator in each department/ programme

Provision and coordination of academic advice services

Awarding scholarships and offer of bursaries and loans

Promotion and administration of student-exchange programmes with other countries

Organization of student interflow programmes with the Mainland

Career consultation & internship facilitation

Enhancement of incoming students' adaptation and learning effectiveness

Provision of psychological counselling and promotion of mental wellness

Coordination of student activities and management of student amenities

Enrichment of undergraduate students' experiential-learni ng opportunities

Provision of general pastoral-care services for undergraduate students

THE CHINESE UNIVERSITY OF HONG KONG

Senate Committee on Teaching and Learning

Assessment of Student Learning in Taught Programmes

This paper presents an overall framework for assessment of student learning in taught programmes at CUHK. This document clarifies and systematizes a number of previous guideline documents, and makes explicit certain unwritten assumptions about assessment at CUHK. It builds on the 'Report of the task force on Assessment' approved at the First Meeting (2007–08) of the Senate Committee on Teaching and Learning held on 18 September 2007, and incorporates feedback following consultation with Faculties in the first term of 2009–10.

INTRODUCTION

1. Assessment is an integral part of teaching and learning (T&L). This paper sets out the policy on assessment in taught programmes at CUHK, and consists of the following parts:

    - The principles of an assessment policy
    - The recommended code of practice
    - Oversight of quality and impact
    - Approval and future revisions

PRINCIPLES OF AN ASSESSMENT POLICY

Purpose of assessment

2. Assessment has an important role in T&L strategy, as it:

    (a) provides evidence of student attainment of the desired learning outcomes for particular courses and for the overall programme, such evidence being necessary for certification and employment;

    (b) ensures appropriate standards for all taught programmes; and

    (c) enables students to understand their own learning progress and set learning goals for themselves, in this sense being a learning activity in itself.

Types of assessment

3.   The objectives (a) and (b) above are often said to be *summative*, while the objective (c) is often said to be *formative*.

4.   Summative assessment in turn can be conducted in two different ways.

(a)   The assessment can be pegged to pre-determined standards or expected learning outcomes; the term *criterion referencing* is sometimes used.

(b)   The assessment can be defined by relative performance; the term *norm referencing* is sometimes used, but shall be avoided here to avoid confusion with the narrower definition of a 'normal' distribution of marks or grades.

However, even without a 'normal' distribution, the latter type of assessment (or more precisely the latter manner of expressing assessment results) is typically associated with percentage guidelines ('*A* and *B* grades should constitute not more than 40%'), and is sometimes called 'grading on a curve'. The two ways of conceptualizing grading can work together to enhance standards, as explained in paragraphs 6–10 below.

Characteristics of a good assessment policy

5.   The assessment policy is based on the principles underlying the University's Integrated Framework for Curriculum Development and Review (Integrated Framework, IF): in an *outcomes-based approach* (OBA) to curriculum design and implementation, the stated desired learning outcomes guide the choice of content, the design of student learning activities and the assessment tasks. A number of characteristics flow from this point of view.

(a)   An OBA requires clarity on the expected outcomes, and assessment should therefore have an element of *criterion reference*. However, as will be seen below, this does not contradict using guidelines on grade distributions to ensure that criteria are pitched at satisfactory levels.

(b)   Assessment tasks should have an *appropriate level of cognitive demand* and, across a programme, students should have appropriately demanding assessment tasks.

(c)   Appropriate assessment tasks should consider learning outcomes across different domains, e.g. *knowledge, skills and values* (KSV), with degrees of emphasis that depend on the subject. One important KSV composite is students' capacity for *lifelong learning*.

(d)   Assessment should cater for *diversity* in the student cohort, both in terms of ability and in terms of learning styles and interests.

(e)   Students need to receive *timely feedback* on all assessment tasks.

(f)   Assessment needs to be pragmatic so that the *workload* on both teachers and students is reasonable.

(g) Good assessment is *transparent* with clear processes known to teachers and students.

(h) Good assessment is *fair* with checks and balances at all stages of the system – from setting the assessment scheme to finalizing grades.

OBA and guidelines on grade distribution

6. An OBA should be guided primarily by internal consistency at programme level: desired learning outcomes defined by programmes cascade down into the design of individual courses, each with an internally coherent set of learning outcomes, learning activities and assessment tasks. Programme learning outcomes in turn must be internally synergistic with the overall strategic goals of the University, and externally benchmarked (see paragraph 14) in order to check on overall standards in each discipline.

7. An OBA should be accompanied by broad specification of criteria by which standards are defined for each grade. Examples of grade descriptors are given in **Appendix 1**; it is expected that programmes will develop their own descriptors (a) once and for all at the time a course is introduced and approved, and not at every offering of the course; and (b) in broadly the same way across courses with a similar design at the same level in the same discipline. Thus there may be only half a dozen different sets of descriptors for each programme, and these will have shelf lives of many years before revision is required. The adoption of grade descriptors as part of a recommended code of practice is explained in paragraph 13, and it is expected that programmes will gradually move along this direction in measured steps.

8. Nevertheless, the University also has guidelines on grade distribution, since robust *relative* information is also useful: to provide incentives for students to excel, for reference by employers and graduate schools, in a way that would not be achieved if large numbers of students are lumped together in the grades at the extremes (*A* or *D*). Distribution guidelines also help to prevent grade inflation, which if unchecked would in the long term harm all graduates of the University by debasing their credentials.

9. A possible way of reconciling absolute criteria and relative distribution guidelines is suggested in **Appendix 2**, but in practice it suffices to note that the descriptors and the distribution guidelines will be sufficiently broad to enable the two to be harmonized.

10. The adoption of agreed criteria has important educational implications.

(a) In the actual grading stage, the marker should look primarily to prescribed standards and not the distribution.

(b) If the resultant distribution is inconsistent with University guidelines, then the solution is not an *administrative* shifting of grade boundaries, but a collective re-examination of the suitability of the standards defined and the way they are applied in practice – an *educational* reflection, using external reference points as appropriate.

11. These considerations underpin the recommended procedural code of practice described below.

RECOMMENDED CODE OF PRACTICE

12. In the light of these principles, the University will establish a recommended code of practice on assessments, for reference by both for departments/ programmes and for individual teachers/ markers.

Programme assessment scheme

13. It is recommended that each programme should, at initial approval, for Programme Review and at programme revision, produce a programme assessment scheme, made known to students, e.g. by posting on the web, with the following components.

   (a) A statement of the *programme learning outcomes* that cover appropriate areas of knowledge, skills and values.

   (b) A *course X learning outcomes grid* showing how each required course in the programme contributes to achieving these programme learning outcomes. Additional comments about how elective courses map to programme learning outcomes would be useful. Examples are on the course planning website[1].

   (c) A set of *course outlines* (developed using the approved course template[2]), in which the rationale for the choice of all assessment tasks are mapped against the course learning outcomes. The course assessment scheme would state why and how marks will be assigned to each assessment task. Example assessment rationales for course outlines are on the assessment website[3]. As the University gradually moves towards an OBA, it is expected that there will be a process of developing grade descriptors for criterion referencing (see paragraph 9). Some guiding questions that can be used in developing a good course assessment scheme are in **Appendix 3**.

   (d) An *overall programme assessment scheme* which summarizes the proportion of each type of assessment strategy (e.g. formal examinations, short tests or homework, essays, individual project reports, group project presentations and reports, class participation) and explains how this assessment scheme will support students in attaining the desired programme learning outcomes. Examples are available on the assessment website[4].

   • There is no prescribed minimum percentage of marks that must be allocated to formal examinations. The spread of assessment tasks should be guided chiefly by the desired learning outcomes. Minor pragmatic adjustments to the percentages of assessment components should not unduly alter the final balance.

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[1] The *Guidelines and Procedures for Writing Course Outlines* can be downloaded from http://www.cuhk.edu.hk/clear/download/CO_GenericGuideline_Aug2009.pdf. Additional material to be added to the website.

[2] The Course Outline template can be downloaded from http://www.cuhk.edu.hk/clear/download/CO_Template_Aug2009.doc.

[3] For example, see section 8 on Assessment scheme in the *Guidelines* referred to in footnote 1 above.

[4] http: www.cuhk.edu.hk/policy/assessment

- Courses may specify that students must pass in some or all of the components of assessment, e.g. students must pass both the group project and the final examination. Such requirements must be clearly specified.

- The overall programme assessment scheme needs to explicitly address any previous comments by External/ Visiting Examiner(s) or Programme Review panels about the assessment scheme in general.

Benchmarking

14. There should be an effort to benchmark standards externally, for example through external examiners, Visiting Committees, or less formally by inviting peers from comparable institutions to provide written comments on samples of examination/ test scripts and/or other student work that contribute significantly to assessment. Programmes should comment on benchmarking on assessment matters in the annual report they make to the University on their programme action plan.

Assessment panel

15. Each programme (or department or graduate division) should establish an assessment panel, or have the entire programme board (or department board or graduate division) operate as the assessment panel[5], with responsibility and authority over all aspects of grading, and for ensuring that the guidelines herein are observed, and any exceptions documented and approved. The composition and procedures for assessment panels will be guided by the relevant faculty or the Graduate School. A sample list of responsibilities is in **Appendix 4**.

Marking

16. The following procedures will ensure that marking is fair and that the assessment scheme in each programme is transparent.

17. The course coordinator for each course should ensure that there is a single *marking scheme* for each assessment task. For courses offered in multiple sections and/or where scripts are marked by more than one individual, the marking scheme*s* should be detailed and shared by all markers, including teaching assistants (TAs) and part-time teachers, in order to ensure a degree of uniformity. Junior staff such as TAs should not develop their own individual marking schemes. Where scripts are marked by a single individual, a skeleton marking scheme would suffice, simply to provide a record in the event of future scrutiny.

18. It is recommended that the design of the marking scheme for each assessment task should make reference to the expected learning outcomes. An example of an internationally accepted marking framework is posted on the assessment website. It should be noted that *A* grades should be reserved for truly excellent work that exceeds the level expected for the majority of students.

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[5] These may have been called Examinations Panels in the past, but the nomenclature of 'assessment panel' is recommended, since examination is only one possible mode of assessment.

19. When courses undergo periodic course reviews, prescribed by the IF, a sample of marking schemes for a variety of assessment types should be made available for peer scrutiny.

Student anonymity

20. Each programme should develop, discuss with students and post on its website its own policy as to whether there is the need in some courses or tasks for student work to be graded without the teacher(s) knowing the student identity; student anonymity may be considered for the more controversial and open-ended topics in the course. Any changes of policy over time should be noted in the annual report made to the University on the programme action plan.

Moderation of marks

21. Each programme should develop its own policy about the need for *moderation of marks*, especially for more open-ended and less structured assessment tasks.

    (a) Strategies for *internal moderation* include sample double marking in some cases (e.g. where the grade distribution deviates significantly from guidelines, or in the case of projects supervised by only one teacher), moderation of the marking of new teachers, and occasional checking of the marking of TAs and part-time teachers.

    (b) Programmes that retain External/ Visiting Examiners have *external moderation*; other programmes may decide to periodically engage an external peer to check on standards in general and marking in particular. The Visiting Committee could also contribute to this role.

    (c) The programme policy on moderation should be posted on the programme website; any changes over time should be noted in the annual report made to the University on the programme action plan.

Group projects and peer assessment

22. The use of *group projects*, and especially any *peer assessment* therein, needs special mention. Group work as an important learning experience can help students attain important learning outcomes in certain courses. Similarly, peer assessment within a group work assignment may provide students with opportunities to learn more about teamwork and responsibility for shared learning. Nevertheless, clear processes are needed to promote genuine reflection on the experience and prevent 'freeloading'. Examples of how group work and peer assessment are conducted at CUHK can be found on the assessment website.

Academic honesty

23. The University has a zero-tolerance policy for *plagiarism*. Details of this policy are given in 'Honesty in academic work: A guide for students and teachers'[6]. For the avoidance of doubt, the policy applies to open-book examinations as well.

24. Departments/ programmes should ensure that reasonable effort is taken to require that

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[6] http://www.cuhk.edu.hk/policy/academichonesty/

relevant written work (other than closed-book examinations and tests) is submitted through the University's proprietary plagiarism detection tool, *VeriGuide*, and that any possible cases flagged are given attention.

25. To ensure objectivity and fairness, course examinations should be scheduled, invigilated and monitored by panels of examiners set up by the departments, or centrally. Guidelines on examination and invigilation procedures can be found on the assessment website.

26. The University adopts a policy of zero tolerance on dishonesty in examinations. Any such offence will be referred to the Disciplinary Committee concerned. More serious cases will be referred to the Senate Committee on Student Discipline for possible disciplinary actions in accordance with the appropriate regulations. The penalties include deduction of marks, demerits and termination of studies.

Combining marks

27. When marks from different assessment tasks are combined to obtain the total marks, the *spread of the scores* for each component should be taken into consideration. In large classes, statistical normalization of the marks may be appropriate, especially for different categories of tasks[7], to ensure that any component does not carry an unintended weighting in the final grade.[8] In the spirit of an OBA, very narrow spreads in any tasks should prompt a reconsideration of the expected outcomes to accommodate a broader range of levels of challenges and attainments[9].

Guidelines on distribution of grades

28. The University has established very broad guidelines for the distribution of letter grades for undergraduates (**Appendix 5**), and one way to understand them together with the use of absolute criteria is described in **Appendix 2**. Assessment panels need to exercise caution: the ceiling percentages are the ceilings, not the norms.

29. The Graduate School will be requested to develop a corresponding set of similar University guidelines in respect of courses at postgraduate level, recognizing that greater flexibility may be necessary for the more varied circumstances. The Graduate School should also develop principles for permitting exceptions to such guidelines, and processes for monitoring such exceptions.

Awarding grades

30. The final grades awarded to students in a course should reflect their individual achievements pegged or *criterion-referenced* to the course learning outcomes, in the spirit of OBA. Therefore the course outline needs to specify the criteria for the various grades (see paragraph 7).

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[7] http://www.cuhk.edu.hk/policy/assessment <or similar> for further details. [To be developed.]

[8] For example, a component may nominally carry 20%, but if all students are marked in the range 15%-16%, then the actual weight carried would be tiny. It would then be appropriate to 'stretch' the distribution to ensure it carries the originally intended weight.

[9] For example, if one component is a multiple-choice (MC) test and scores are tightly bunched at the top end, then this may indicate that only relatively low-level tasks such as recall are tested, whereas synthesis and innovation may also be possible in an MC mode.

31. The use of *pass/fail* grade is permitted, but only if it is part of the course design approved at the time of course introduction, in the overall context of the whole programme (including any impact on the calculation of Major GPA, for example). Such *pass/fail* grading should *not* be adopted on an ad hoc basis with particular offerings of the course; nor should it be applied to a subgroup of students taking the course.

32. However, *safeguards against grade inflation* need to be firmly in place. The following guidelines ensure that an OBA-driven and criterion-referenced grading process does not compromise excellence.

    (a) The criteria or standards for each grade should be explicitly distinguished from each other, so that *A* grades are, for example, reserved for truly excellent work that exceeds the level expected for the majority of students -- by definition a small percentage. Reference can be made to *sample grade descriptors* (**Appendix 1**).

    (b) The University's (very broad) guidelines on grade distribution should be followed in framing these standards. There is no contradiction with criterion referencing; see paragraphs 6-10 and **Appendix 2**.

    (c) The assessment panel needs to scrutinize the grade distribution for each course; where there is deviation from University guidelines, the defined criteria, the marking schemes, and a sample of students' assessment work should be reviewed by a peer panel designated by the assessment panel. The grade distribution statistics for each course will be provided to the assessment panel and Faculty concerned by CUSIS.

Grade point average

33. The *Grade Point Average* (GPA) is just the grade (on a scale of $A = 4$, $B = 3$, $C = 2$, $D = 1$, $F = 0$) averaged over all courses taken and weighted by the number of units. Sometimes a separate Major GPA is also calculated by including only courses specified by the Major programme, possibly with enhanced weights for certain required or capstone courses. Any non-standard weights adopted in the study scheme of a particular programme must be academically justified as part of the programme approval and revision processes, and clearly spelt out in advance in programme documentation. The Registry computes and records the GPA(s) for each student.

Honours classification

34. The *honours classification* for undergraduates is determined at the time of graduation. It is recommended by the Major programme concerned for endorsement at Faculty level, subject to certain conditions on percentage distribution, Major GPA and overall GPA, for decision by the Undergraduate Examinations Board (UEB). The procedures for calculating these measures and the processes for ratification are on the assessment website.

Feedback to students

35. For assignments during term time, each programme needs to determine and announce a 'turn-around' policy; any changes over time should be noted in the annual report made to the University on the programme action plan.

36. It can be a valuable experience for students to review their examination scripts. Programmes can arrange a defined period of time (say two weeks) when students can look at (but not take away) their scripts and consider their own performance. This scrutiny can be linked to some general feedback provided by a teacher or a panel of teachers, either face-to-face or online. Each programme needs to determine and announce a policy about students having access to examination scripts; any changes over time should be noted in the annual report made to the University on the programme action plan. It will be useful if the policy would highlight the educational benefits rather than the opportunity to appeal.

37. Departments and programmes should archive a sample of examination scripts and other student work that substantially contributes to final grades for possible future scrutiny by Programmes Review panels or Visiting Committees. Assignments should be return to students with timely feedback but copies should be kept of an appropriate sample. The original sample examination scripts and copies of student work should be kept at the department/ programme office for onsite review by Visiting Committees/ Examiners, and should only be disposed of or returned to students after visits have been conducted. General guidelines on sampling of students' work for external review are on the assessment website.

Appeals

38. Students who have a query on the grade given for any courses should consult the teacher(s) concerned within two weeks of the release of academic results for the relevant term by the Registry.

39. In the event that a student, after consulting the teacher(s) concerned within the specified period, has reasonable grounds to believe that there is procedural impropriety in determining grades or other academic issues resulting in her/his having been directly affected, s/he can lodge a complaint with the University, in accordance with the Procedures for Handling Student Complaints, for an independent investigation into the matter. A student may also lodge a formal complaint at the outset without consulting the teacher(s) concerned.

List of issues

40. **Appendix 6** can serve as a useful reminder of the issues that should be considered.

OVERSIGHT OF QUALITY AND IMPACT

41. The actual practice on assessment should be reviewed in the first instance by each department or programme board, with overall supervision by the Dean of the Faculty, and in the case of TPg programmes/ courses, also by the Dean of the Graduate School.

42. Assessment practice will also be monitored in the regular Programme Reviews (including scrutiny of annual reports); the first such review in respect of this policy will be the 'light' reviews for the design of the new four-year normative curriculum, to be implemented before 2012. The monitoring will include, inter alia:

(a) the existence and appropriateness of a programme assessment scheme;

(b) especially the adoption of clearly stated standards for different grades;

(c) evidence of external benchmarking;

(d) good practice in marking;

(e) appropriate effort to ensure academic honesty;

(f) compliance with University guidelines on grade distribution, and serious efforts to deal with deviations through scrutiny of adopted standards and the actual application of those standards; and

(g) the appropriateness of the policy and practice in feedback and appeals.

43. Assessment practice should also receive attention from Visiting Committees.

APPROVAL AND FUTURE REVISIONS

44. This policy, when adopted by the Senate, shall become prevailing University policy on good practice. It is expected that there will be minor revisions from time to time in the light of experience in different contexts. Such minor revisions will be made by SCTL and periodically reported to the Senate.

February 2010

[Endorsed by the Senate Committee on Teaching and Learning at its Third meeting (2009-10) held on 5 March 2010.]

Appendix 1

Sample grade descriptors

It is expected that grade descriptors are formulated not every year, but only at programme/ course introduction, approval and major revision (i.e. once every few years). Moreover, broadly the same set of descriptors can apply to many similar courses in each programme, so that it is possible that for the whole programme only a few sets of descriptors have to be formulated/ revised every few years.

It is also recognized that there will be considerable diversity across programmes, depending on their nature and the stage of development of criterion referencing. For this reason, a range of different examples are presented for illustration purposes, without suggesting that any particular version is either exemplary or appropriate for any particular discipline, and no particular framework is mandatory. What is needed is a logical and coherent set of descriptors that provides students with clearly stated standards for different grade levels.

Additional examples of descriptors for different forms of assessment (essays, projects, presentations, quantitative problems, laboratory/ field work, tests/ examinations, etc.) are provided on the assessment website.

Example 1: A hypothetical set of very simple descriptors

Grade	Overall course
A	Outstanding performance on all learning outcomes.
A-	Generally outstanding performance on all (or almost all) learning outcomes.
B	Substantial performance on all learning outcomes, OR high performance on some learning outcomes which compensates for less satisfactory performance on others, resulting in overall substantial performance.
C	Satisfactory performance on the majority of learning outcomes, possibly with a few weaknesses.
D	Barely satisfactory performance on a number of learning outcomes
F	Unsatisfactory performance on a number of learning outcomes, OR failure to meet specified assessment requirements.

Example 2: A hypothetical set possibly applicable to science subjects

Grade	Overall course
A	Demonstrates the ability to synthesize and apply the principles or subject matter learnt in the course, to novel situations and/or in novel ways, in a manner that would surpass the normal expectation at this level, and typical of standards that may be common at higher levels of study or research. Has the ability to express the synthesis of ideas or application in a clear and cogent manner.
A-	Demonstrates the ability to state and apply the principles or subject matter learnt in the course to familiar and standard situations in a manner that is logical and comprehensive. Has the ability to express the knowledge or application with clarity.
B	Demonstrates the ability to state and partially apply the principles or subject matter learnt in the course to most (but not all) familiar and standard situations in a manner that is usually logically persuasive. Has the ability to express the knowledge or application in a satisfactory and unambiguous way.
C	Demonstrates the ability to state and apply the principles or subject matter learnt in the course to most (but not all) familiar and standard situations in a manner that is not incorrect but is somewhat fragmented. Has the ability to express the separate pieces of knowledge in an unambiguous way.
D	Demonstrates the ability to state and sometimes apply the principles or subject matter learnt in the course to some simple and familiar situations in a manner that is broadly correct in its essentials Has the ability to state the knowledge or application in simple terms.
F	Unsatisfactory performance on a number of learning outcomes, OR failure to meet specified assessment requirements.

Example 3: Actual descriptors used for essays in Nursing courses (slightly simplified)

A/A-	**Use of Material** – Well-structured essay with clear introduction and conclusion. Issues clearly identified, clear framework for organizing discussion, appropriate material selected.
	Knowledge and Understanding – Logical flow of content, clear expression of ideas and arguments and differing views with evidence of new ideas based on knowledge gained. Knowledge well integrated and supported by evidence from the literature. Uses abstract principles and concepts, with applications to nursing when appropriate. Evidence of critical analysis of material and conclusions drawn.
	Presentation and References – Grammatically correct, full and accurate references in text and list.
B	**Use of Material** – Well-structured essay with a clear introduction and conclusion. Some issues identified, framework attempted for organizing discussion but not well developed, some material selected but not all appropriate.
	Knowledge and Understanding – Content has logical flow, with ideas clearly expressed, some structure to the argument with differing views in parts and some new ideas based on knowledge gained. Some integration of material with support from the literature. Uses some abstract principles and concepts with limited applications to nursing when appropriate. Some evidence of critical analysis with conclusions drawn.
	Presentation and References – Some grammatical errors but does not affect understanding. References in text, well selected and used, generally well presented.
C	**Use of Material** – Fairly well structured with introduction and conclusion attempted. Some issues identified, little attempt at a framework for organizing discussion, material selected but not all appropriate.
	Knowledge and Understanding – Logical presentation attempted but not always successful. Some structure to the argument but only limited number of differing views and no new ideas. Limited integration of material with some support from the literature. Uses concrete ideas with limited use of abstract principle and concepts. Little critical analysis, with ideas expressed at a descriptive level and little use of appropriate practice examples to demonstrate understanding.
	Presentation and References – Some grammatical errors which affect clarity and understanding. Limited references in text with some not completed or missing from the list.
D	**Use of Material** – Poorly structured essay with a weak introduction and conclusion. Some issues identified, no framework for organizing discussion. Little relevant materials selected.
	Knowledge and Understanding – Some confusion in the presentation, difficult to follow the logic. Some structure to the arguments but some confusion to the discussion and few differing ideas with no new ideas based on knowledge gained. Poor integration of materials with little support from the literature. Uses concrete ideas but no discussion or appropriate use of abstract principles and concepts. No critical analysis, descriptive thinking with only few appropriate practice examples poorly related to the question.
	Presentation and Reference – Grammatical errors which substantially affect clarity and understanding. Limited and incomplete referencing with discrepancies between text and reference list.
F	**Use of Material** – Poorly structured essay with a very weak/ no introduction and conclusion. Inappropriate or few issues identified. No framework for discussion and little relevant material selected.
	Knowledge and Understanding – Confused and muddled presentation, lacks logical presentation. Unstructured and unsupported arguments with no discussion of differing views and no new ideas. Poor integration of material with little relevant support from the literature. Descriptive essay with no analysis and minimum interpretation. Irrelevant detail and some misinterpretation of the question. Very little/ no logical relationship to the topic and poor use of practice examples.
	Presentation and References – Grammatical errors distort the understanding of the essay. Inappropriate referencing in text and list.

Example 4: Actual descriptors developed for Fine Arts studio arts

Grades	Criteria
A Unanticipated extension	**Conceptual design** – The work shows clear evidence of high level of independent thinking, insightful observation; bold and creative exploration of artistic ideas. Original interpretation of the theme of the piece; generation of new expressions, perspectives and extension of ideas on visual arrangement.
	Technique – Excellent quality craftsmanship; meticulous application of skills showing perceptive understanding and sensitivity to the nature of and relationship between application of technique, the treatment of material and the theme of the piece. Inventive ways of utilizing material combined with attentive workmanship that leads to extensions of artistic concepts and visual vocabulary.
	Overall presentation – Vivid and effective presentation that reflects excellent understanding of the interrelationship between conceptual content and form; perceptive arrangement of visual elements such as color, dimension, line, mass and space; creating strong sensational impact such as balance, coherence, harmony, tension, richness and variety.
B Well-rounded presentation	**Conceptual design** – The work shows evidence of good observation, independent thinking; creative exploration of artistic concepts and ideas that makes interesting interpretation of the theme of the piece.
	Technique – Good quality craftsmanship; good evidence of thoughtful and attentive application of skills; careful consideration of the connection between technique, the treatment of material and the theme of the piece achieving and well-balanced and coherent presentation.
	Overall presentation – Attractive presentation, good understanding of the interrelationship between content and form, well-balanced treatment of visual elements such as color, dimension, line, mass and space, reflecting effort in creating aesthetic sensation such as balance, coherence, harmony, tension, richness and variety.
C Inconsistent quality	**Conceptual design** – Some evidence of reference to observations, artistic concepts and ideas which are relevant to the theme of the piece. Little evidence of personal or original approach to interpretation of theme of the piece. Limited effort in exploring ideas and artistic expressions seem dull and uninspired.
	Technique – Average quality craftsmanship, some evidence of care in application of skills. Limited connection in the use of technique, choice of material and the theme of the piece.
	Overall presentation – Presentation reflects limited concern for the interrelationship between form and content, Limited success in effective treatment of visual elements such as color, dimension, line, mass and space to achieve aesthetic objectives.
D Undeveloped work	**Conceptual design** – The piece of work shows little evidence of effort in developing ideas on the theme or making of reference to artistic concepts.
	Technique – Little evidence of effort in applying required skills, the quality of craftsmanship is low; limited degree of care shown in treatment of material; little consideration to the general theme of the piece.
	Overall presentation – Poor overall presentation; poor quality treatment of visual elements and very little evidence of consideration to aesthetic objectives.
F Misses the point	**Conceptual design** – Work showing no consideration of artistic ideas and concepts. Design of work is irrelevant to the theme.
	Technique – Slack workmanship; failure to display skills or care in treatment of material.
	Overall presentation – No evidence of care or consideration in visual presentation. Poor use of material and lack of aesthetic sensitivity.

Appendix 2

Consistency between absolute criteria and percentage distribution guidelines

There may appear to be a contradiction between objective standards and percentage guidelines. The false dichotomy can be avoided by regarding the grade distribution guidelines not as a constraint on marking (say end of term), but as a constraint that should have operated much earlier: ideally, standards are broadly defined for each grade (*A*, *B*, *C*, *D*) at the time of course design, documented in the course outline as required by the standard course template (paragraph 13(c)), and conveyed to students at the beginning of term.

An *A* grade should correspond to standards of work that are truly excellent and are expected to be achieved only by a small minority, whereas grades of *B* and *C* would correspond to standards more commonly attainable, with *D* for the lowest end that barely meet passing benchmarks. Descriptors such as 'minority', 'commonly' are normative, and will ensure consistency with broad distribution guidelines.

In other words, the logical link from normative grade distribution to actual grading is not
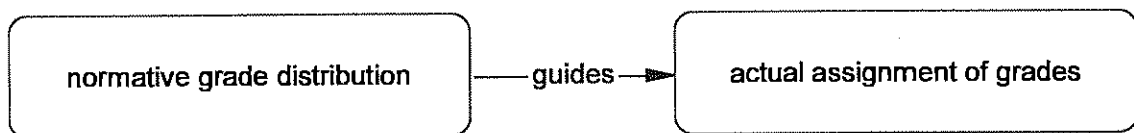
but rather
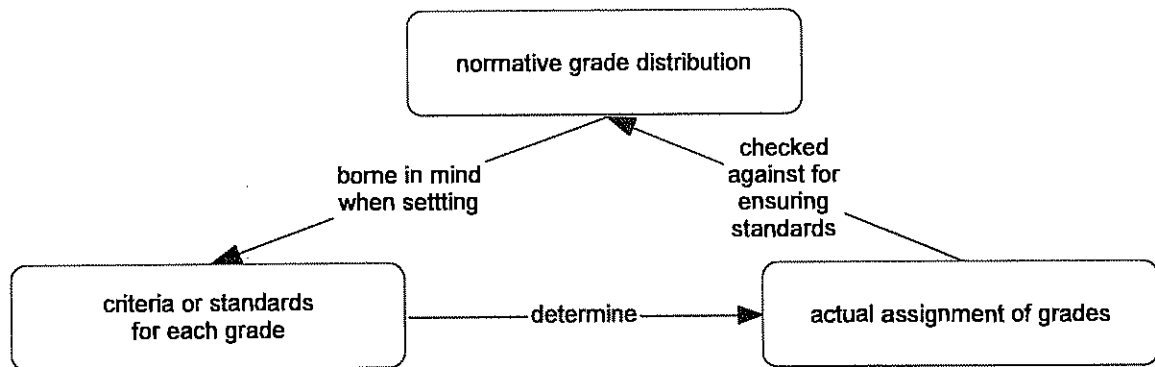
Appendix 3

Guiding questions in developing a good course assessment scheme

1. Is this assessment task mainly *formative* (i.e. designed mostly as a learning activity) or is it *summative* (i.e. designed to grade students on final attainment)? If it is formative, what proportion of marks should be allocated?

2. Are the assessment tasks pitched at *appropriate levels of difficulty*?
    Where students from differing year levels and from different programmes are attending the same course, this question is particularly pertinent. In extreme cases with wide diversity and consciously different expected outcomes, it may be wise to design more than one course with shared learning activities across courses, as detailed in the paper 'Courses which share learning activities with other courses' noted by the SCTL at its 3rd Meeting (2008–09) in May 2009.

3. What *flexibility* is there in the de*sign of the assessment tasks? Do* students with particular interests and/or learning styles have opportunities to maximize their learning opportunities? For example, are there choices in assignment topics or formats? Is there any opportunity for students to suggest alternative assessments? Any flexibility that is built into the assessment design must not undermine the overall rigour and standards of assessment.

4. Are there some important assessment tasks that would be very hard to grade? If so, the use of a *pass/fail basis* could be useful. In essence the task becomes required but does not contribute to the overall course grade.

5. Is the number of assessment tasks consistent with an appropriate *workload* for students? Is the marking load appropriate for the teaching staff?

6. Has the course assessment scheme undergone any *peer review* within the programme? An example of how an assessment review process might be conducted is on the assessment website at http://www.cuhk.edu.hk/policy/assessment (or similar). Periodic feedback from former students and alumni can also enrich an assessment review process.

Appendix 4

Sample list of responsibilities for assessment panels

1. To propose policies on the matters contained in this paper (e.g. student anonymity, peer assessment) for approval by the Department/ Programme Board.

2. To monitor and ensure fairness and honesty in all assessment work.

3. To review comments provided by external examiners.

4. To review grade distribution reports.

5. To endorse course assessment schemes.

6. Be responsible for the quality of examination/ test papers. For example, for each course, a colleague within the department/ programme could be appointed as an internal reviewer to independently check the paper and model answer/ marking scheme.

7. To approve grade boundaries and the assignment of grades recommended by teachers.

8. To arrange make-up examination/assessment for students who have been given approval to be absent from examination/assessment.

9. To endorse requests submitted by teachers for change of marks or grades upon appeal by students, and to help resolve any informal complaints thereon.

10. To ensure that reasonable effort is undertaken to monitor and uphold academic honesty in all assessments.

Appendix 5

Guidelines approved by the Undergraduate Examinations Board on grade distribution

Grades	Cumulative Average %	Cumulative % Range of Students*
A	5%	0% – 10%
A- and above	25%	20% – 30%
B- and above	75%	60% – 90%
C- and above	95%	90% – 100%
D and above	100%	100%

* excluding failure cases

Note

For courses with a reasonably large enrolment, say, 20 students or more, the percentage distribution of grades should be observed by teachers concerned as far as practicable. However, as students' standard and quality vary from year to year, teachers may, with the approval of the assessment panel concerned, make prudent and appropriate variations, in which case raw marks must be supplied. For courses with a small enrolment, say, fewer than 20, teachers should exercise their own judgement with due regard to past experience rather than adhering rigidly to the percentage distribution guideline.

Appendix 6

Checklist of issues to consider in developing an assessment policy and procedures in each programme

	Item	Ref Para	Check
1	Is there a programme assessment scheme and is it posted on the web?	13	
2	Have efforts been made to benchmark assessment methods and standards?	14	
3	Is there an assessment panel? What is its written list of responsibilities?	15	
4	For courses involving multiple teachers/ markers, are marking schemes given to all markers including TAs?	17	
5	Is there the need for students to be marked anonymously in some courses/ assessment activities? If so, how is this policy enforced?	20	
6	Is there the need for moderation of marks? What is the policy?	21	
7	Are there group projects and is there a policy on their assessment?	22	
8	If there is peer assessment in group projects, what is the policy?	22	
9	How does the programme ensure there is no plagiarism? What types of student work are/ are not submitted to *VeriGuide*? How does the programme know that cases flagged are attended to?	23–24	
10	What are the procedures for invigilation in examinations other than those that are centrally scheduled?	25	
11	Have there been cases of academic dishonesty among students and how have these been dealt with?	26	
12	Does the programme have a policy on normalization of marks before combining to total marks? What is the rationale for doing so, or not doing so, in particular courses?	27	
13	Are criteria clearly defined for every grade?	28–29	
14	What measures are taken to prevent grade inflation? What is the distribution of different grades in all courses in the programme?	32	
15	What 'turn-around' time is specified for assignments during term time?	35	
16	What is the policy on student access to examination scripts?	36	

THE CHINESE UNIVERSITY OF HONG KONG 香港中文大學
Course and Teaching Evaluation Questionnaire 科目及教學評鑑問卷

Course and teaching evaluation (CTE) is conducted as a mandatory activity at the University. Students' opinions about the courses they take and about the teachers of these courses are collected through this questionnaire, and will be analysed by the Departments/Faculties concerned. The aim of course level evaluation is to enhance teaching and curriculum design, and as one element of input for academic staff appraisal. Results of the close-ended items of the questionnaire will also be made known to the students through controlled access.

Please answer all questions as relevant to THIS COURSE, by filling in the circle that most closely corresponds to your opinion.

「科目及教學評鑑」是大學的一項指定活動。本問卷收集學員對個別修讀科目及任課教師的意見，供有關學院或學系作資料分析之用。科目評鑑有助提昇教學質素及完善課程設計，並會作為評審教學人員表現的其中一項元素。各評分題目的結果，可在有監管的情況下供學生查閱。

請回答所有關於本科的問題，並填滿能代表您的意見的圓格。

Instruction: Use BLACK/BLUE ball pens to fill up the oval completely: Right ●   Wrong ⊖ ☑ ⊗ ◑

Course Code 科目編號: _____   Course Title 科目名稱: _____

	Strongly Disagree 非常不同意				Strongly Agree 非常同意	

驛釋清楚 Clarity of Explanation
1. 老師表達清晰 — ① ② ③ ④ ⑤ ⑥ The teacher presented in a clear manner.
2. 老師運用適當例子，有助學習 — ① ② ③ ④ ⑤ ⑥ The teacher used relevant examples to assist my learning.

熱忱與溝通 Enthusiasm and Communication
3. 老師熱心教學 — ① ② ③ ④ ⑤ ⑥ The teacher was enthusiastic about teaching.
4. 老師鼓勵學生積極參與課堂活動 — ① ② ③ ④ ⑤ ⑥ The teacher encouraged active participation in class.
5. 師生溝通良好 — ① ② ③ ④ ⑤ ⑥ There was effective communication between the teacher and students.

學習興趣 Motivation
6. 本科富有趣味性 — ① ② ③ ④ ⑤ ⑥ The course was interesting.
7. 本科富有啟發性 — ① ② ③ ④ ⑤ ⑥ The course was stimulating.
8. 學習本科能增進我對本科目的認識 — ① ② ③ ④ ⑤ ⑥ The course enhanced my knowledge in this subject.

目標及編排 Learning Outcomes and Organization
9. 本科編排恰當 — ① ② ③ ④ ⑤ ⑥ The course was well-organized.
10. 本科的學習目標清晰 — ① ② ③ ④ ⑤ ⑥ Learning outcomes of the course were clear.

評核 Assessment
11. 評核方法適當 — ① ② ③ ④ ⑤ ⑥ Assessment methods were appropriate.
12. 要求的作業份量合適 — ① ② ③ ④ ⑤ ⑥ The amount of workload required was appropriate.
如第 12 題答案為 1、2 或 3 → 太多 ① 太少 ② ← If your answer is 1, 2 or 3 to Q12, circle either
我認為要求的作業份量: Too Much   Too Little   I found the amount of work required for assessment:

科目難度 Course Difficulty
13. 推薦書目很有用 — ① ② ③ ④ ⑤ ⑥ Recommended readings were useful.
14. 本科內容深度適中 — ① ② ③ ④ ⑤ ⑥ Course content was of appropriate difficulty.
如第 14 題答案為 1、2 或 3 → 太深 ① 太淺 ② ← If your answer is 1, 2 or 3 to Q14, circle either
我認為本科內容: Too Difficult   Too Simple   I found the course content:

學習資源支持 Learning Support
15. 圖書館有足夠資源支持本科的學習 — ① ② ③ ④ ⑤ ⑥ The course was well supported by library resources.
16. 大學有足夠的資訊科技資源支持本科的學習 — ① ② ③ ④ ⑤ ⑥ The course was well supported by IT resources.

總評 Overall Opinion
17. 整體而言，我對本科感到滿意 — ① ② ③ ④ ⑤ ⑥ Overall, I am satisfied with the course.
18. 整體而言，我對本科老師的教學表現感到滿意 — ① ② ③ ④ ⑤ ⑥ Overall, I am satisfied with the teacher's performance.

Please put down your other comments on the course at the back of the page.   Thank you for your feedback.
請在背面寫下您的其他意見，謝謝您的回答。

- End   Thank You -
- 完   謝謝-

The Chinese University of Hong Kong
Graduate School
Study Plan and Progress Report for Research Postgraduate Students

Name of Student		Student ID No.	

Graduate Division		Degree to pursue	

Study Programme		Specialization	

In order to improve supervision, ensure timely progress and encourage broader training, the Graduate School requires that <u>each research postgraduate student, together with his/her Supervisor (thesis supervisor if already assigned, divisional adviser otherwise), to complete Part 2 of this form annually</u>. Supervisor must ensure that the student fulfills the requirements of all course work, qualifying examination, IT Proficiency Test and third language (if applicable) for graduation as stated in Part 1.

- All entries labeled as $\boxed{B}$ should be completed at the *Beginning* of the academic year (before the close of the add/drop period).
- The original should be sent to the Head of the Graduate Division, who should collate all the forms and forward them in one batch to the Graduate School for record.
- The student should retain a copy for reference.
- At the *End* of each academic year, the original will be returned from the Graduate School to the Head of Graduate Division, who should ensure that all entries labeled as $\boxed{E}$ *in Part 1* are updated and *all Sections in Part 2* are completed. These forms are then collected and sent back to the Graduate School, where they will form part of the official record of the student.

The Graduate School recognizes that circumstances and needs differ from division to division, and even from student to student. Therefore the specific requirements are left to the discretion of the Supervisor and the Head of Graduate Division.

Section A: Study Programme Requirements

Part 1

(I) Course Work of the whole programme

	$\boxed{E}$ Academic year of completion and Results					
	2009-10	**2010-11**				
$\boxed{B}$ **Required courses ^**						
e.g. **IEN5xxx**	*A–*					
e.g. **IEN4xxx**		*Dropped*				
$\boxed{B}$ **Elective courses /other courses #**						
$\boxed{E}$ *Checked by Supervisor* (Please initial)						

^ **Required courses** include courses required for graduation, seminar course and guided studies, etc.
# **Other courses** include courses needed to make up deficiencies, courses within the department that are recommended by the supervisor/division and courses offered by other departments that would be useful.

(II)   Language requirements

	E Date of completion	E Checked by Supervisor:

B Required to study a language*:		(Please initial)
☐ No ☐ Yes -- ☐Chinese ☐English ☐others (Please specify)_____		

(III)   IT Proficiency Test

	E Date of completion	E Checked by Supervisor:

B Required to take the IT Proficiency Test *:		(Please initial)
☐ Yes ☐ Exempted		

(IV)   Qualifying examination (applicable to doctoral students only)

	E Date of completion	E Checked by Supervisor: (Please initial)
B Qualifying examination for advancement to doctoral candidature *	Candidacy requirements:	Candidacy requirements:
■ For articulated programmes: ☐candidacy requirements	_____ Qualifying written exam:	_____ Qualifying written exam:
■ For non-articulated programmes: ☐qualifying written examination ☐qualifying oral examination	_____ Qualifying oral exam:	_____ Qualifying oral exam:
☐other requirements (please specify): _____	_____ Other requirements: _____	_____ Other requirements: _____

(V)   Courses in the Improving Postgraduate Learning Series

The courses in the Improving Postgraduate Learning Series are offered at the beginning of each academic year for postgraduate students to acquire some concepts, methodologies and skills involved in postgraduate studies.

Courses in	B Recommended by Supervisor (please tick ☑ if appropriate)	E Date of Completion	E Checked by Supervisor (Please initial)
Intellectual Property [1]	Compulsory for all research students		
Laboratory Safety [2]			
Information Searching/ Library Skills			
Computer Skills			
Thesis Writing			
Research Ethics			
Research Methods			
Presentation Skills			
Teaching and Learning			

1.   According to the Graduate Council's resolution, the module on "Observing Intellectual Property and Copyright Law during Research" is **compulsory** to all research postgraduate students admitted in July 2001 and thereafter.
2.   Supervisors are required to prescribe relevant safety courses for students who have to conduct laboratory work and to ensure their completion of the modules before starting laboratory work.

Section B: Co-supervision and Help with Specific Needs

The Supervisor and the Head of Graduate Division may wish to appoint other teachers to help with the supervision.   (These teachers could be officially designated as co-supervisors, depending on the extent of the responsibility assumed.)   Such an arrangement is in general encouraged for the breadth of supervision, but would be *required* if the Supervisor is expected to be on leave for a significant period, or to leave University service before the completion of the student's thesis.   In addition, the Supervisor and Head of Graduate Division may wish to enlist other teachers or researchers in the University to help with specific needs of the student, e.g., in relation to a particular technique.

Name of person agreeing to help with supervision	Department	Specific area of help	Designated as co-supervisor*	Effective date
			Yes☐ No☐	
			Yes☐ No☐	

The Chinese University of Hong Kong
Graduate School
Study Plan and Progress Report for Research Postgraduate Students

Part 2 (2009-10)

Name of Student		Student ID No.	

Graduate Division		Degree to pursue	

Study Programme		Specialization	

Section D: Progression Milestones

Columns B should be completed at the <u>beginning</u> of each academic year jointly by the student and supervisor. Columns E should be completed and checked at the <u>end</u> of each academic year.

B	E	E
Programme requirements in Section A, Part I for the current academic year: (e.g. courses to be taken, qualifying examination, IT proficiency Test, etc.)	**Completed on time?*** *(To be checked by Supervisor)*	**Remarks from Student (if any)**
	Yes☐ No☐	
	Yes☐ No☐	
	Yes☐ No☐	
	Yes☐ No☐	
	Yes☐ No☐	
	Yes☐ No☐	
	Yes☐ No☐	
	Yes☐ No☐	
Other tasks related to the research study:	**Completed on time?***	**Remarks from Student (if any)**
e.g. To conduct pilot field study on the mainland.	Yes☑ No☐	e.g. I have visited five schools and interviewed ten teachers.
	Yes☐ No☐	
	Yes☐ No☐	
	Yes☐ No☐	
	Yes☐ No☐	

The Supervisor and the student have agreed on the above major progression milestones in this academic year.

B	*B*	*B*	*B*
	Name (in Block Letters)	Signature	Date
Student			
Supervisor			
Head of Graduate Division (endorsement)			

Section E: Progress Report E

This Section is completed at the <u>end</u> of each academic year.
To monitor the progress of research students, a progress report has to be submitted annually by the Supervisor through the Graduate Division concerned to the Graduate School.   The Supervisor has to discuss with the student, complete **Part I to Part III** and return the report to the Head of Graduate Division concerned for transmission to the Graduate School by **30 June 2010.**

(I) Comments from Student
  Students may put down comments or concerns (other than technical remarks), if any, relating to the study and supervision relationship throughout the academic year@:

_____

_____

_____

_____

_____

_____

@ You are also welcome to discuss your problems and/or suggestions with your Supervisor, Department Chairperson,
  the Head of your Graduate Division, the Dean of your Faculty or the Dean of Graduate School.

(II) Comments from Supervisor

1.   The student's academic progress is* :

  ☐   Satisfactory

  ☐   Not satisfactory   → ☐   Improvement needed

  → ☐   Action in accordance with "General Regulations Governing Postgraduate Studies" 14.2 #

  (Please tick ☑ the appropriate box.)

  # <u>General Regulations Governing Postgraduate Studies 14.2</u>
  If at any time the Supervisor is of the opinion that a student is not making satisfactory progress or is unlikely to attain the standard required for the degree, and the assessment is endorsed by the Head of the Graduate Division concerned and by the Graduate Council, the student shall be required to discontinue studies in the Graduate School or may be advised to transfer to a course of study for Master's degree in the case of doctoral students.   Alternatively, the student may be put on academic probation* in which case he/she shall be barred from performing teaching or other duties carrying studentships/bursaries, until he/she is advised that probation has been lifted.
  *(*Note : If a student put on academic probation is a PGS holder, he/she would have 20% of his/her PGS award and the bursary from the Postgraduate Hall (if applicable) suspended during the probation period.   For administrative arrangements governing the suspension/curtailment of PGS awards and the appeal procedure, please refer to the memo issued by the Secretary of the Executive Committee of Graduate Council dated May 14, 1999.)*

2.   Comments from Supervisor:

_____

_____

_____

_____

_____

Date : _____   Signature : _____
                                                          (Supervisor)

                                         Name : _____
                                                          (In Block Letters)

(III)   Student's feedback to Supervisor's comments (please tick☑ if appropriate):

☐ I have seen the full content of this Progress Report and have no further comments.

☐ I have seen the full content of this Progress Report and I wish to make the following comments:

_____

_____

_____

_____

Date : _____   Signature : _____
                                                          (Student)

                                         Name : _____
                                                          (In Block Letters)

(IV)   Recommendation from the Head of Graduate Division
         (Please "✓" in the appropriate box and supply relevant document, if applicable.)

(a)   ☐   The student is allowed to continue studies/expected to graduate very soon

(b)   ☐   The student is required to be put on academic probation with effect from _____#.
            (# For PGS holder, this should be endorsed by the Department Board and one month's notice must be given to
            the student) *(Relevant documents are given in the attachment.)*

(c)   ☐   The student is *required to discontinue studies in the Graduate School /
                           recommended to transfer to Master's programme (for doctoral students only)
                           (*Delete as appropriate)
            (Reasons are given in a separate letter for consideration by the Executive Committee of Graduate Council.)
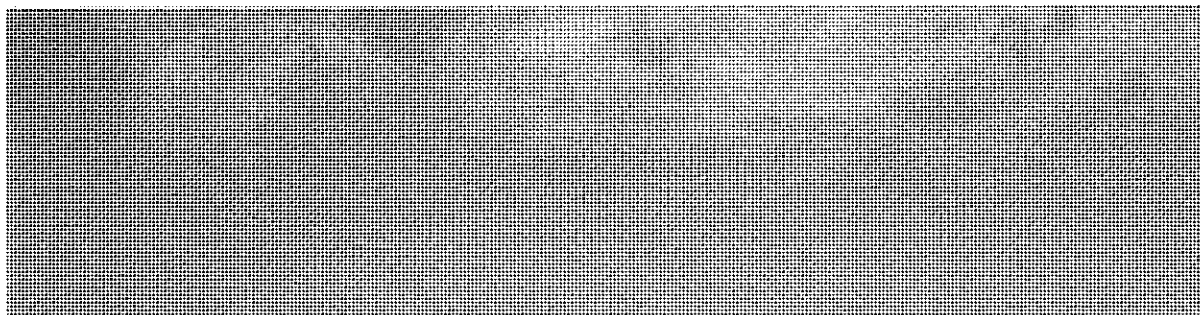

Date : _____   Signature : _____
                                                          (Head of Graduate Division)

                                         Name : _____

For Graduate School Use
☐	To file the report
☐	To inform the student
☐	To submit recommendation for discontinuation/transfer to Master's programme to the Graduate Council

Study Plan and Progress Report 2009-10.doc (4/2009)

CODE OF PRACTICE

Research Postgraduate Studies

March 2010

Graduate School

The Chinese University of Hong Kong

To Combine Tradition With Modernity

To Bring Together China and the West

The Chinese University of Hong Kong (CUHK) is a bilingual (Chinese and English) and bicultural institution of higher learning founded in 1963. As a first-class comprehensive research university with both a local and an international outlook, we aim at cultivating quality higher degree graduates to serve the increasingly sophisticated needs of society and making contributions to the pool of human knowledge through research. We have a 134-hectare scenic campus and the majority of our teaching staff is bilingual and recruited from all over the world. We hold fast to our fundamental goal of aiming for excellence in our intellectual pursuits and strive to achieve high programme quality through our distinguished faculty and experienced administrative staff.

Information and figures given in this *Code of Practice* are valid as of January 2010. The Graduate School reserves the right to make changes without prior notice if circumstances so require.

Graduate School Office

Postal Address:	G01, Academic Building No. 1
	The Chinese University of Hong Kong
	Shatin, N. T., Hong Kong
E-mail:	gradschool@cuhk.edu.hk
Tel.:	(852) 2609 8976 / 2609 8977
Fax:	(852) 2603 5779
Website:	http://www2.cuhk.edu.hk/gss/

Code of Practice

Research Postgraduate Studies

This *Code of Practice* is the output of Framework of RPg Review of The Chinese University of Hong Kong. It sets out the University's guidelines and references for research postgraduate studies, i.e., studies leading to the degrees of PhD, DMus, MPhil, MMus and MFA. It offers practical advice and provides guidance on procedures and good practice. The key target readers are Research Postgraduate (RPg) students, Supervisors and personnel supporting research postgraduate programmes.

The *Code of Practice* should be read in conjunction with:
- University regulations, in particular General Regulations Governing Postgraduate Studies;
- General Information for Research Postgraduate Students;
- the latest year version of the Postgraduate Student Handbook;
- any other guidelines provided by the Graduate School Office and the relevant Graduate Divisions, Departments and Faculties.

RPg students must familiarize themselves with the above documents, in particular General Regulations Governing Postgraduate Studies and General Information for Research Postgraduate Students, which contain detailed information on course load, academic probation, leave of absence, graduation assessment, etc. These documents can be downloaded at: www.cuhk.edu.hk/gss

The *Code of Practice* is applicable to all current RPg students, unless otherwise specified, and is updated annually. Students and personnel concerned should make themselves aware of any amendments and changes between issues.

The latest version of the *Code of Practice* can be found on the website of the Graduate School Office at http://www2.cuhk.edu.hk/gss/.

While the *Code of Practice* provides guidance on studies at CUHK, students and staff will find it useful to refer to circulars, notices, prescribed forms and notes for applicants, etc., for purposes of their day-to-day academic activities. The Graduate School Office has made ready a collection of such useful information and documents on its website for easy reference or use by students and staff. Students are advised to visit the Graduate School Office's website regularly to keep themselves well-informed of any latest announcements and activities.

Contents   Pages

6.   Assessment and Examination

7.   Thesis

8.   Supervisors

9.   Services and Support for Students

10.   Financial Assistance and Fees

11.   Disciplinary Action

12.   Appeal and Complaints

13.   Course Evaluation and Feedback

14.   Credentials

1.1   Stakeholders

There are various stakeholders in the activities of research postgraduate studies.   The roles of these stakeholders and their relationships are described briefly below.

A research postgraduate (RPg) *student* is one who has been admitted to a programme of studies to pursue a higher degree by research and has completed registration at the Graduate School.   He/She must take timely actions to maintain the validity of his/her student status by observing relevant rules and regulations, achieving satisfactory academic performance and progress, and paying fees, according to respective schedules.

An RPg student is expected to be a responsible member of the University community.   He/She has the right to take full advantage of the teaching and learning facilities and supports provided by the University, and the obligation to take ultimate responsibility of any of his/her academic output.

Each RPg student is assigned a *Supervisor* at the time of admissions or later on when the student's field of research is confirmed.   A *Co-supervisor* can also be appointed for academic or administrative reasons.

The Supervisor is a member of the full-time academic staff of a *Graduate Division* of a specific discipline.   Each Graduate Division is structurally under a *Faculty* concerned.   The *Board of Faculty* co-ordinates the activities of the Departments within the Faculty and considers and deals with the recommendations of the Departments on the content of courses for the degree or degrees; and on the details of syllabuses.   A *Graduate Panel* is set up for each Graduate Division to take care of matters of postgraduate studies.   The roles of a Graduate Panel will be discussed in more details in a later section.

A *Thesis Committee* is set up for each RPg student.   The Thesis Committee acts independently according to a set of well-defined procedures and makes recommendation for award of degree or other actions regarding the student concerned to the Graduate School.

The *Graduate School* co-ordinates all postgraduate programmes leading to higher degrees and postgraduate diplomas.   Hence, the Head of a Graduate Division reports to the Dean of the Graduate School for operations of his/her Graduate Division's postgraduate programmes.

The Graduate School also provides administration supports to the *Graduate Council and its Executive Committee*.   The powers and duties of the Graduate Council are to (a) advise the Senate on all graduate programmes of studies; (b) co-ordinate the activities of the Graduate Divisions within the Graduate School; and (c) consider and deal with the recommendations of the various Graduate Divisions on the content of courses and on the details of syllabuses.

The *Senate* has the control and regulation of (a) instruction, education and research; (b) the conducting of examinations for students; (c) the award of degrees, diplomas, certificates and other academic distinctions of the University.

Besides being a student of the Graduate School, a research postgraduate student is also supported by various services provided by different units at CUHK, such as the *Postgraduate Halls* and the *Office of Student Affairs*.

The diagram to follow describes in general the relationships and interactions among various stakeholders.
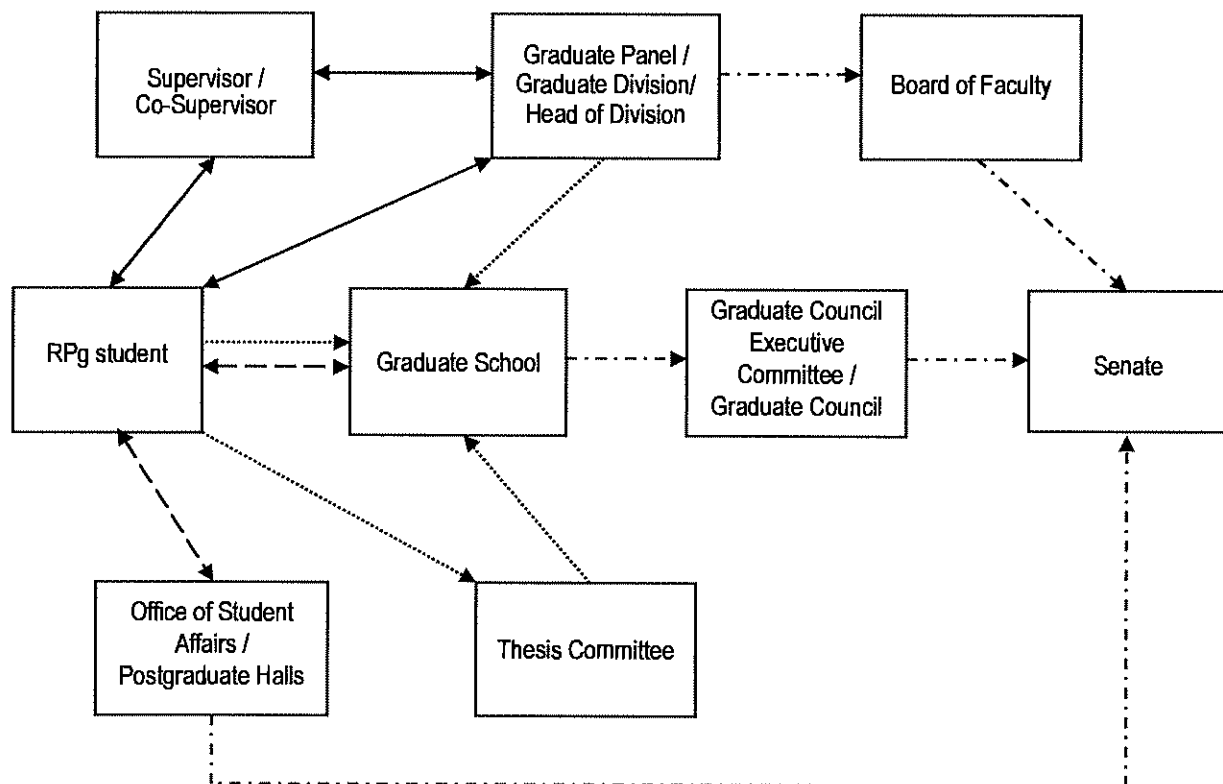
Key to relationships in general:

   ————————   Teaching, learning and academic advice
   — · —— · —— · ·—   Administrative governance and policies
   ·······················   Progress and assessment
   — —— —— —   Non-academic advice, services and support

Among these stakeholders, the relationships and interactions between a student and his/her supervisor are of prime importance in research postgraduate studies. Their roles and that of the Graduate Panel are described in more detail in the following sections.

1.2   Interaction between the student and the supervisor

Student-supervisor relation is the crux of providing quality postgraduate student management. Yet it is the hardest issue to be formalized into a set of code of practice for several reasons: the situation for

each student is unique, supervisors tend to adopt a great variety of supervising styles, and there are differences in culture from discipline to discipline.

While individuality of each student-supervisor relation should be fully respected, there are some general principles that students and supervisors could observe in order to make the most of the relationship.

For the supervised student:

(a) The responsibility of producing a quality thesis lies ultimately with the student, not the supervisor.

(b) Since professors have to manage many tasks simultaneously in addition to supervising research students, it is advisable for a student to take the initiative in establishing an effective and practical work plan with the supervisor. Normally, this implies requesting frequent meetings with the supervisor, providing timely and accurate updates to the supervisor on ongoing research progress, and seeking feedback and advice on a regular basis.

(c) A good student-supervisor relation is based on mutual respect and trust. Thus, the academic judgment and supervisory recommendations of the supervisor should be duly respected. Following this guideline does not imply critical reasoning and objectivity are to be encroached upon, but rather that in case of academic disagreement, frank and respectful communication is always the best advice. In the rare instance of serious and prolonged disagreement with one's supervisor, a student could bring the matter to the attention of the Graduate Division Head or Department Chairman for help in resolution.

(d) A student should understand the expectations of his or her supervisor. The annual research progress report is set up for this important purpose. Conversely, it is also important to know the role and responsibilities of a supervisor as well as its limitation. A point in mind, while a supervisor is expected to provide guidance and advice on research direction, no one can guarantee success in any meaningful research endeavor. Another point in mind, while a supervisor is expected to offer help during the thesis writing process, there is no responsibility to edit or rewrite a thesis for a student. Therefore it is the obligation of a student to submit a well-edited thesis for examination and there should be enough lead time before the deadline to allow for comments and further revision if necessary.

For the supervisor:

(a) A research student is not synonymous with a research assistant as education for the student is a primary goal.

(b) It takes a significant amount of time to supervise a research student. Thus, there is a limit on how many students a supervisor may take up at one time. Co-supervisor can offer additional support and input to the students and is encouraged. If a supervisor who is planning to take a leave of absence a co-supervisor must be appointed to ensure a smooth transition.

(c) A relation based on mutual respect and trust is more efficient and effective. In particular, the rights of the student should be fully recognized and protected; these include rights guaranteed

under the Personal Data Ordinance and all the non-discriminatory ordinances under the purview of the Equal Opportunities Commission in Hong Kong.

(d) A supervisor should only assign tasks to students that are directly related with their research in their studies. Duty assignments related to postgraduate studentship is limited to 12 hours per week on the average. Under no circumstances should a student be asked to perform duties unrelated to the University. Beware of conflict of interest issues.

(e) Communicate expectations clearly to the students. Review their progress frequently and do provide timely feedback and advice. Document non-satisfactory performance case in detail; the concerned student should be given sufficient warnings so that he/she can take necessary corrective actions.

(f) As the closest staff in contact, a supervisor could provide invaluable support to the student's overall educational experience at the University. Supervisors could offer helpful advice for students facing difficulties in their adjustment to the university life or sound early warning signals for potential problem cases. A graduating student could also benefit tremendously from the first-hand knowledge and connections afforded by the supervisor.

1.3 Graduate Panel

A Graduate Panel is set up for each Graduate Division with the Head of the Graduate Division as Chairman and at least two other members to be nominated by the Graduate Division Head. Its responsibility is to endorse or decide on:

- course of studies to be offered;
- the research field for each student;
- selection of applicants for admission; and
- any other matters related to the Graduate Division

Regarding the research field and supervision, the Graduate Panel acts as follows:

(a) Each student selects his/her intended field of studies within his/her Graduate Division at the time of application.

(b) The appointment of the Supervisor for each student, if possible, is made as soon as the student is admitted; if this appointment is not made at the time, the Graduate Division may arrange to have an advisor or his/her Graduate Division Head to serve as temporary Supervisor.

(c) The student may inform the Graduate Panel of his/her preference for Supervisor; but the final decision rests with the Graduate Panel.

(d) A Supervisory Committee may be set up for each student consisting of one to three persons, including the Supervisor, the Graduate Division Head and/or another teacher in the Graduate Division.

2.1   Postgraduate Research Programmes

The Graduate School offers through 63 Graduate Divisions (in 8 Faculties) a total of 107 research programmes, namely those examined by scrutiny of an extended research dissertation and an oral examination and are leading to the degrees of PhD, DMus, MPhil, MMus and MFA.   As of December 2008, the number of research postgraduates programmes offered by CUHK is tabulated below:

Doctoral programmes	PhD	36
	DMus	1
Master's programmes	MPhil	40
	MFA	1
	MMus	1
"Articulated" MPhil-PhD programmes		28
Total		107

New programmes may be proposed by Graduate Divisions/Faculties or initiated by the University in accordance with its strategic development.   Such initiation may be mobilized by intellectual pursuits, international and societal developments, academic advancement, technological breakthrough or available resources.   Graduate Divisions may also propose changes to existing programmes/courses to refresh or revitalize them.   There is a well-defined process and a schedule for submission of programme proposals.   The Graduate School Office will issue a circular to Graduate Divisions each year ahead of time.

2.2   MPhil-PhD programmes

Any Graduate Division that has an MPhil and a PhD programme may choose to convert to the articulated MPhil-PhD programmes.   New programmes can be created directly in this mode.

The framework of MPhil-PhD Programmes introduces more flexibility in the entry requirement for PhD programmes, and at the same time imposes formal candidacy requirements.   It also brings in more uniformity in the programme structure and requirements, in order to enhance quality assurance.

Students applying to MPhil-PhD programmes should state their intention to pursue either an MPhil or a PhD.   The minimum requirement for admission to the MPhil-PhD programme is the same as that for the MPhil programme.   Graduate Divisions will steer applicants into the appropriate stream, according to their ability, preparation and interest.

More information about the articulated MPhil-PhD Programme can be found in Chapter 5.

2.3　Graduate attributes of research programmes

The University has clear expectations of the attributes of its graduates.　The research programmes aim to educate researchers to embark on careers that would allow them to become world leaders in their fields, working as university professors, principal investigators in research institutes, senior managers in enterprises, or experts in other professions related to the pursuit and application of knowledge.

Doctoral degree graduates are expected to have acquired in-depth knowledge in a number of major areas of an academic discipline while maintaining a broad understanding of other related fields.　They should have accumulated enough educational experience and background learning to be capable of performing independent research to advance scholarship, with global standards.　In particular, they should have the ability to identify research trends and opportunities, venture into new research areas when appropriate, define long-term research objectives, formulate original research problems, and originate and develop solution methodologies.　They should be capable of producing research output at a level that can either lead to publications in high-ranking scholastic venues, or to novel applications in relevant industrial, commercial, or other public sectors, or to other forms of useful knowledge transfer to society.　They should have gained proficiency in techniques of knowledge dissemination through presentation and writing and some teaching experiences through student tutoring.

Master's degree graduates are expected to have acquired advanced knowledge in major areas of an academic discipline while maintaining a broad understanding of other related fields.　They should have gained enough background knowledge to enable them to perform research with minimal supervision.　In particular, they should have the ability to formulate individual research tasks and to develop solution methodologies under minimal supervision.　They should also be capable of producing original, innovative research output, some of which may lead to publication in well-respected scholastic venues.　They should have gained proficiency in techniques of knowledge dissemination through presentation and writing.

For graduates at both doctoral and master's level, communication and language skills at a level appropriate to university graduates are expected already at the time of admission.　In particular, fluent communication skills are expected in the language(s) essential to their research areas.　In general, a high level of proficiency in English is expected as it is commonly regarded as the default international research language.　Ability in a second language is encouraged.　They are also expected to attain appropriate IT capabilities and life-long self-learning skills.

While whole-person development is not part of the formal education objective for most postgraduate programmes, graduates are expected to have already possessed attributes of first-degree holders from CUHK or other leading universities, e.g., in domains such as honesty and integrity, in particular academic honesty, critical and independent thinking, cultivation of global perspective, desire to serve society, communication and language skills, and others.

2.4　Modes of study

The mode of study may be full-time or part-time.　Unless otherwise specified, classes of part-time programmes may be scheduled in day time as for full-time programmes.　Part-time students have to

make their own arrangements to attend day-time classes. (Although research programmes emphasize mainly research and laboratory activities, there are not less than 12 units of course requirements for students of articulated MPhil-PhD programmes.)

Application for change of study mode would be allowed only within the normative period of study and it must be recommended by the Graduate Division concerned and approved by the Dean of the Graduate School.

The remaining normative and maximum periods of study for both full-time students changing to part-time or part-time students changing to full-time are computed based on the principle that time spent in part-time students count with the following ratios as full-time equivalents:

(a) 2/3 for MPhil students during the normative period

(b) 3/4 for PhD students during the normative period

Conversion tables are published in the Postgraduate Student Handbook for easy reference. Continuing students, i.e., students beyond the normative study period, are not allowed to change their study mode.

2.5 Jointly supervised programmes

Committed to educating researchers at world class level, CUHK departments and faculties are keen at forming jointly supervised research programmes with strategic research partners outside of Hong Kong. Such collaborative programmes are proposed or formed based on the strength and reputation of the partner institutions, alignment of strategic goals, and availability of resources, among other things. Some features of these collaborative programmes are described below:

(a) The partner institutions are research organizations of distinguished standing and of strategic alliance value to CUHK.

(b) Such programmes are targeted for PhD students only.

(c) Each student should have a CUHK supervisor and a co-supervisor from the partner institution. Researchers from the partner institution could not serve as external examiners for the student's thesis.

Students who wish to find out more about these collaborative programmes please inquire with their Supervisors/Graduate Divisions.

2.6 Courses

A research postgraduate programme is made up of courses on specific topics. Courses could be lectures, tutorials, laboratory, seminars, studio, field study, meetings on research progress, etc. Courses carry different number of units. Besides the thesis, all RPg students are required to complete a minimum number of units of courses specified in the respective study schemes.

Courses are broadly divided into taught courses and research courses. A typical 3-unit taught course is made up by two hours of lecture and one hour of tutorial per week throughout a teaching term (the number of hours which students spend out of class studying reference materials or other related activities not included). For research courses, arrangements on duration, meeting frequency and venue are usually made between the student and his/her Supervisor. The general rule is that each unit of course is regarded as equivalent to approximately 3 hours of study/research per week by the student.

The fundamental concepts which need to be understood in each course are listed in the course outline with key principles, though content specification should not be exhaustive. Besides, for each course, learning outcomes, i.e., capabilities, knowledge and skills students expected to have developed during the course, are clearly specified.

2.7 Course code and sequence

A course code is comprised of 3 alphabets, 3 numerals and 1 numeral/alphabet. The first 3 alphabets stand for the subject (e.g., BIO and CHI stand for Biology and Chinese respectively). The 1st numeral stands for the level of study. Undergraduate courses are coded 1 to 4 while Postgraduate courses 5 or above. A course with a suffix of T or R stands for thesis preparation course.

With effect from 2010-11, the course code structure will be revised. It will be comprised of 4 alphabets and 4 numerals. The first 4 alphabets remain to stand for the subject (e.g. BIOL for Biology). The definition for 5000 – 8000 level courses is detailed below:

5000	Postgraduate Diploma/Master's courses
6000	Advanced Master's courses
7000	Doctoral courses
8000	Thesis monitoring courses, e.g., Thesis Research courses of "articulated" MPhil-PhD programmes or thesis monitoring courses for other MPhil and PhD programmes.

Normally, lower level courses should be taken before upper level courses. However, for the sake of flexibility, most courses are open to students of all years of attendance subject to satisfactory fulfillment of prerequisite and co-requisite requirements, unless otherwise stipulated by the Programme.

2.8 Cross-institutional courses and Joint Centre for Advanced Study

The relatively small size of the research postgraduate population limits the educational experiences available to students. Advanced coursework options are constrained by the relatively small class sizes that would result from too many choices. In order to enhance students' opportunities to access to educational resources available elsewhere in Hong Kong, local universities have entered into collaboration schemes of sharing RPg courses of participating universities. Students from local universities are able to benefit from exposure to the combined strength of the joint teaching staff and from interaction with each other. The enriched programme made possible in this way will be competitive with comparable programmes offered anywhere in the world. At present, there are two such collaboration schemes:

(a) Cross-Institutional Course/Subject Enrolment Scheme

The participating universities are CityU, CUHK, HKBU, HKU, HKUST, LU and PolyU. This scheme entered into its 7th year in the academic year 2009-10. Students who are interested in taking courses offered by other local universities through this scheme please visit the website of the Graduate School Office and watch out for the announcement for courses available for the next term.

(b) Joint Centre for Advanced Study

The Joint Centre for Advanced Study (JCAS) is a joint effort among CUHK, HKU and HKUST in developing greater and deeper cooperation in response to UGC's initiative in the development of strategic alliances and deep collaboration in higher education. The first initiative under this umbrella is the joint offering of courses for RPg students. The number of courses offered and the number of students participated in the year of 2008-09 are 16 and 223 respectively. The existing areas of the courses offered are Chemistry, Government & Public Administration, Mathematics, Molecular Medicine and Physics.

Students in these research areas who are interested in taking courses offered by this scheme please consult their Graduate Divisions.

3.1 Admission process

Postgraduate admission is coordinated by the Graduate School Office, which invites applications in December annually. Local and non-local applications are handled without prejudice. Successful applicants are normally admitted to the autumn term (beginning in August) of the following year. Applications for deferred admission to the next spring term (beginning in January) or the next academic year will only be considered if students are prevented by illness or other unavoidable cause from taking up the study. The maximum period for deferred admission is one year. Application should be made to the Graduate School before the specified date(s).

Each year the Graduate School Office arranges a briefing on postgraduate admission for participating staff members. The *Manual on Postgraduate Admissions* will be updated and distributed to guide them through the exercise. The admission and notification processes are summarized in the following diagram:
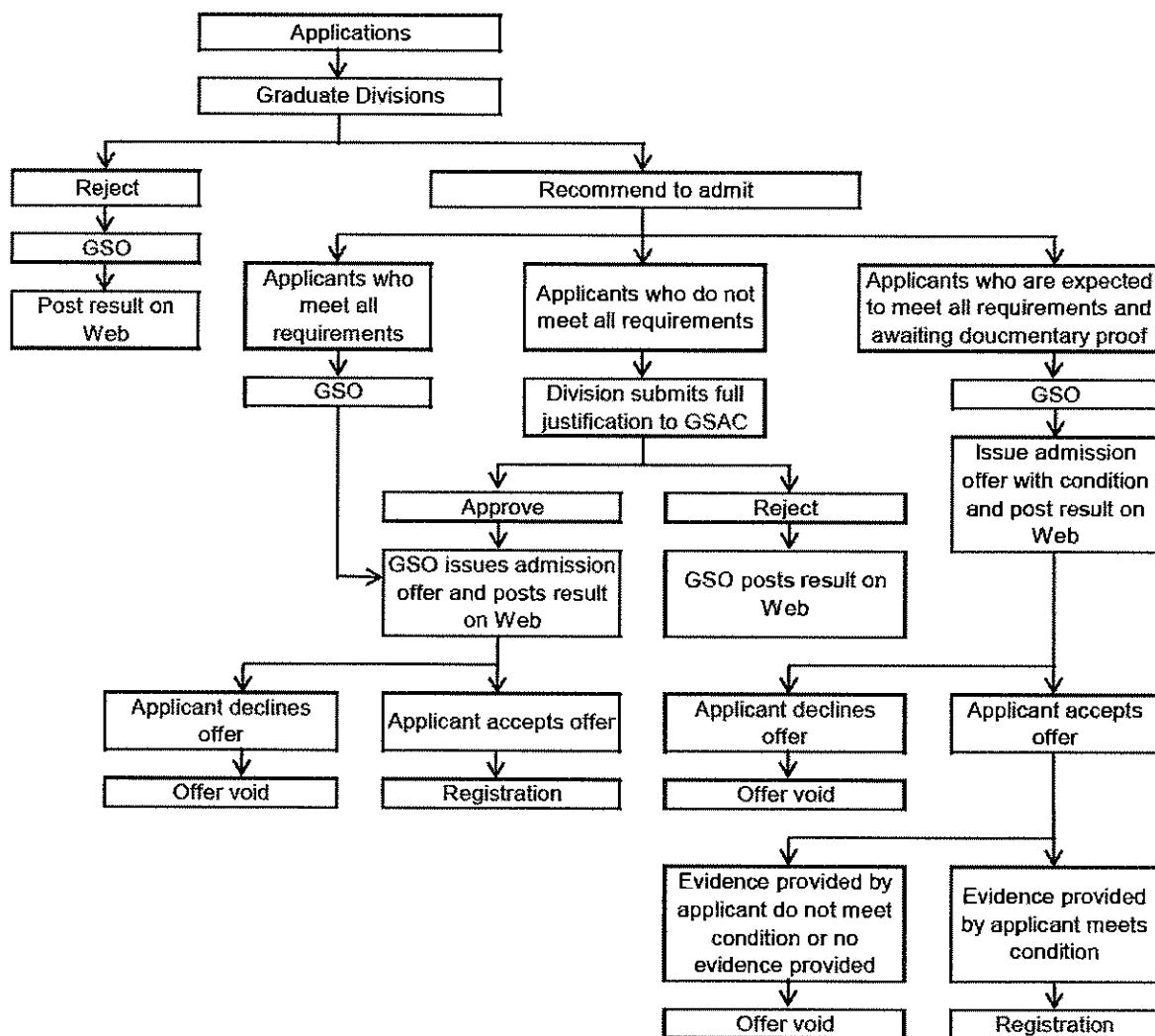
GSO - Graduate School Office
GSAC - Graduate School Admissions Committee

3.2 Entrance requirements

Entrance requirements of different RPg programmes are set out in the General Regulations Governing Postgraduate Studies (http://www2.cuhk.edu.hk/gss). Graduate Divisions may set further additional requirements, such as a subject test, and may also waive such additional requirements in particular cases. Applicants are also required to fulfill the English Language Proficiency Requirement before they are admitted. Details are given in the latest year version of the Research Postgraduate Prospectus.

Applicants holding academic qualifications awarded by completing programmes which differed substantially from "traditional" curriculums may be required to provide evidence or objective assessment from accreditation bodies, e.g., Hong Kong Council for Accreditation of Academic and Vocational Qualifications (HKCAAVQ), for further consideration.

3.3 Classification of entrance quality

To ensure quality assurance, the entrance qualifications of RPg students have been closely monitored. Graduate Divisions with a record of poor entrance standard or those which fail to maintain a substantial record of good entrance standard will result in negative adjustment on RPg quota. Supervisors and staff members who are responsible for RPg admissions please refer to the circular issued by the Graduate School Office on this exercise before end of the 1st term for details of the operation.

Statistics gathered during the classification exercise will be presented in aggregate to the Resource Allocation Committee (RAC) as a proposal for possible adjustments of RPg quota before the admission exercise starts. This classification exercise is meant to be a statistical indicator of intake quality, and not as a way of grading individual students.

Details are available to Graduate Divisions in the annual paper on RPg quota.

4.1 Orientation

Each year in August, the Office of Student Affairs arranges an orientation programme for new postgraduate students. The programme includes both topics on academic matters and campus life. Some of them are listed below:

- Introduction to Graduate School
- Services of the Office of Student Affairs
- Library Services & Copyright Issues
- IT & e-Learning Services
- Audio-visual Services
- Teaching and Learning Enhancement – Improving Postgraduate Learning
- Academic Honesty
- Language Enhancement
- CUHK Policy Against Sexual Harassment
- University Safety Policy
- CUHK Postgraduate Student Association
- Experience Sharing – Making Transition to University Life
- Wellness in CU
- Brief Introduction to Hong Kong Customs & Law

The programme is run in English and Putonghua. New students are strongly advised to participate in the programme to get acquainted with life in CU and also life in Hong Kong for non-local students.

4.2 Student registration

An applicant who has been offered admission should register with the Graduate School by specified date(s). Anyone who fails to complete the whole process (including submission of student records, provision of required documents and payment of fees) after a lapse of two weeks from the specified date(s) is considered to have given up the offer. Permission for deferment of registration may only be granted on prior application to the Graduate School.

A student is not allowed to register simultaneously for another course of study or research leading to the award of a degree, diploma or certificate either at CUHK or at any other tertiary institution unless an application has been submitted in advance to the Graduate Division concerned, endorsed by the Faculty concerned and approved by the Graduate Council. A student in breach of this regulation will be required to discontinue studies at the University.

4.3 Course selection / withdrawal / additions

The schedules for course selection and course add/drop are announced by the Graduate School Office to new students via the admission package and returning students via the information package for the

new academic year, both by mail and on the Internet. Course selection and course add/drop are conducted via the Graduate School Platform (Students) on the website of the Graduate School. However, if students wish to register course(s) outside their own study schemes, they should complete the prescribed form and obtain approval from their supervisors and the departments which offer the courses. All relevant reference materials, such as the study schemes and teaching timetables are available at the GS Platform (Students). More information about the GS Platform will be given in a later section.

Students will be able to check their own course register during and after the course selection period at the GS Platform (Students). However, the course register will be tentative until the Graduate Division's approval has been obtained after the add/drop period. Selection of courses with limited quota is subject to the Graduate Division's confirmation. Hence, students should check their course register before attending classes.

Courses of each programme listed in the Student Handbook will be offered according to resources available each year and are subject to approval by respective Faculty Boards. Students should refer to the "Postgraduate Teaching Time-table" at the GS Platform (Students) for information of course offerings in the current academic year.

According to the Regulations, a student should take at least one course in each term, unless otherwise stated in the study scheme or approved by the Head of the Graduate Division concerned. Students who do not want to take course in any term still need to login the system to indicate it. Returning students who have already submitted their theses do not need to select any course.

Only under special circumstances may a student apply for permission to withdraw from a course or enroll in a new course after the add/drop period. Such an application should be made according to prescribed procedures and submitted to the Dean of the Graduate School for approval. A student who withdraws from a course without approval will be given a failure grade for the course.

4.4 Residence requirements

Residence requirements, as defined below, are applicable to all RPg students, full-time or part-time:

(a) A student is classified as being in residence if he/she is attending courses as prescribed by his/her programme and receiving supervision on a regular basis.

(b) A student who is in Hong Kong except for absences not exceeding 3 weeks continuously and not exceeding 1 month aggregate in an academic year is deemed to be receiving regular supervision, and provided he/she is also attending courses, if required, is regarded as in residence.

(c) A student who is not in Hong Kong is normally deemed to be not receiving supervision, and is regarded as not being in residence. In cases where the student would nevertheless receive adequate supervision on a regular basis while away from Hong Kong, or where the absence from Hong Kong is related to an academic purpose, an application should be made beforehand to the Graduate Division Head concerned for approval of the Dean of the Graduate School, with the endorsement of the Supervisor, to regard the student as being in residence during that period of

absence.

(d) A student may also be regarded as being in residence while away from Hong Kong if the programme of studies approved by the Graduate Council and the Senate so provides.

Except for periods of approved leave, and except as provided in (b) and (c) above, all students are required to be in residence during their period of study.   Residence requirements may be waived for part-time students for up to six months in any academic year, upon the written approval of the Supervisor and the Head of the Graduate Division concerned.

4.5   Normative and maximum study periods

All students are required to submit their theses and complete all other graduation requirements by the end of the normative study period unless an extension has been granted.   Beyond the normative study period, students will be classified as continuing students.   All students must complete the graduation requirements within the maximum study period.   No adjustment will be allowed for leave of absence or suspension of studies.   Those who cannot complete all requirements within the maximum period are required to discontinue studies.

The normative and maximum study periods of different research programmes are tabulated below:

Degree	Normative Study Period		Maximum Study Period	
	Full-time	Part-time	Full-time	Part-time
PhD, DMus				
- Students with a research master's degree	36 months	48 months	84 months	96 months
- Students without a research master's degree	48 months	64 months	84 months	96 months
PhD (MPhil - PhD programmes)				
- Students with a research master's degree	36 months	48 months	72 months	84 months
- Students without a research master's degree	48 months	64 months	84 months	100 months
MPhil	2 years	3 years	4 years	5 years
MMus	1 year	2 years	3 years	4 years
MFA	2 years	—	4 years	—

More details of the study periods can be found from the General Regulations Governing Postgraduate Studies on the website of the Graduate School.

4.6   Shortening of the normative study period

A student who wishes to graduate before the normative study period may apply to the Executive Committee of the Graduate Council (via his/her Graduate Divisions and the Graduate School) for shortening the study period, provided that the application is in line with the following framework:

(a) The shortened study period will not be less than 3/4 of the original length and is more than 1 year.

(b) For master's students, their shortened study period should cover complete teaching terms.

(c) For students who are receiving Postgraduate Studentship, the award period will be shortened according to the new end date.

(d) The Graduate Divisions concerned endorse such applications.

(e) The student will have completed all programme requirements.

The Dean of the Graduate School is authorized to approve the shortening of the period of study in those cases whereby the students submitting requests have had their theses passed without the need for major revision.   In any case, approval for shortening of the normative study period is subject to the statutory minimum of 12 months for master's programmes and 24 months for doctoral programmes.

4.7   Programme transfers

Students may apply to change programme or transfer.   Different scenarios and the respective approval procedures are described in the following table:

Scenarios	Approval procedures
(a) Change to another programme of a different Graduate Division	1. Heads of both Divisions to endorse 2. GCExCo to approve
(b) Change to another master's programme in the same discipline (e.g., from MSc to MPhil of the same Division), where period of study carried over is equal to or NOT more than 50% of the normative period for the new programme	1. Division Head to approve and report to GS 2. GCExCo to note
(c) Change to another Master's programme in the same discipline (e.g., from MSc to MPhil of the same Graduate Division), where period of study carried over is more than 50% of the normative period of the new programme	1. Division Head to endorse 2. GCExCo to approve
(d) Change of the mode of study (full-time/part-time)	1. Division Head to endorse 2. Dean of the GS to approve
(e)(i) Transfer of candidature (MPhil or PhD Programmes) - from MPhil to PhD	1. Division Head to approve straightforward cases and report to GS 2. Dean of the GS to approve cases which do not meet entrance requirements but with publications 3. GCExCo to approve exceptional cases, and to note straightforward cases and exceptional cases with publications

(e)(ii) Transfer of candidature (MPhil or PhD Programmes) - from PhD to MPhil	1. Graduate Division Head to endorse 2. GCExCo to approve
(f)(i) Transfer of candidature (articulated MPhil-PhD Programmes) – from MPhil to PhD (pre-candidacy) or vice versa	1. Graduate Division Head to approve and report to GS 2. GCExCo to note
(f)(ii) Transfer of candidature (articulated MPhil-PhD Programmes) - from PhD (post-candidacy) to MPhil	1. Graduate Division Head to endorse 2. GCExCo to approve

Regarding (f)(ii) above, transfer from the PhD (post-candidacy) stage to MPhil status is normally not permitted; exceptions will be considered by the Graduate Council.

The transfer process of articulated MPhil-PhD programmes is shown in the diagram below:
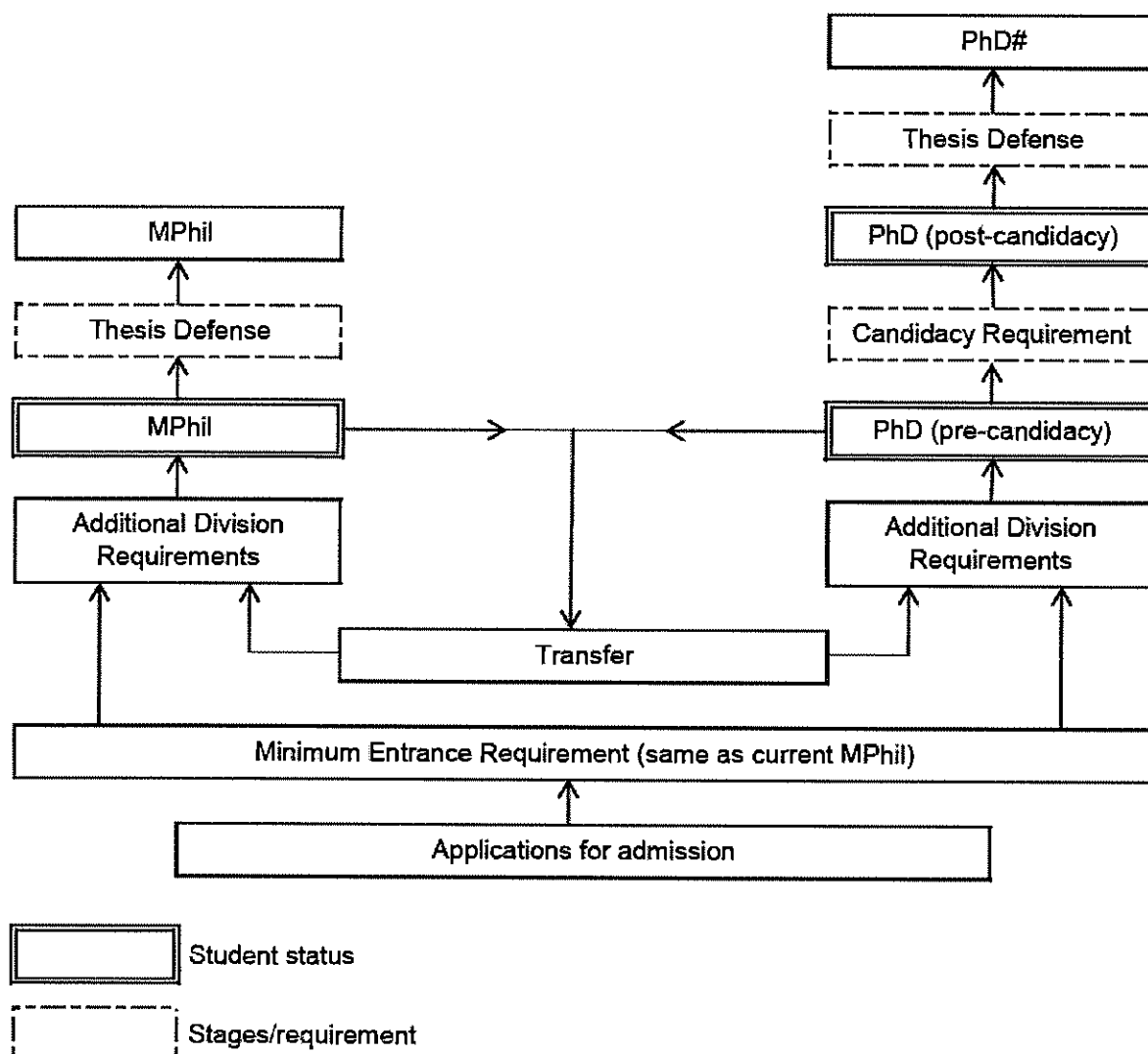
The thesis committee may recommend the award of an MPhil degree to a PhD student. In this case full justification is requested for the consideration of the Graduate Council.

4.8 Leave of absence

In case of illness necessitating absence exceeding three weeks, a student should submit an application for sick leave to the Graduate School Office together with a certificate signed or countersigned by the Director of the University Health Service for approval of the Dean of the Graduate School.

On the other hand, applications for leave of absence for non-medical reasons are handled as follows:

Leave of absence	Approval procedures
(a) Leave for less than 3 weeks	Graduate Division Head to approve
(b) Leave for 3 weeks to 2 years^	1. Graduate Division Head to endorse 2. Dean of the GS to approve
(c) Leave for more than 2 years^	1. Graduate Division Head to endorse 2. GCExCo to approve
(d)(i) Leave for PGS* holders – Conference leave	Graduate Division Head to approve and report to GS
(d)(ii) Leave for PGS* holders – Others (except conference leave)	1. Graduate Division Head to endorse 2. Dean of the GS to approve

^Leave of absence is limited to a maximum of one year in the first instance, and any extension is limited to one more year, beyond which no further extension will be granted, unless approval from the Graduate Council is obtained in special cases.

*PGS - Postgraduate Studentship.   More information about the PGS will be given in a later section.

A student who has been absent without leave or who is in breach of the residence requirements for a continuous period exceeding one month will be considered as having withdrawn from studies.

4.9 Student visa

As of December 2009, CUHK's enrolment of postgraduate students is around 10,286, including a substantial portion of international students from around the world, who must first obtain a student visa or other forms of permission by the Immigration Department of the HKSAR Government for studying in Hong Kong.   Normally a student visa is valid for one year and is renewable until a student completes his/her studies.   Non-local students should be aware of the validity of their travel documents and student visas during their stay in Hong Kong, and make all necessary arrangements to renew them before they expire.   As their stay in Hong Kong is governed by law, all non-local students must comply with conditions and requirements attached to their student visa.

The following are some highlights of recent immigration arrangements which are applicable to non-local RPg students:

(a) Full-time research students may take up study-related internships as arranged or endorsed by institutions, as well as to take up part-time on-campus jobs for up to 20 hours per week*, and off-campus summer jobs during the summer months of June to August.   (*Students are required

to comply with CUHK policy on taking up of part-time jobs, which is applicable to both local and non-local students.)

(b) All non-local students will be allowed to pursue short-term studies* in programmes offered by Hong Kong higher education institutions with degree-awarding powers, provided that the cumulative duration of short-term studies should not exceed 180 days within any 12-month period. (*Students are required to comply with CUHK policy on concurrent registration, which is applicable to both local and non-local students.)

(c) Non-local fresh graduates who wish to apply to stay and work in Hong Kong after graduation are not required to secure an offer of employment upon application. They may be granted 12 months' stay on time limitation without other conditions of stay provided that normal immigration requirements are met, and during which they are free to take up or change employment in Hong Kong.

Relevant information on student visa can be found on the website of the Hong Kong Immigration Department at http://www.immd.gov.hk/.

4.10 Employment

According to the Regulations, a full-time student is not allowed to take up any full-time employment, paid or unpaid, during term time within the normative period of study. Moreover, recipient of a Postgraduate Studentship (PGS) is not allowed to take up full-time or part-time employment. However, there are still chances of employment during or approaching end of their studies:

(a) Taking up of part-time employment by PGS holders – PGS holders may take up part-time engagements up to 50 hours per academic year. If the engagement concerned was requested by the students' own Department, the ceiling would be relaxed to a total of 100 hours per academic year. The approval authority is Head of the Graduate Divisions. However, applications that exceed the ceiling should be submitted to the GCExCo for consideration.

(b) Taking up of full-time jobs by full-time students – for students who are approaching the end of the normative study period, they will be considered for taking up full-time jobs under the following conditions:
  (i)   The student concerned had completed all programme requirements and had submitted the thesis, and
  (ii) The student concerned either did not hold or had been approved by the Department Chairmen concerned to relinquish the PGS by giving one month's notice, as stipulated in the PGS award letter, and
  (iii) Endorsement from the thesis supervisor was obtained in case of RPg students.

Non-local students please also refer to the previous section on student visa.

5.1 Graduation requirements

All RPg students are required to fulfill certain requirements for graduation. Some of the requirements are compulsory for all while some others are specific to individual programmes or individual students. While each type of graduation requirements will be discussed in the following sections in general, students should refer to the Course List, Course Descriptions and Study Scheme of their own programmes in the Postgraduate Student Handbook for the specific requirements. Besides, each RPg student should fill in all requirements in his/her Research Progress Report together with the Supervisor for future follow-up.

5.2 Coursework requirements

The coursework requirements list the required courses and elective courses, if applicable, of the programme. Taught courses (i.e., excluding courses labeled as "research", "thesis research", "thesis preparation", etc.) are to enhance the knowledge in research. The general requirement is as follows:

(a) not less than 12 units for research Master's;
(b) not less than 12 units for research doctoral students in the pre-candidacy stage, completion of which will be part of the candidacy requirements.

The two requirements could be identical, but a higher requirement can be set for the PhD candidacy if the Graduate Division so desires. Each Graduate Division may specify the minimum grade at which these courses must be passed.

Students should take at least one course in each term, unless otherwise stated in the study scheme or approved by the Graduate Division Head concerned.

On the other hand, doctoral students without a research Master's degree are normally required to take additional courses.

In addition, each student's progress in research is monitored through courses called "Thesis Research". The number of units should not be less than the following requirement per term. Each unit is regarded as equivalent to approximately 3 hours of study/research per week by the student.

Status	Full-time	Part-time
MPhil	6	3
PhD (pre-candidacy)	6	3
PhD (post-candidacy)	12	6
Continuing students	3	3

5.3 Postgraduate taking undergraduate courses

Postgraduate enrolment in undergraduate courses (4000 level or below) is allowed in situations including the following:

(a) Taking undergraduate courses as make-up requirements
   A student with a first degree in subject A admitted to a postgraduate degree programme in subject B may have to make up some undergraduate courses in subject B. Normally such make-up is genuinely additional and does not count towards the normal postgraduate degree programme requirement.

(b) Taking undergraduate courses which are not required
   Postgraduate students may take other undergraduate courses, typically in a different subject, purely for broadening and interest (e.g., calligraphy or music), or to develop other skills (e.g., language, including a third language). These additional courses are not required for fulfillment of graduation requirements.

As taking undergraduate courses may impose additional pressure on the overall workload, Postgraduate students who wish to take undergraduate courses should first consult their supervisors.

On the other hand, Programmes normally can only include up to 15% of undergraduate courses in the programme requirements. If Graduate Divisions request to include more than 15% undergraduate courses in the programme requirements, approval from GCExCo is required.

5.4 Research thesis and oral examination

All RPg students are required to submit a research thesis and pass an oral examination for graduation. The schedule, procedures, and assessment of the research thesis and oral examination will be described in details in a later Chapter on thesis.

5.5 Candidature for doctoral degree

There are two stages of PhD study: the pre-candidacy stage and the post-candidacy stage. No student will be admitted directly as a PhD student (post-candidacy); such a status can only be gained by a PhD student (pre-candidacy) upon satisfying all the candidacy requirements. Only a PhD (post-candidacy) candidate can submit a thesis and be examined.

The candidacy requirements are spelt out by each Graduate Division, with the requirements and procedures recorded at the Graduate School and made known to all PhD students (pre-candidacy). No PhD student shall proceed to the post-candidacy stage until he/she has fulfilled all components of the requirements. The requirements include at least the following components (see also Section 5.1):

(a) course requirements, and
(b) candidacy examination/qualifying examination, and
(c) thesis proposal and defence of proposal.

The candidacy examination/qualifying examination contains a written component of one or more papers, which cover the basic disciplinary knowledge expected of a PhD student. The subject coverage is not specific to each student, but is the same for a broad subject category within each Graduate Division (e.g., applied physics, Chinese linguistics). The Graduate Division may specify that certain papers can be replaced by passing relevant courses at specified grades. There may in addition be an oral component.

5.6   Candidacy Examination or Qualifying Examination

Candidacy examination and qualifying examination are in fact different terminologies for the assessment for PhD students to proceed to the candidature for doctoral degree. The former is used in "articulated" programmes whereas the latter in "non-articulated" programmes.

Students should refer to the study scheme of their own programmes in the Postgraduate Student Handbook for details of the requirements.

For articulated programmes, the maximum period to pass the candidacy requirement, counted from first entry to the articulated programme is tabulated below. A PhD student (pre-candidacy) beyond this maximum period will be discontinued:

Degree	Full-time	Part-time
PhD (entering with a research master's degree)	24 months	32 months
PhD (entering without a research master's degree)	36 months	48 months

However, for non-articulated programmes, the maximum period to pass the Qualifying Examination is defined by individual Graduate Divisions. Please refer to the Postgraduate Student Handbook of individual programmes for the exact information.

5.7   Student IT Competence

The University is well aware of the importance of IT proficiency in the information era. In order to prepare students for this, the University provides a training and test package on basic IT skills. This is also part of the graduation requirements for all students. For more information, please refer to the section "Student IT Proficiency" in the Postgraduate Student Handbook.

A dedicated website is set up for Student IT Competence at www.sitc.cuhk.edu.hk/ for signing up the training course, sample test papers, IT courseware, etc. Students are required to make their own booking for a test session at the IT Learning Centre when they are ready for the Test. Multiple attempts are allowed. Students are advised to take and pass the Student IT Test as early as possible. A late examination fee for IT Proficiency Test at $500 per term will be charged if students have not passed the Test after their normative study period and have completed all the course and thesis requirements.

5.8 Improving Postgraduate Learning (IPL)

While there is no universally accepted approach for teaching students to be more creative in research, there are some basic principles, methodologies and skills with which students can equip themselves in the arduous task of doing research. Many of these information and skills are imparted by the students' supervisors as they work together. However, some skills are cross-disciplinary in nature and can be taught in a more formal or systematic manner, e.g., laboratory safety, searching for and analysis of information, principles and ethics in documentation, presentation skills, and so forth. These courses are collectively referred to as the Improving Postgraduate Learning (IPL) programme and are organized and administratively supported by the Centre for Learning Enhancement And Research (CLEAR).

Most IPL short courses are optional. However, RPg students are strongly advised to take every module that has potential relevancy to their research endeavors. Supervisors and Graduate Division Heads should also promote these modules to their respective students.

The module "Observing Intellectual Property and Copyright Law during Research" is compulsory for all RPg students. This is an online module and relevant information can be accessed from the website of CLEAR at www.cuhk.edu.hk/clear/programmes/programmes.htm.

Different programmes may require students to complete specific IPL modules, such as "General Safety" and "Chemical Safety" or other required laboratory safety courses, depending on the nature of the research project. Students should consult their Graduate Divisions or Supervisors for details.

5.9 Other requirements

Graduate Divisions may prescribe additional graduation requirements for students of their particular field of research. Some of these requirements are listed below as examples:
- Language requirement, e.g., knowledge of spoken Cantonese and written Chinese may be required for some courses taught in Cantonese and English
- Graduate Divisions may specify a minimum cumulative GPA (e.g., 2.0) for graduation
- Additional requirements for individual students may be set up by the Graduate Division or the Supervisor, depending on the academic progress of the students

5.10 Course and unit exemptions

Students who have completed comparable courses may apply for exemption from some courses and/or units by taking the following actions:

(a) check their eligibility by reading the *Policy on Course and Unit Exemption for Postgraduate Students* (available in the Postgraduate Student Handbook)
(b) consult the Graduate Division concerned on the possibility of granting course and unit exemption
(c) complete the prescribed application form (can be downloaded from www2.cuhk.edu.hk/gss/)
(d) pay the required fee
(e) submit the application together with any required supporting documents and receipt of payment to the Graduate Division concerned

The decision in each case will rest with the recommendation of the Graduate Division Head concerned and subject to approval by the Dean of the Graduate School on a case-by-case basis, taking into account individual circumstances.

5.11 Research Progress Report

In order to improve supervision, ensure timely progress and encourage broader training, the Graduate School requires that each RPg student, together with his/her Supervisor (thesis supervisor if already assigned, divisional adviser otherwise), to complete a research progress report.

The report form is split into 2 parts: the 1st part deals with the requirement of the whole programme and students/supervisors only need to complete this part once throughout the student's study. The 2nd part is an annual account on the courses/other requirements to be completed by the student every year during his/her studies.

At the end of each academic year, Supervisors will make arrangements with each RPg student to record the progress of the student's academic activities and fulfillment of each programme requirement against the study plan. Students are also able to read the comments put down by their supervisors and indicate their feedback. On the other hand, Supervisors must ensure that the student fulfills the requirements of all coursework, qualifying examination and any other requirements for graduation.

5.12 Departmental duties and Teaching Assistant

Undertaking undergraduate teaching during the study period is one of the common departmental duties which is also regarded by both the RPg students and the Graduate Divisions as part of the students' education. All teaching assistants will receive formal training - *Becoming an Excellent TA: Professional Development Course for Teaching Assistants.* The training course will include one tailor-made session for each participating Department, one optional module from IPL courses, with assessment arranged by the Department as follows:

Part I: Common session (usually run by CLEAR in each Department)
- How to run tutorials / How to be a laboratory demonstrator (with sharing sessions from experienced TAs from departments)

Part II: Additional IPL modules (at least one must be chosen)
- Introduction to Teaching Learning
- Presentation Skills Workshop
- Communication Skills Workshop
- Power of Voice

Part III: Assessment done by Department
- Departments assess students on their presentation and teaching skills by means of individual presentation, seminars or class observation.

In addition, the Cantonese class organized by the Postgraduate Hall and the Chinese Language Centre are well-received and will continue to provide training for non-local Teaching Assistants.

5.13 Safety and environmental issues

At CUHK, high standards of occupational safety and health are integral management objectives on a par with excellence in teaching and research. The University recognizes that the benefits to be gained from successful occupational safety and health programmes are great, both in human and monetary terms. CUHK is devoted to cultivating a positive safety culture through the concerted efforts of all departments/units.

The University Safety and Environment Office (USEO) co-ordinates activities to support this mission, including provision of safety manuals and guidelines for the University community, organizing health and safety talks and training courses such as *Getting to know the Safety Instructions of Chemicals, Safety Talk on Manual Handling Operation and Prevention of Back Injuries, Safety Talk on Health Hints on the use of Display Screen Equipment.* USEO also coordinates a list of departmental safety officers. Students and staff may contact USEO directly or the departmental safety officers if they need advice on safety issues. The Office's website is www.cuhk.edu.hk/useo/.

CUHK also seeks continually to improve the environmental quality of the campus to provide a congenial environment for teaching, learning and scholastic activities. The University is committed to ensuring that all activities run by the University are conducted in an environmentally responsible manner and has adopted the following guidelines in pursuance of this commitment:

- build a clean and green campus congenial to the fulfillment of the purposes of the University;
- comply with all applicable environmental legislation, standards and regulations;
- avoid, reduce or control environmental pollution arising from our activities and to require our contractors to adopt and implement similar environmental measures;
- seek continual improvement in the efficient use of energy and other natural resources;
- raise environmental awareness among staff and students and set the University as a model in environmental education and environmental management;
- ensure good management practices by reviewing them regularly and ensure that they are tuned to the changing internal and external circumstances.

The University also endeavours to care for and protect trees and preserve a green environment. For further information on tree preservation on campus, please visit www.cuhk.edu.hk/useo/eo/policy.html and www.cuhk.edu.hk/greencampus/b5/communication/tree-preservation-oncampus.pdf.

5.14 Language policy

CUHK is a bilingual (Chinese and English) university. The University has three goals related to language proficiency at the postgraduate level:

(a) At the time of admission, ensure a proper alignment of the language proficiency of students in a postgraduate programme with the language of instruction within the program.

(b) After admission, ensure that postgraduate students have the opportunity to continue strengthen their language proficiency as is relevant to the postgraduate programmes in which they are enrolled.

(c) Provide postgraduate students, especially those admitted with no prior exposure to the Chinese language and Chinese culture, opportunities to acquire such exposure before their graduation.

Currently, there is a university-wide English language proficiency requirement for admission into postgraduate programmes. In addition, the existing policy requires each Graduate Division to adopt one of the following three arrangements:

(a) offer all relevant postgraduate courses in English;
(b) offer all relevant postgraduate courses in English and/or Putonghua;
(c) use Cantonese in some relevant postgraduate courses.

Graduate Divisions opting for (a) may accept non-local students. Those opting for (b) may accept non-local students from China as well as non-local students from outside of China who have demonstrated ability to follow lectures in Putonghua. Those opting for (c) may accept non-local student from outside of Hong Kong who have demonstrated ability to follow lectures in Cantonese. The combination of this policy and the university-wide English language proficiency requirement ensure a proper alignment of the language proficiency of students with the language of instruction of programmes.

Recent statistics shows that the majority of postgraduate students at the university are proficient in Chinese as well as in English, though there is a small number of overseas students who do not have prior exposure to the Chinese language and the Chinese culture. The University deems it desirable that these students, at least doctoral students who will spend three years or more at the University, have some such exposure while they are attending the University. They will be encouraged to take at least one course in Chinese language and culture, though this will not be regarded as a degree requirement. A large variety of such courses are offered at the University.

In addition, postgraduate students will have other language needs while in attendance at the University. They might wish to strengthen their proficiency in Chinese (Putonghua and/or Cantonese) and/or English for academic, professional or other purposes, the programme in which they are enrolled might have specific needs for proficiency in a certain language (such as proficiency in Japanese in the Japanese Studies programme), or the programme might for general educational purposes have a third language requirement. The University will continue to ensure that appropriate language courses are offered through the relevant units, including the Department of Chinese Language and Literature, the Chinese Language Centre, the English Language Teaching Unit, the Department of Modern Languages and Linguistics, and other relevant departments.

6.1 Assessment of academic performance

Assessment of a student's academic performance may take various forms: class work, written work, laboratory performance, field work, research papers, assignments, tests, oral defence and any other method of academic assessment.   More than one method of assessment may be used in one course. The specific method(s) and the relative weight of these methods (e.g., written assignment X%, mid-term test Y%, final course examination Z%) are spelt out in the course assessment scheme which is designed by the teacher responsible and approved by the Examination Panel of each Graduate Division.   It should be announced to students as part of the course outline at the early stage of the academic term.

6.2 Course grades

The University adopts the 4-point grade point system for grading students' performance.   Course grades, their standards and converted points to be used in reporting are as follows:

Grade and Standard	Sub-division (if needed)	Converted Points
A Excellent	A	4.0
A- Very Good	A-	3.7
B Good	B+	3.3
	B	3.0
	B-	2.7
C Pass	C+	2.3
	C	2.0
	C-	1.7
D Failure	D	1.0
F Bad Failure	F	0.0
P Ungraded Pass	Counted towards the total no. of units gained but not	
U Failure (Unsatisfactory Performance)	in the calculation of the grade point average (GPA).	

The GPA of a student's course work is computed by dividing the total weighted converted points for courses taken by the total number of units attempted inclusive of courses failed, where the weighted converted points are converted points multiplied by the number of units of the course concerned. Courses graded by "P" and "U" will not count in the calculation of the GPA.

A student who has gained "D" or above or "P" in a course will earn the unit(s) of that course.   The units of courses repeated/retaken will count only once in the total units gained by the student.   A student receiving a failure grade in a required course must repeat the course or take an approved substitute course.

6.3 Course grade distribution

While the grade of B is set as an average grade for teachers' reference in course assessment, the Graduate School grade distribution guideline for the students who pass is as follows:

Grade	Cumulative Average %	Cumulative % Range of Students (excluding failure cases)
A	5%	0 – 10%
A- and above	25%	20 – 30%
B- and above	75%	60 – 90%
C- and above	100%	90 – 100%

For courses with enrolment below 20, NA 2.0, teachers should exercise their own judgment rather than adhering rigidly to the distribution guideline.

Faculties and Graduate Divisions may request for deviation from the Graduate School guidelines with justifications.   Enquires of the details may be directed to the Graduate School Office or the Graduate Divisions concerned.

6.4 Examination administration

Course examinations are administered either by the Registration & Examinations Section or the Graduate Divisions concerned.   The former is responsible for administering the Centralised Course Examinations for Undergraduate students, in which Postgraduate students taking Undergraduate courses will be included.   The latter is responsible for administering examinations only for their Postgraduate students.

Students who are unable to sit for any examination due to illness or other compelling reasons should apply in writing with documentary evidence to the Graduate School as early as possible but not later than 10 days after the examination.   The Graduate School will determine in consultation with the Graduate Division concerned what follow-up action is required.   A student who is absent from an examination for non-medical reasons without prior permission will be considered as failing in that examination.   No supplementary examination is allowed for students failing an examination.

There are rules to be observed by candidates at examinations.   For more information, please refer to the Postgraduate Student Handbook at the website of the Graduate School and additional/specific rules to be prescribed by the Graduate Divisions/course teachers.   A candidate who violates any of the rules regarding examinations shall be disciplined in accordance with the nature and gravity of the offence.

6.5 Unsatisfactory performance

A student is required to discontinue students if his/her performance is unsatisfactory.   The definition of unsatisfactory performance from 2010-11 onwards is as follows:

(a)   the cumulative grade point average is 1.0 or below, or

(b)   the student fails to have probation lifted after being put on academic probation for two consecutive terms of attendance, or

(c)   additional requirements laid down by the Graduate Division concerned are not satisfied.

On the other hand, a student shall be put on academic probation if the cumulative GPA is below 2.0 in the preceding term or upon receiving a failure grade in a thesis monitoring course unless he/she is required to discontinue from study. If at any time the Supervisor is of the opinion that a student is not making satisfactory progress or is unlikely to attain the standard required for the degree, and the assessment is endorsed by the Head of the Graduate Division concerned and by the Graduate Council, the student shall be required to discontinue studies or may be advised to transfer to a course of study for a master's degree in the case of doctoral students.

7.1 Preparation for research and thesis writing

The main output of a research student is probably the thesis.　In fact, the eligibility of a student for award of degree is assessed by the Thesis/Assessment Committee on the basis of:
(a) the thesis or portfolio,
(b) an oral examination, and
(c) if required, a written examination

In an attempt to collect and distribute key learning and research materials to RPg students, the Graduate School has published a booklet, *Research and Thesis Writing*, which focuses on the structure of a thesis and provides advice on the areas of research and thesis writing that students have most difficulty in completing satisfactorily.　The booklet is comprised of 6 chapters:

Chapter 1: Beginning research – particularly how to select a research topic and work with a supervisor
Chapter 2: Effective use of information – guides students through searching for research information online and helps them develop skills and techniques for using library resources
Chapter 3: Structuring a thesis – outlines the main components of the structure of an academic thesis
Chapter 4: Writing a thesis – focuses on the actual writing of a thesis
Chapter 5: Proofreading – focuses on proofreading and suggests a number of ways of checking for inconsistency in thesis content and structure at micro and macro levels
Chapter 6: Guide to thesis formatting – contains information about the requirements for formatting a thesis, based on the regulations of the Graduate School

The booklet is the output of team efforts of various departments at CUHK.　RPg students are advised to read the booklet carefully before they formulate their research plan.　It is accessible via the Graduate School Platform (Students).

7.2 Procedures

Procedures of tasks relating to submission of the thesis/portfolio are summarized in the following table. Each task will be discussed in more details in the sections to follow.

Event/Time	Tasks of students	Tasks of Graduate Divisions
Declaration of intention to submit thesis/portfolio – 6 months before actual submission	Complete and submit Form TAS-1 with 1-2 pages summary/abstract of thesis/portfolio	- Supervisor and Division Head to approve proposed date for thesis/portfolio submission and proposed thesis/portfolio title - Division to forward signed Form TAS-1 to Graduate School (GS), with nominations of Thesis Committee members on Forms TAD-1A/TAD -1B (Master's) or Form TAD-1C/TAD-1D (doctoral).

Appointment of Examiners – after approval of nomination		Division Head to inform Internal Examiners (IE) of their appointment
Change of thesis/ portfolio title – after approval of thesis/ portfolio title	Complete and submit Form TAS-2 to Division for approval	Supervisor and Division Head to approve and forward signed Form TAS-2 to GS
Change of Thesis/ Assessment Committee		Complete Form TAD-2A / TAD-S1 and forward to GS
Deferment of Thesis/ Portfolio Submission – Delay in submission of thesis/portfolio beyond the original proposed date	Complete and submit Form TAS-3 to Division for approval	Supervisor and Division Head to approve the application and forward signed Form TAS-3 to GS
Submission of Thesis/ Portfolio – according to the proposed date of thesis/portfolio submission	Submit to GS: - copies of thesis for dispatch to External Examiner(s) - an abstract of thesis/portfolio in both Chinese and English - a soft copy of the thesis (sealed in CD-ROM) - completed Forms TAS-4, TAS-5 and TAS-6 - receipt of binding fee (Master's) or microfilming fee (doctoral) Submit to Division: - copies of thesis (for IEs)	Division to distribute thesis/ portfolio and Form TAD-3 (Thesis Assessment Report) to IEs
Oral Examination – after submission of thesis / portfolio to Division & GS	Attend an oral examination	Division to arrange oral exam within 4 months (doctoral) or 2 months (master's) of thesis submission.
Assessment Reports – immediately after oral examination		Division Head to collect IEs' reports and complete Form TAD-5
Assessment Results – available upon completion of assessment process	- may check progress on GS Platform (Students) - act according to instruction of Division/GS (For follow-up actions on different final grades, please refer to the relevant sections below.)	Division Head to: - complete and return Forms TAD-5, TAD-6, TAD-7 to GS with a copy of IE's reports - copy the above forms to Supervisor, with a copy of all Examiner's reports - copy Form TAD-6 (with Part A of examiners' assessment report) to student for information and follow up action - provide justification to GS for case of Grade IV Supervisor to give advice to student, if applicable

7.3   Declaration of intention to submit thesis/portfolio

Students have to declare their intention to submit the thesis/portfolio 6 months before actual submission, by completing and returning the "Declaration Form on Intention to Submit Thesis/Portfolio" (Form TAS-1) to the Graduate Division concerned.   The form includes the proposed date of submission and the thesis/portfolio title (with 1-2 pages of summary/abstract of thesis/portfolio), for approval by the Supervisor and the Head of Graduate Division.

If the intended date of submission is to be more than 3 months ahead of the end of the original normative period, permission of the Graduate Council is required.   Since the normative period will end 3 months after the intended date of submission, permission to shorten normative period will be handled at the same time.   There will be no separate channel for applying to shorten the normative period.

A PhD student (pre-candidacy) cannot submit a thesis.   He/she must first proceed to PhD (post-candidacy) before he/she can do so.   All students are not allowed to submit thesis during leave of absence.

7.4   Thesis/Assessment Committee

Upon approval of the thesis/portfolio title and the proposed date for submission, the Graduate Division will proceed to nominate members of the Thesis/Assessment Committee to evaluate the student's thesis/portfolio for acceptance for the degree sought and provide the student with an opportunity to defend the thesis/portfolio.   The composition of the Committee is as follows:

(a)   Chairperson – the Head of Graduate Division or his/her representative (The Supervisor/ Co-supervisor should NOT serve as the Chairman of the Thesis Committee)

(b)   At least 3 Internal Examiners –
    (i)   the student's Supervisor,
    (ii)   the Head of Graduate Division or his/her nominee, and
    (iii)   a third Internal Examiner from within or without the Graduate Division

    The Internal Examiners must be academic staff of the University, except that within 3 months after his/her retirement/resignation, a teacher may continue to serve as Supervisor/Co-supervisor (Internal Examiner) of the student.

(c)   External Examiner – The External Examiners must not be members of the academic staff of the University.   Anyone who has been on the teaching staff of the University and who has taken part in the teaching of the candidates, even in a visiting capacity, within three years and anyone expected to join before assessment is completed, is not eligible for appointment as External Examiner.   In addition, they must be at least Senior Lecturers in the Commonwealth system or Associate Professors in the American system, unless no other suitable academic of appropriate rank (world-wide) is available, taking into consideration the language used in the thesis/portfolio. Two External Examiners will be appointed to assess the thesis/portfolio of a part-time doctoral student who is a full-time staff member of this University of the rank of Assistant Lecturer or above.   All nominations of External Examiners must be approved by the Senate and University

Council.

7.5 Thesis proposal and defence of proposal

The thesis proposal and its oral defence can take different forms according to the traditions of different disciplines. In the humanities and social sciences, it may consist of the submission of a written thesis proposal (which will include a description of the research methodology, possibly with pilot data), a presentation followed by an opportunity to be orally examined by a panel. In the sciences, it may take the form of an oral presentation of the research planned and undertaken. Graduate Divisions may also decide that the submission or acceptance of a journal paper, conference paper or even preprint would satisfy this requirement.

7.6 Submission of thesis/portfolio

RPg students should submit their thesis/portfolio (bound in a temporary form) according to the proposed schedule, unless permission to defer has been obtained. In case the supervisor finds that the thesis is not suitable for submission, he/she will forward the thesis to the internal examiners for a decision. If there is any disagreement among the internal examiners, the case will be referred to the Head of the Graduate Division.

It is advisable to note the following before a student submits his/her thesis/portfolio:

(a) Timing - Since the congregation for conferment of higher degrees is usually held in November/ December, submission of theses/portfolios by the end of May (for doctoral students) or the end of June (for Master's students) guarantees conferment of degree within the same year. If revision/re-writing is required, submission of the final version of thesis before August 31 of the same year also guarantees conferment within the year.

(b) Formatting – there are specific requirements for thesis formatting such as order of contents, margins, paper size, citation styles, etc. For details, please refer to *Guide to Thesis Formatting* of the *Research and Thesis Writing* booklet. Illustrations and samples are given there.

(c) Number of copies
The number of copies to be submitted depends on the number of members of the Thesis/ Assessment Committee (to be informed by the Graduate Division). Except for the copy to External Examiner(s) to be submitted to the Graduate School, all other copies must be submitted directly to the Graduate Division. Students should also submit a soft copy of the thesis (sealed in CD-ROM) to the Graduate School for record purpose. The hard copy will be sent to the External Examiner(s) for assessment, and the soft copy will be retained at the Graduate School until the end of the assessment processes. It will be discarded once the processes are completed.

(d) Required documents and fees
The thesis must be submitted together with completed forms and required fees. Please study details in the *General Information for Research Postgraduate Students* carefully well in advance to avoid delay in submission.

7.7   Oral examination

After dispatch of the thesis/portfolio to the Examiners, an oral examination will be held by the Thesis/Assessment Committee.   Normally, such an examination will be held within 4 months after the submission of the thesis/portfolio for doctoral students, and within 2 months for Master's students.

Presence of an External Examiner at the oral examination is required for doctoral programmes only. Where the External Examiner is unable to be present at the oral examination, an additional External Examiner who will attend the oral examination and have the same responsibilities as the first external examiner will be appointed.

The Graduate Division will inform the student of the date and the venue of the oral examination.   The oral examination covers not only the subject matter of the student's thesis/portfolio but also the knowledge in related fields deemed essential to his/her field of specialization.   The Chairman of the Thesis/Assessment Committee controls the conduct of the oral examination to ensure that questions are put fairly and that the student is given adequate opportunity to answer them.

If a thesis/portfolio is considered adequate and of an acceptable standard but the student fails in the oral examination, the Thesis/Assessment Committee may recommend another oral examination.   For the doctoral degree, such examination must be held within a period not exceeding 12 months.   A doctoral student who fails a re-examination shall not be eligible for any further examination.

Even if the Examiners consider that a student's thesis/portfolio is not of sufficient standard for the award of the degree sought, a student may, at the discretion of the Thesis/Assessment Committee, be given an oral examination to defend his/her thesis/portfolio.

7.8   Written examination

Any written examination, if required, will be arranged by the Graduate Division concerned.

7.9   Assessment result of thesis/portfolio and follow-up actions on different final grades

Examiners are normally given a period of five weeks for assessment of the thesis/portfolio.   Students may check the progress of this assessment process on the Graduate School Platform (Students). Upon receipt of all Examiners' reports, the Thesis Committee Chairman will decide on a final grade within 4 weeks and, on the "Notification to Student on Results of Thesis/Portfolio Assessment" (Form TAD-6), inform the student of the final assessment result and the follow-up actions required.

If revisions are required, the Supervisor must ensure that corrections are made satisfactorily within a specified period of time, and no later than 3 months.

The grading system of the final grades for the thesis/portfolio and the follow-up actions on different final grades are shown in the following table:

Grade	Status	Follow-up Action	Letter Grade
I	Pass	(a) If revision is not required, the student will be recommended for award of degree (b) If revision is required, the revised thesis should be inspected by supervisor(s) before the student is recommended for award of degree. Documents to submit to GS: - for (b), final version of thesis - completed form TAS-7 - completed Agreement Form for microfilming of thesis/portfolio (doctoral students)	A to C-
II	This submission NOT passed. Re-submission allowed and re-examination required	- revise and re-submit thesis/portfolio to Thesis/Assessment Committee (repeat submission process mentioned in earlier sections) - pay re-submission fee and continuation fee (if applicable)	—
III	Failure - no re-submission allowed	GSO will follow up with the student to discontinue studies	—
IV	Recommended for award of Master's degree (for doctoral programme)	- Graduate Division to provide justification for the recommendation (award of Master's degree) for consideration of GCExCo - Wait for decision of GCExCo and Senate	—

7.10 Re-submission

A student whose thesis/portfolio is not passed but re-submission is allowed and re-examination is required must re-write and re-submit the thesis/portfolio to the satisfaction of the Thesis/Assessment Committee before being recommended for the award of degree. Such re-submission must be made within 12 months from the date of the official notification of the result of the first examination and within the student's prescribed maximum period of study. Only one re-submission of thesis/portfolio is allowed.

A student who fails to submit the final version of thesis within one year from the date as specified by the Thesis Assessment Committee will be required to discontinue studies.

7.11 Deferment of submission of thesis/portfolio

To delay submission of thesis/portfolio beyond the originally proposed date, the form for "Application for Deferment of Submission of Thesis/Portfolio" (Form TAS-3) should be completed and forwarded to the Graduate School for record via the Supervisor and the Head of Graduate Division. Deferment must NOT exceed the maximum study period. Please also note that deferment in submission of thesis/portfolio may result in delay in graduation to the next academic year.

7.12 Copyright of RPg theses

The University decided in 2007-08 that students should hold the copyright ownership of their thesis/portfolio. However, to provide a wider accessibility of the theses for scholastic and academic purposes, students are requested to sign an agreement to grant the University a worldwide irrevocable, non exclusive right in respect of the copyright in the thesis/portfolio for the purpose of making copies, abstracts, reproducing or otherwise dealing with the theses/portfolios by whatever means, including but not limited to, digitizing, storing, reproducing, and distributing the theses/portfolios in any media and in any format, provided that any and all such acts are only for scholastic and academic purpose and with proper acknowledgment of authorship.

For theses/portfolios submitted before 2007-08, the University retains the copyright of each of the theses/portfolios submitted. A request may be made to the Dean of the Graduate School to grant permission to release this copyright to anyone intending to use a part or whole of the materials in any thesis/portfolio in a proposed publication. The students/graduates are expected to give due acknowledgement of their Supervisors' guidance (in case of a translation, students should seek the approval of the original author). Photocopying of theses/portfolios may be made for "fair use" for the purposes of research or private study, without the express permission of the Dean of the Graduate School, in accordance with the prevailing guidelines for copyrighted works.

7.13 Thesis grades requiring GCExCo attention

All theses which were given grade C or C- by the External Examiner or with a significant discrepancy in grades will be brought up to the Executive Committee of the Graduate Council for attention.

8.1   Assignment of Supervisors

A Supervisor is a full-time academic staff of a Graduate Division who is assigned by the Graduate Panel concerned to provide training to students and guide them through their studies.   The topics/areas available for thesis research, together with the names of the teachers who can supervise these topics/areas are made known to students by the Graduate Divisions.   The student, on the other hand, should make his/her preference known to the Graduate Panel.

A Supervisor is supposed to:

(a) be familiar with rules and regulations of the University, in particular those concerning postgraduate studies
(b) participate in activities as requested by his/her Graduate Division in support of the running of programmes of studies
(c) identify eligible and appropriate applicants for admission to his/her programme of studies
(d) identity problems and difficulties encountered by his/her students and advise them

The Graduate Panel may approve any change in Supervisor requested by the student in his/her first year of study according to prescribed procedures; or the student may make a direct application to the Dean of the Graduate School if the intended Supervisor has agreed to the change.   The Dean will consult the Head of Graduate Division, the Department Chairman and the Faculty Dean before making a decision.

After the first year of study, change of Supervisor or appointment of Co-supervisor may be made by mutual agreement of the Supervisors concerned, and approved by the Head of Graduate Division and the Dean of Graduate School.

A Supervisor should not at any one time supervise more than a specified number of research students (including continuing students), to be determined by each Faculty.   The Head of Graduate Division may give approval to a teacher (other than himself/herself) to exceed the limit by 2.   Further exceptions and exceptions for the Head of the Graduate Division himself/herself may be considered by application to the Dean of the Graduate School.

If a Supervisor for whatever reason becomes unable to supervise before the student's thesis/portfolio is completed, the Head of Graduate Division should ensure that a suitable Co-supervisor (who may become Supervisor when necessary) is appointed as soon as possible.

8.2   Eligibility requirements of a Supervisor

For Master's programmes, the Supervisor should be a full-time member of the Academic Staff with an academic title of Assistant Professor or above at CUHK, and in addition should either

(a) have held a PhD degree or equivalent for at least one year; or

(b) have held a Master's degree by research or a relevant professional Master's degree for at least 3 years, and have (i) successfully co-supervised an MPhil thesis or equivalent, or (ii) successfully supervised an MPhil thesis or equivalent at another institution.

For doctoral programmes, the Supervisor should be a full-time member of the Academic Staff with an academic title of Assistant Professor or above at CUHK, and in addition should have held a PhD degree or equivalent for at least 3 years, and have either

(a) successfully supervised an MPhil thesis or equivalent, or

(b) successfully co-supervised a PhD thesis or equivalent, or

(c) successfully supervised a PhD thesis or equivalent at another institution.

In the case of a doctoral candidate who is also a member of the academic staff of the University, all Supervisors must be teachers of the rank of Senior Lecturer or above. Furthermore, if the candidate is of the rank of Senior Lecturer or above, the appointment of Supervisor will have to be submitted to the GCExCo for approval.

Staff members who have queries on the above, please refer to the *Guidelines and Procedures for Research Postgraduate Programmes* distributed by the Graduate School Office to Heads of Graduate Divisions.

8.3 Induction of new supervisors

The Graduate School currently maintains a list of supervisors. Supervisor training is being developed as a module under the Professional Development Certificate, with completion being a requirement for first-time supervisors to be incorporated in the supervisor register.

9.1 Graduate School Platform

The Graduate School Platform (Students) is a one-stop shop for students to obtain the following information and services via a personal account at the website of the Graduate School:

- Notices and Schedules
- Handbooks, Regulations and Rules
- Personal Record
- Course Selection and Course Add/Drop
- Academic Report
- Thesis
- IT Proficiency, IPL, Academic Honesty
- Leave
- ePayment System
- Application Forms
- CUHK Webmail

On the other hand, teachers and staff of Graduate Divisions should login to Graduate School Platform (Divisions) for information and functions for their reference and use.

9.2 Language training

Language courses for non-major students are mainly organized by the English language Teaching Unit (ELTU) and New Asia Yale-in-China Language Centre. There are practical language courses, such as Postgraduate Presentation Skills and Putonghua in Business, or courses in special topics like Fiction & Film and TV Commercials.

A Supervisor may include additional language courses in a student's study scheme as the Supervisor considers it necessary or appropriate to improve the student's ability in understanding the literatures in the field of research of the student as well as in the presentation of his/her own ideas and research outputs. Students may also take the initiative to request the Supervisor for adding language courses in their study scheme. In both scenarios, the additional workload is an important point for consideration.

Interested students please visit the websites of ELTU and CLC at www.cuhk.edu.hk/eltu/ and www.cuhk.edu.hk/clc/new/en/ respectively.

9.3 Library resources

The University Library System is the largest reserve of knowledge in the University. It coordinates the collections and services of the University Library and six branch libraries in different locations and with different themes:

(a) University Library: extensive collections in Science and engineering, social science and business administration, pre-clinical medical materials
(b) Elisabeth Luce Moore Library of Chung Chi College: collections in education, music and religious studies
(c) Ch'ien Mu Library of New Asia College: collections in Chinese literature, fine arts and philosophy
(d) Wu Chung Library of United College: this is a multimedia library and it also houses the American Studies Resource Library donated by the USIS American Library and a recently donated William Faulkner Collection
(e) Li Ping Medical Library at the teaching hospital complex in Shatin: covers clinical medical materials
(f) Architecture Library: covers subjects in the buildings industry and environment sciences.
(g) Lee Quo Wei Law Library: it is located within the University Library and services legal information.

Users can borrow books and journals from any library and search items in the Online Public Access Catalogue (OPAC) of the Library System.   The holdings of the Library System as of 30 June 2008 are:

Types of materials	East Asian	Western	Total
Books and bound volumes of periodicals	921,708	1,244,861	2,166,569
Current journal titles	4,289	9,926	14,215

In addition, the University Library System has extensive collections of multimedia materials, microfilms, more than 720,000 ebooks, 96,000 titles of full-text electronic journals and more than 570 electronic databases.   Most of the electronic resources are networked and can be accessed on the web or the Library CD-ROM network (CDLAN) via the Campus Network.

Services offered by the Library System include circulation, books reservation, interlibrary loans, reference enquiries, instructional services, special collections and multimedia services.   Library orientation sessions are organized for new students at the beginning of each academic year. Courses on information literacy and workshops on the use of different library resources are held from time to time.   Some of them are particularly designed for postgraduate students.   Information guides are available at the website www.lib.cuhk.edu.hk.   The Library Newsletter is distributed to users by e-mail.

RPg students may find the *RefWorks* useful in writing their theses.   It is a tool for creating and managing a list of references, building a bibliography and citing references using the list of references, in-text or footnotes, while writing their papers.   For more information, please inquire with the Reference Department of the University Library.

Any user of the University Library System must observe the Regulations of the University Library System.   For details, please refer to the Postgraduate Student Handbook or visit the Library's website as mentioned above.

9.4   Computing resources

The Information Technology Services Centre provides a comprehensive range of IT infrastructure and services and integrates information technology into almost every facet of university life:

(a) Basic computing resources: computers, scanners, digital senders and laser printers are provided at Computer User Areas and computer laboratories in colleges, faculties and hostels.

(b) Internet systems and applications:
   (i)   MyCUHK, the University Information Portal – a personalized access to campus information and various university administrative information systems, such as e-Ticketing, course registration, examination results, accessing libraries and booking medical appointments and sports facilities, through a single gateway.
   (ii) Campus-wide E-mail System (CWEM) – students can receive or send e-mails through the CUHK Webmail system or e-mail clients like Outlook Express.
   (iii) CU Net-TV – watch selected cable channels online. Available channels include local and international news, current affairs and documentary programmes.
   (iv) Other applications – such as access to newsgroups and Bulletin Board Services and publish your homepage on the University personal homepage server.

(c) Services
   (i)   University Campus License Programme - gives students the right to install a range of software products on their own computers, e.g., anti-virus software.
   (ii) IT training – there are workshops and web-based training courses for students to acquire knowledge in multimedia and software applications.
   (iii) e-Learning Platform – learning experience is enriched with the three e-Learning platforms, WebCT, Moodle and CU Forum, which allow students to access online learning materials, submit assignments, participate in class discussion, take quizzes, etc.

(d) Computing Resources for Academic and Research
   (i)   Academic – students can access a powerful and multi-purpose UNIX server which provides data library service, software packages, general UNIX applications and Internet applications for academic computing needs.
   (ii) Research – three High Performance Computing (HPC) systems with huge computational power are available to help researches solve complex and highly calculation-intensive problems. They are a 176-CPU Computational Grid, a 62-CPU Sun Linux Cluster and a 16-CPU Sun Fire 6800 server.

(e) Information security – ITSC has set up an anti-spam and anti-virus gateway to protect the University E-mail system against attacks. Students could also get good practices in IT to safeguard their personal information.

(f) A connected campus – The whole campus is connected to the University Campus Backbone Network via high speed Gigabit Ethernet links. Connections within the campus network are 155Mbps, and can reach even up to 1000Mbps.
   (i)   On campus connections – network ports are available in all classrooms and student hostel rooms. Students can bring their own computer and get connected to the network at a transfer speed of 100Mbps at any time. They can also use the wireless network access at college student canteens, major lecture theatres and most outdoor areas on campus.

(ii) Off campus connections – off-campus users can connect to the campus network either via VPN connection on broadband or 56K modem access. Under the CUHK Wi-Fi Hotspot Partnership programme, student can also enjoy a free Wi-Fi internet access at the hotspots throughout Hong Kong and in other countries.

(iii) HKIX – ITSC manages the Hong Kong Internet eXchange (HKIX) and the Hong Kong Internet eXchange 2 (HKIX2), which act as neutral interconnection points for the routing of intra-Hong Kong and intra-Asia-Pacific Internet traffic. These Internet eXchanges greatly eliminate the necessity for diverting local network traffic outside Hong Kong, providing faster and less expensive paths to local sites.

(iv) HARNET – the campus network is also linked to the Hong Kong Academic and Research Network (HARNET), a local research network which aims at providing the local academic community with high-speed connection to the Internet and the Internet2.

For ITSC services, please visit its website www.cuhk.edu.hk/itsc or the Electronic HelpDesk at helpdesk.itsc.cuhk.edu.hk.

9.5 Housing

(a) On-campus housing - The Postgraduate Halls consist of 6 buildings and offer about 1,000 hostel places. Around 70% of hostel places are allotted to existing students and the remaining 30% to new applicants. Owing to the shortage in hostel places, hostel accommodation is considered on a yearly basis. Full-time RPg students are eligible to apply for hostel residence. However, continuing students are no longer eligible and are recommended to visit the OHIS website for off-campus housing information. Details are given in the following section.

For more information on the Postgraduate Halls, please visit its website at www.pgh.cuhk.edu.hk/.

(b) Off-campus support - Off-campus housing information is available to CUHK students via the Off-campus Housing Information Web (www.cuhk.edu.hk/osa/ohis) which is managed by the Incoming Students Section of the Office of Student Affairs. Information such as accommodation for rental in relevant districts, points to note in signing tenancy agreements, FAQ and useful links, is provided through the OHIS website. There is also online forum for students to share housing information and look for flat-mates.

9.6 Student services

The Office of Student Affairs (OSA) attends to student welfare and helps students take full advantage of their university education. The Office is committed to facilitating students to develop and grow by providing a wide range of relevant services for eligible Pg students as follows:

(a) Career Planning and Development
   (i) Provision of full-time and part-time job information and placement services
   (ii) Organization of guidance programmes, e.g., career seminars, job seeking skills workshops
   (iii) Organization of career development activities, e.g., visits, internship programmes
   (iv) Organization of recruitment activities
   (v) Provision of individual counseling service*

(b) Student Counseling and Development
  (i)   Provision of individual and group psychological counseling services*
  (ii)   Organization of personal growth and self-development groups and workshops
  (iii) Promotion of mental wellness and positive psychology through educational programmes and resource development

(c) Student Activities and Amenities
  (i)   Organization and coordination of student functions/activities
  (ii)   Management of student amenity facilities located in Benjamin Franklin Centre, John Fulton Centre, Li Wai Chun Building and the Cultural Square
  (iii) Provision of swimming pool service

(d) Incoming Student Services
  (i)   Organization of postgraduate student orientations
  (ii)   Liaisons with and provision of advice and support for the Postgraduate Student Association (CUPSA) and other student bodies
  (iii) Enhancement of cross-cultural awareness of both incoming and local students through organizing cultural diversity activities
  (iv)   Provision of off-campus housing information via Internet at www.cuhk.edu.hk/osa/ohis

(*The service is normally made available to full-time RPg students of UGC-funded programmes.)

For details of the above services, please visit OSA's website at www.cuhk.edu.hk/osa.

9.7 Health care

The University Health Service provides a comprehensive on-campus medical, dental and health promotion service to full-time students. There are 7 full-time physicians, 5 dental surgeons and 2 dental hygienists. The health clinic is equipped with a minor operating theatre, dispensary, medical laboratory and physiotherapy unit, to provide primary medical and dental care services. For the appropriate and more serious medical conditions, referrals to specialists can be arranged.

The Health Education Unit organizes regular talks, student activities, awareness campaigns, vaccination programme, and also advises on the special needs of disabled students. The Dental Unit provides both preventive and curative services, as well as dental prosthesis.

Appointments can be made via the telephone, internet or in person. Basically, the medical preventive service is free of charge. The Dental Unit charges a nominal fee.

However, in case of emergency, students should seek prompt treatment at the Accident and Emergency Department of the Prince of Wales Hospital in Shatin or any Hospital Authority hospital. To call the ambulance, please dial 2735-3355 or call the police at 999.

9.8 Student association

RPg students are eligible to join the Chinese University Postgraduate Student Association (CUPSA). Its missions are:

(a) As a bridge of communication between postgraduate students and the University by reflecting students' opinions and views
(b) To organize student activities for the development and well-being of students
(c) To broaden the network and horizons of students by communicating with external groups
(d) Students' team spirit, sense of responsibility, cooperativeness and leadership skills can be nurtured

Please visit CUPSA's website at http://sites.google.com/site/cupsaweb/ for more information and the latest activities.

9.9 Alumni services

Graduation from The Chinese University of Hong Kong is NOT the end of a student's affiliation with the University. Instead, it is the beginning of his/her new phase of relationship with the University. The University treasures the connection with each and every alumnus, and the Alumni Affairs Office (AAO) serves to maintain this link. Its major duties are:

(a) To promote the relationship between the University and the alumni community for the purpose of maintaining a loyal, supportive and reachable alumni community
(b) To publish the "*CU Alumni*" quarterly magazine
(c) To maintain an alumni database system as the mailing list for "*CU Alumni*"
(d) To manage the CU Alumni Credit Card system
(e) To develop new services and new products for CU alumni
(f) To support and assist the establishment and development of all alumni organizations, including the CU Convocation, the Federation of CUHK Alumni Association, and various alumni associations at home and abroad in the promotion of alumni fellowship.

Alumni are invited to visit AAO's website at www.alumni.cuhk.edu.hk/ to keep themselves informed of activities of CU alumni associations worldwide, alumni privileges, alumni events, services for alumni and many other alumni related information. It is also the best way to keep them connected to the network of their fellow alumni, teachers and friends of the University community.

9.10 Other cultural / recreational / sports facilities and services

Besides the above, there are other cultural/creational/sports facilities and services for students:

(a) Sports facilities – 2 sports fields, 3 gymnasia, a swimming pool, a water sports centre, tennis courts, squash courts, badminton courts, basketball courts, volleyball courts, table-tennis rooms, dance studios, fitness rooms, etc.

(b) The Sir Run Run Shaw Hall – a professionally-equipped auditorium suitable for holding ceremonies, assemblies, meetings, lectures, staging concerts, drama and dance performances, film shows and exhibitions.   Please visit the Hall's website at www.cuhk.edu.hk/srrsh for details.

(c) The Office of the Arts Administrator – presentation of arts programmes, promotion and coordination of campus-wide arts activities and provision of education opportunities in the arts for the University's students in relation to their aesthetic development.   The Office's website is www.cuhk.edu.hk/cuoaa.

(d) Parking – Students may obtain parking labels from the Security Unit.   Please refer to the University Traffic and Parking Regulations in the Postgraduate Student Handbook or visit the Security Unit's website at www.cuhk.edu.hk/security_unit/eindex.htm for more information.

(e) MTR Student Travel Scheme – Students may apply for the scheme and enjoy MTR ticket discount. For details, please refer to the website of Office of Admissions and Financial Aid at http://www2.cuhk.edu.hk/oafa/index.php.

10.1 Postgraduate Studentship

Postgraduate studentship (PGS) is available to full-time RPg students and is awarded to them at the time of admission.   Students awarded PGS will receive stipends in return for assisting in the teaching and research work of the Graduate Division.   The current monthly stipend is HK$12,800 for MPhil and PhD (pre-candidacy), or HK$13,400 for PhD (post-candidacy).   This monthly stipend is subject to revision by the University from time to time as it considers fit.

The PGS is a form of financial assistance.   Holders of PGS are not employees of the University.   It is payable monthly in arrear during the normative study period, except in the following situations:

(a) Termination --
   (i)   For students who discontinue or withdraw from studies for whatever reason, the award of PGS will automatically be withdrawn with immediate effect.
   (ii)   The University may terminate or the student may relinquish the PGS award at any time by giving to the other party one month's notice in writing or payment equivalent to one month's award in lieu of notice.

(b) Suspension --
   (i)   The PGS award is tenable in Hong Kong.   Award of the PGS will be suspended for any period of absence away from Hong Kong unless otherwise approved by the University.
   (ii)   The Graduate Division may recommend a suspension of the PGS for a certain period of time if the student's performance is found to be unsatisfactory.
   (iii)   For PhD students (without research Master's) who cannot pass the candidacy requirement by the end of the 24th month of their studies, the PGS will be suspended from the 25th month and will resume upon passing the candidacy requirement.

(c) Curtailment -- The Graduate Division may also recommend a curtailment of the PGS award if the student's performance is found to be unsatisfactory.   To curtail the PGS award, the student's PGS will be reduced by 20%.

(d) Academic probation -- If a student is put on academic probation due to unsatisfactory progress of his/her studies, he/she will be barred from performing teaching or other duties carrying studentships/bursaries, until he/she is advised that probation has been lifted.

The student may submit his/her appeal within two weeks from the date of notification of the suspension/curtailment, to the Dean of the Graduate School who will review the case.   The Graduate School will then notify the student of the result of his/her appeal.

10.2 Grants for Academic Travel and Global Scholarship

(a) Postgraduate Student Grant for Overseas Academic Activities - to provide support for full-time RPg students to conduct academic activities abroad, such as presenting papers at overseas conference or conducting research or academic visits overseas. For attending overseas conferences, preference will be given to applicants who are the first authors of the papers' or whose contribution is at least 50%. For other academic activities, higher priority will be given to those which are directly related to the applicants' research, e.g., field trip for collecting data for thesis, attending workshop/laboratory for acquiring skills which are essential for the applicants' research work. In 2007-08, more than $1.9 million were awarded to successful applicants.

(b) Global Scholarship Programme for Research Excellence – China National Offshore Oil Corporation (CNOOC) Grants - to provide basic funding to support academic exchange of RPg student and junior faculty with a selected group of leading research universities. Full-time PhD students are eligible to apply for the Global Scholarship Grant via the Graduate School. In 2007-08, 15 students were awarded the scholarships.

10.3 Other financial assistance and scholarships

Besides the PGS and the grant/scholarship programme mentioned above, there are Government grants and loans, University Bursaries and loans, Scholarships and Prizes, and financial assistance for disabled students. For details and application, please consult the Office of Admissions and Financial Aid via the website www.cuhk.edu.hk/adm/sfas.

10.4 Student fees

Some student fees applicable to RPg students are listed below for reference. For information on other fees, please refer to the Fees table published in the CUHK Calendar. The 2009-10 version of the Fees table can be found at http://www.cuhk.edu.hk/iso/calendar/2009-10/English/fees.htm.

Types of Fees	HK$
Tuition fee for UGC-funded RPg Programmes (per annum)	
Full-time students	42,100
Part-time students:	
- at full-time equivalent factor of 1/2	80,000
- at full-time equivalent factor of 2/3	106,000
- at full-time equivalent factor of 3/4	120,000
Continuation fee (per term)	1/8 of current full-time annual tuition fee
Thesis/Portfolio Examination	
Research Doctoral programmes	2,000
Research Master's programmes	1,500
Re-entry in oral examination (doctoral programmes)	200

Types of Fees (Continued)	HK$
Re-submission of thesis in revised form	
Research Doctoral programmes	1,000
Research Master's programmes	750
Fee for application for course and unit exemption	160
Fee for transcript or certifying letter (per copy)	40
Fee for report on curriculum details	
First copy	120
Each subsequent copy	30
Fee for replacement of graduation certificate (per copy)	800
Fee for replacement of CU Link Card	130
Late Examination Fee for IT Proficiency Test (per term)	500
Administrative fee for award of taught postgraduate degree to PhD student	8,000
Caution money	450
Graduation fee	450
Reinstatement of Studentship	430
Fine for fee payment in arrears	200

Fees are subject to revision from time to time.

10.5 Payment schedule of tuition fee

Tuition fee notes are issued by the Donations and Projects Management Unit (DPU) of the Bursary in electronic format by e-mails to students' Campus-Wide E-mail (CWEM) mailbox two weeks prior to the payment due date. Students are advised to check their mailbox according to the following schedules to receive the fee notes and make payments accordingly:

Students of	During Normative Period of Study	After Normative Period of Study
Doctoral Programmes	Fee notes will be issued every 6 months of study - Full fee	Fee notes will be issued every 6 months of study - Continuation fee if no taught course is taken, or - Full fee if taught course(s) is taken
Master's Programmes	Fee notes will be issued in early September (1st term) and early January (2nd term) - Full fee	Fee notes will be issued every term after the course add/drop period - Continuation fee if no taught course is taken, or - Full fee if taught course(s) is taken

A student in arrears shall be subject to fines. A student in arrears, whether in part or in full, or who has outstanding fines unpaid for more than two weeks shall be considered to have withdrawn from students. The fine for fee payment in arrears is currently $200.

11.1 Academic honesty

The University places very high importance on honesty in academic work and intellectual property, and adopts a policy of zero tolerance on cheating in examinations, plagiarism and infringement of intellectual property. Any related offence will lead to disciplinary actions including termination of studies or employment in respect of students and staff. As such, the University has prepared "Honesty in Academic Work : A Guide for Student and Teachers" which was available at the University's website.

The content of the *Guide* is listed below for easy reference:

Section 1:   What is plagiarism?
Section 2:   Proper use of source material
Section 3:   Citation styles
Section 4:   Plagiarism and copyright violation
Section 5:   CUHK regulations on honesty in academic work
Section 6:   CUHK disciplinary guidelines and procedures
Section 7:   Guide for teachers and department
Section 8:   Recommended material to be included in course outline
Section 9:   Electronic submission of assignments via VeriGuide
Section 10: Declaration to be included in assignments

11.2 Infringement of copyright

The law protects creators for their original works such as books, newspapers, computer programmes, photographs, films, sound recordings and broadcasts. The creators hold the exclusive right to use or may authorize others to use their work – including reproduction, public performance and broadcasting. The Copyright Ordinance provides certain limited exemptions to copyright for learning. "Fair dealing" of a work for research or private study, criticism, review, news reporting, or for giving or receiving instruction in a specified course of study provided by an educational establishment is permitted. Infringement of copyright is a serious offence and may lead to civil remedies or even criminal sanctions. For more information, please visit the University's website at www.cuhk.edu.hk/policy/copyright.

Copyright infringement by CUHK members, such as excessive downloading of electronic content, violates local laws and University license agreements and will subject the user to University disciplinary action. For details of the University's policy on copyright and confidentiality of theses/portfolios, please refer to the *Postgraduate Student Handbook*.

11.3 Disciplinary Committee

The University may take disciplinary action against a student, who violates any rule or regulation prescribed by the University authorities, and/or commits any misconduct such as plagiarism, willful damage to any property of the University, fraud, theft, refusal to comply with regulations, offence of immoral nature, etc. Disciplinary actions may take the form of reprimand, suspension of rights, termination of studies, etc. The Graduate School Disciplinary Committee is a sub-committee of the Graduate Council to handle all academic and non-academic disciplinary matters pertaining to postgraduate students and where appropriate, recommend penalties to be imposed.

Upon receipt of a case involving student discipline, the Committee shall constitute a Disciplinary Panel to examine the case and recommend a course of action. The Panel normally consists of three members of the committee who must not be from the same Faculty as that of the student who is the subject of the complaint.

The subject of the complaint (the student) has the following rights:

(a) He/She is allowed to raise objection to any member of the Disciplinary Panel formed for his/her case, giving reasons therefor. The Chairman of the Committee is the authority for ruling on such objections.

(b) He/She has the right to request for a meeting with the Disciplinary Panel before a decision on his/her case is taken. He/She is also allowed to meet the Panel, as the case may be, with an accompanying person whose identity should be limited to: University staff member, fellow University students, parent, sibling, spouse or registered guardian.

(c) He/she has the right to appeal against the verdict and/or penalty passed by the Panel, giving reasons therefor. The matter will then be referred to the Senate Committee on Student Discipline.

12.1 Grade appeal process

Grade appeals are officially handled by the Examination Panel of each Graduate Division concerned. However, it is advisable that students who wish to initiate a grade appeal should first approach the teacher responsible and discuss with him/her regarding expectations of both parties. This will provide a chance for both parties to review the examination script, paper or any other form of student work which has been assessed, together with the relevant course assessment scheme, grade distribution guidelines, etc. If a resolution acceptable to both parties cannot be achieved through this informal process, the student may submit a formal grade appeal to the Examination Panel through the Graduate Division office or the Graduate Division Head within 2 weeks from the date of issue of the academic report for the term concerned. No appeal for grade review will be accepted after the specified period.

12.2 Complaint process

The University is committed to the provision of the highest standard of education for all its students, and to maintaining an environment that facilitates learning to the fullest extent possible. In so doing, the University has established formal complaint procedures so that any current student who has reasonable ground to believe that he/she might have been treated in an improper manner by a staff member of the University, in an academic or non-academic matter, resulting in his/her being directly affected, may lodge a complaint with the University for an independent investigation.

These procedures are based on the principle that complaints will only be considered on matters of procedure that might have resulted in the complainant being unfairly treated, e.g., a complaint about the grade given by a teacher is admissible on possible procedural errors in determining the grade, but not on a teacher's academic judgment or evaluation with which the student concerned might disagree.

Although no student should be discriminated against or penalized for raising a *bona fide* complaint on reasonable grounds, the University also recognizes the rights of individuals who may be wrongfully accused in the circumstances of a complaint. Where it is found that a student has raised a frivolous or vexatious complaints, or used false information in lodging a complaint, the complaint will be dismissed and any ongoing investigation will be terminated. The University reserves the right to invoke its student disciplinary procedure in respect of the student's conduct.

When a complaint is first lodged, the parties concerned should attempt to resolve the matter by informal means as far as possible. If an informal resolution cannot be reached, one or more of the following stages in the procedures should be followed:
Stage 1:   Formal Complaint
Stage 2:   Appeal to the Vice-Chancellor
Stage 3:   Appeal to the Council

A summary of the procedures is shown in the flowchart below:

Procedures for dealing with Student Complaints

Stage of Procedures

Informal Resolution

Stage 1
Formal
Complaint

Stage 2
Appeal to VC

Stage 3
Appeal to
Council
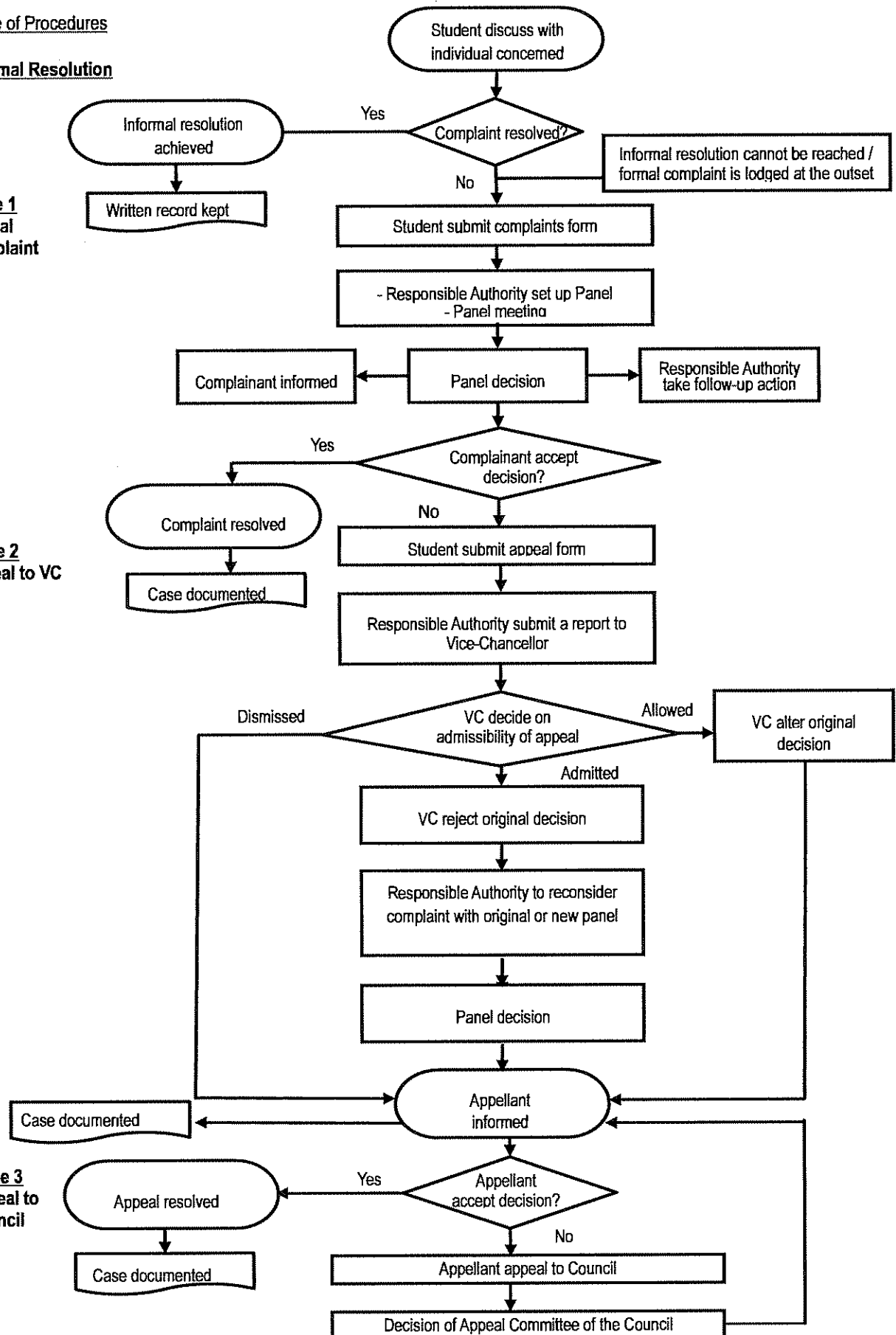
Notes:
- As far as these procedures on student complaint are concerned, there shall be no further appeals beyond the Council.
- The flow chart is only a summarized description of the procedures. Please refer to the full text of the procedures for details.

Students who wish to lodge a complaint should first look at the Procedures for Dealing with Student Complaints at http://www.cuhk.edu.hk/rgs, complete the prescribed Complaints Form and submit it to the responsible authority as listed therein.

Please also note that matters related to student discipline and allegations of sexual harassment will be dealt with by the Senate Committee on Student Discipline and in accordance with the University's prevailing Policy Against Sexual Harassment respectively. More information is given in the following section.

12.3 Policy Against Sexual Harassment

In Hong Kong, sexual harassment is prohibited by law. The University is committed to eliminating and preventing sexual harassment and will not condone any act of sexual harassment committed by its students and staff members as it may adversely affect the learning environment of students and the work of staff members.

There is well-defined mechanism for dealing with allegations or complaints of sexual harassment and for providing proper redress if and when harassment occurs. By clearing stating the University's stance on sexual harassment and putting an appropriate procedure in place, the University aims to cultivate a sense of justice, fairness and openness in the University community in relation to gender equality and the furtherance of mutual respect. For more information on the legal definition and examples of sexual harassment and details of this CUHK policy, please refer to the Postgraduate Student Handbook.

Any staff member or student of the University who (a) has been sexually harassed by another staff member or student; (b) has witnessed an act of sexual harassment committed by another staff member or student of the University; or (c) has been expressly authorized by a victim to act on his/her behalf may approach the Panel Against Sexual Harassment. The current officers designated by the Panel Against Sexual Harassment to deal with enquiries and complaints are:

Name	Phone	Email
Professor Diana Lee, Convenor	2609 6227	tzefanlee@cuhk.edu.hk
Ms. Yvonne Luk, Secretary	2609 8716	yvonneluk@cuhk.edu.hk

The following flowchart summarizes the procedures to handle sexual harassment complaints, which is applicable to both staff and students.

Flow chart on handling sexual harassment complaints

```
                        ┌─────────────────────────────────────────┐
                        │           Allegation received by          │
                        │    the Panel Against Sexual Harassment     │
                        └─────────────────────────────────────────┘
                                          │
              ┌───────────────────────────┼──────────────────────┐
              │                           ▼                        │
        ┌──────────┐                                    If so indicated
        │ Mediation │                                   by the complainant
        └──────────┘
          │      │
    ┌──────────┐ ┌──────────────┐                   ┌──────────────┐
    │ Resolved │ │ Not resolved │ ────────────────▶ │  Complaint   │
    └──────────┘ └──────────────┘                   └──────────────┘
```

Mediation

Investigation and
Appeal procedures

```
        ┌─────────────────────────────────────────────────────────┐
        │                  * Investigation Team                     │
        │   (At least two panelists of different genders) appointed  │
        │   by the Convenor of the Panel Against Sexual Harassment   │
        │             (hereafter "the Panel Convenor")               │
        └─────────────────────────────────────────────────────────┘
                                  │
        ┌─────────────────────────────────────────────────────────┐
        │       Investigation Team to submit a fact-finding report   │
        │                    to the Panel Convenor                   │
        └─────────────────────────────────────────────────────────┘
                                  │
        ┌─────────────────────────────────────────────────────────┐
        │         Independent Reviewer to review the report of the   │
        │                     Investigation Team                     │
        └─────────────────────────────────────────────────────────┘
                                  │
        ┌─────────────────────────────────────────────────────────┐
        │  Panel Convenor to notify the complainant and the complainee │
        │       in writing the findings and recommendations of       │
        │                   the fact-finding report                  │
        └─────────────────────────────────────────────────────────┘
                                  │
        ┌─────────────────────────────────────────────────────────┐
        │          Complainant and complainee to submit             │
        │    their response/appeals, if any, to the Panel Convenor   │
        └─────────────────────────────────────────────────────────┘
                                  │
        ┌─────────────────────────────────────────────────────────┐
        │  Panel Convenor to review the fact-finding report taking into │
        │  account the response/appeals from the complainant and     │
        │        the complainee, and submit a final report to        │
        │                    the Vice-Chancellor                     │
        └─────────────────────────────────────────────────────────┘
                        │                         │
        ┌──────────────────────────┐   ┌──────────────────────────┐
        │ Not constituting sexual  │   │  Constituting sexual     │
        │       harassment         │   │      harassment          │
        └──────────────────────────┘   └──────────────────────────┘
                    │                              │
        ┌──────────────────────────┐   ┌──────────────────────────┐
        │ Inform complainant and   │   │ Inform complainant and   │
        │      complainee          │   │      complainee          │
        └──────────────────────────┘   └──────────────────────────┘
                                                   │
                                       ┌──────────────────────────┐
                                       │ Disciplinary procedures/other │
                                       │     appropriate actions   │
                                       └──────────────────────────┘
```

Disciplinary
Procedures

* Under special circumstances as deemed necessary by the Convenor of the Panel Against Sexual Harassment, a non-staff Council member will join the investigation team to ensure that justice is upheld and seen to be upheld in the process of investigation.

12.4 Personal Data (Privacy) Ordinance

As a data user and a responsible public institution, CUHK undertakes to comply with the requirements of the data protection principles set out in the Personal Data (Privacy) Ordinance, and to ensure that personal data kept are accurate, securely kept and used only for the purpose for which they have been collected. All students are required to comply with all relevant provisions of the Ordinance and observe the following six Data Protection Principles under the Ordinance in the collection, use, disclosure and retention of personal data:

Principle 1 -- Purpose and Manner of Collection: this provides for the lawful and fair collection of personal data and sets out the information a data user must give to a data subject when collecting personal data from that subject.

Principle 2 -- Accuracy and Duration of Retention: this provides that personal data should be accurate, up-to-date and kept no longer than necessary.

Principle 3 -- Use of Personal Data: this provides that unless the data subject gives consent otherwise personal data should be used for the purposes for which they were collected or a directly related purpose.

Principle 4 -- Security of Personal Data: this requires appropriate security measures to be applied to personal data (including data in a form in which access to or processing of the data is not practicable).

Principle 5 -- Information to be Generally Available: this provides for openness by data users about the kinds of personal data they hold and the main purposes for which personal data are used.

Principle 6 -- Access to Personal Data: this provides for data subjects to have rights of access to and correction of their personal data.

For details of the Ordinance and its provisions please refer to the website of the Office of the Privacy Commissioner for Personal Data, Hong Kong at http://www.pcpd.org.hk. Students are also requested to observe the "Good Practices in Information Security", especially the "Guidelines for Securely Managing Mobile Computing Devices and Removable Storage Media" listed in the website of the Information Technology Services Centre (ITSC): http://www.cuhk.edu.hk/itsc/security/gpis/index.html. It is important that any incident or suspected incident of violation of the personal data (privacy) laws such as the loss of devices which carry identifiable personal or sensitive data, is reported to the University as soon as possible so that remedial actions can be taken to prevent or minimize the damages caused to the data subjects, the University and all other parties concerned. Please refer to the "Information Security Incident Report Policy and Procedures" under "Information Security Policies" posted in the above ITSC website.

For further information, please visit the University's website at http://www.cuhk.edu.hk/policy/pdo.

13.1 Course and Teaching Evaluation Questionnaire

Course and teaching evaluation is conducted as a compulsory exercise at the University. Students' opinions about the courses they have taken and about the teacher(s) of the course are collected through the Course and Teaching Evaluation Questionnaire. The results will be used for the enhancement of quality of teaching and curriculum design. The results will also be made known to the students through controlled access.

13.2 Feedback via Progress Report

As mentioned earlier, RPg students meet regularly with their Supervisors and they should make use of these chances to give their feedback to the Supervisors about any facets of their studies and research at the University. In particular, during their meetings for completing the Research Progress Report, their opinions and feedback can be recorded formally for follow-up actions.

Completed Research Progress Reports of all RPg students will be forwarded to the Graduate School Office, which will check each of them. If there are comments which need special attention, the case would be forwarded to the Dean of the Graduate School for perusal and to decide proper actions to be taken.

13.3 Exit survey (Survey on Research Postgraduate Programmes)

Upon graduation, all RPg students will receive a questionnaire, Survey on Research Postgraduate Programmes, from the Graduate School Office. The questionnaire, which can be regarded as an exit survey, is for the quality assurance of the RPg programmes in CUHK. It is not for the assessment of individual performance of teachers or students. The purpose is to collect feedback from students on the quality of supervision and learning difficulties for the improvement of the RPg programmes. Individual responses will be kept strictly confidential.

The survey contains questions on admissions, academic supervision, programme of study and campus life, and also personal information without personal identifiers. Graduating students should make use of this chance to help improve the quality of the RPg programmes and the teaching and learning environments of CUHK.

As stated at the end of the Survey on Research Postgraduate Programmes, "students are most welcome to discuss their problems and/or suggestions with their Supervisor, Department Chairperson, the Head of their Graduate Divisions, the Dean of the Faculty or the Dean of Graduate School".

14.1 Academic Report

The Academic Report is a document showing the grades and GPA of the courses taken in a term. The Academic Report and other relevant information of the academic report, such as the schedule for releasing grades for each term and the guide to the grading system, are available online free of charge via the GS Platform (Students).   However, it is not an official document and is intended for students' reference or records of their academic results.   If a student or a graduate needs a formal document as proof of his/her academic achievements, he/she should apply for a transcript.

14.2 Transcripts

A transcript is usually used as official proof of a student's or a graduate's academic achievements for purposes such as applications for further studies, jobs, scholarship or claims for subsidies from sponsors, etc.   It is a formal document listing the student's or the graduate's personal data, courses taken, grades achieved, GPAs and remarks such as period of leave taken, programme transfer, academic exchange, penalty, etc.   In short it is a record of the academic activities and achievements of the student/graduate during his/her period of study at the Graduate School.

There are two versions of the transcript: the official copy and the student copy.   The official copy is sealed and is to be opened by the addressee only to make sure that it has not been tempered by a third party.   The student copy is issued to students directly.   It is up to the party which requests the transcript whether an official copy is necessary or not.

Applications for transcript could be made by hardcopy or online via the website of the Graduate School Office at a fee.

14.3 Letter of Certification

The Letter of Certification is a letter to certify a student's current status in the University with details of date of admission, Programme, expected date of graduation etc.   For graduates, the Letter of Certification also states the degree conferred and the conferment date.

Applications for the Letter of Certification could be made by hardcopy or online via the website of the Graduate School Office at a fee.   Applicants are advised to state the purpose of their applications so that specific information required will be included in the Letter.

14.4 Report on Curriculum Details

The Report on Curriculum Details is a report in which the study scheme and course descriptions of the student's Programme are listed in details.   It is usually requested by bodies of accreditation or institutions which need to verify the level of academic attainments of the student/graduate.

Applications for the Letter of Certification could be made by hardcopy or online via the website of the Graduate School at a fee.

14.5 Graduation Certificate

The graduation certificate is the official proof of the conferment of degree. There is no need for students/graduates to apply for it. It will be distributed to graduates after the graduation ceremony. The graduation certificate is a unique document and no duplicate copy will be issued. Hence, graduates are advised to keep it in a safe place.

The fee for the Graduation Certificate is included in the Graduation Fee.

14.6 Certified True Copy of the Graduation Certificate

As no duplicate copy of graduation certificate will be issued, graduates may find it helpful to apply for the certified true copy of the graduation certificate for various purposes. Graduates or their representative will need to present the graduation certificate at the Graduate School and the certified true copy will be done immediately at a fee.

14.7 Replacement of Graduation Certificate

In case of loss or damage of the original graduation certificate, a graduate may apply for a replacement certificate from the Graduate School at a fee. However, application for replacement due to change of name after graduation will not be accepted.

A graduate should only posses one valid copy, including the replacement copy, of the certificate, for each degree at any given time. In other words, if a certificate, previously reported lost, was subsequently found, the graduate concerned is required to return any extra copy to the Graduate School Office for destruction.

A replacement certificate follows in general the current format of the graduation certificate, with an additional statement "This certificate is reissued on [DD/MM/YYYY]", and the replacement will also bear the signatures of the current University officers.

For details of the application procedures, please visit the website of the Graduate School Office at www2.cuhk.edu.hk/gss.

Sources of information contained in this Code of Practice

CUHK units:
Academic and Quality Section
Alumni Affairs Office
Centre for Learning Enhancement And Research
Chinese University Postgraduate Student Association
English language Teaching Unit
Information Services Office
Information Technology Services Centre
New Asia Yale-in-China Language Centre
Office of Admission and Financial Aid
Office of Student Affairs
Office of the Arts Administrator
Postgraduate Halls
Registration & Examinations Section
Security Unit
Sir Run Run Shaw Hall
University Health Service
University Library System
University Safety and Environment Office

Websites of other bodies:
Commissioner for Personal Data
Immigration Department of the HKSAR Government

CUHK T&L Action Plan

> References to the sources are in italics, according to the following notation.
>
> | | |
> |---|---|
> | C3 | Commendation 3 in QAC report |
> | A3 | Affirmation 3 in QAC report |
> | R3 | Recommendation 3 in QAC report |
> | 4.8 | Paragraph 4.8 in body of QAC report |
> | AP2.2 | Item 2.2 in Action Plan in SM8.1 |
>
> Respective parties and due dates are identified in a more detailed version kept at the Secretariat of SCTL, but are not shown in this simplified version.
>
> Completed items are indicated by √

A. UNIVERSITY-WIDE ISSUES

1. Administrative matters for the Senate Committee on Teaching and Learning (SCTL)

	Item	Status	Remarks
1.1	Put all papers in archive	√	
1.2	Establish website: membership, meetings etc	√	
1.3	After each meeting put digest on web	√	from 2008–09 onwards to post a briefing note on the web for reference by the University community
1.4	Collate a collection of policies/ guidelines on a new web page	√	webpage on T&L revamped to include major policies/ guidelines
1.5	New membership	√	new composition for SCTL with 2 student members added w.e.f. 2009–10
1.6	Plagiarism software	√	VeriGuide System (previously 'CUPIDE' system) implemented for all Ug and Pg programmes w.e.f. 09/2008
1.7	Academic Honesty webpage	√	webpage updated in light of the implementation of VeriGuide System

2. Policy and strategy issues for SCTL

2.1	Risk management strategy for T&L *[AP2.18]*	in progress	

2.2	eLearning strategy *[R6, 7.5, 7.6] (see also 13.1)*	√		eLearning Strategy endorsed by the University's Academic IT Steering Committee with clear allocation of responsibilities for different task areas
2.3	Ug and Pg course sharing *Ug and TPg sharing courses, and maximum number of units of Ug courses in TPg programmes [R3, 4.8] (see also 16.11)*	√		a policy on course sharing between Ug and Pg, and the guidelines for assignment of level of course codes approved by the Senate
2.4	Multiple coding in general	√		all courses with shared learning activities will be flagged in CUSIS for checking and records keeping
2.5	Unify Ug and Pg grading scales	√		Pg regulations amended
2.6	Service teaching *Development and implementation of service teaching policy for interdisciplinary Ug programmes [AP2.10]*	√		service teaching policy developed and implemented via the Report of the Working Group on the Governance of Courses not Taught by the Host Department, noted by SCTL in April 2008

3. Miscellaneous issues for SCTL

3.1	Good practice *Systematize dissemination of good practice [A7]*	√		workshop on curriculum design and OBA held on 10/12/2008
3.2	Exemplary Teachers *Exemplary Teachers used to greater institutional benefit [10.6]*			
3.3	Programme review templates for 'light' review in 2010 & 2011	√		a template for 'light' review adopted for use

4. Enhance/revamp IF and Programme Reviews

4.1	Determine dates of next cycle and synch with Visiting Committees *Increase speed at which Programme Review is implemented across the University [2.6]*	√		1st round of Ug programme reviews will be completed in mid-2010; next round of Ug review will be in form of a 'light' review and will take place from the second half of 2010–11; TPg reviews will also have completed one full round by 2012

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4.2	Rewrite IF (include all sectors, Visiting Committees, feedback after one cycle) *Incorporate all Ug components into IF [A1, AP2.2]* *University GE should be fully incorporated into IF [A1,12.7]* *Extend IF to language courses [A1, 13.3, AP2.3]* *Extend IF to 334 Faculty Packages [A1, AP2.4]* *Procedures for departmental action plans and monitoring [R4]* *Extend IF beyond major to include all elements of taught provision [2.7]* *Implement IF for programme approval [AP2.5] (Sunset clause) (see also 5.1, 5.2, 16.12 & 19.4)* *Specify Programme Review template in more detail and with greater consistency [5.8]* *Monitoring of departmental annual reports and action plans [5.11, 5.12]* *In programme reviews (principally for professional programme) to include checks on whether programme draws on links with employers and professional bodies for curriculum development [R5, 3.6] ; Potential for greater use of employer and other external input [6.5]*	√	all Core Ug requirements will be included in 'light' review in 2010 & 2011; full review in 2013 will include minors and elective courses and will be coordinated with Visiting Committees; endorsed IF for SD programmes; 3 revised versions of the IF, respectively for SD, Ug and TPg sectors, including all Ug components, and checks on links with employers/professional bodies ready for next round of full review

5. Programme approval

5.1	Sunset and re-approval procedure for SF TPg and sub-degree *(see also 4.2, 16.12 & 19.4)*	√	the Senate approved to set up a Committee on Re-approval of SF Programmes, and the new policy on the re-approval process at its Second meeting (2008–09) held on 17 December 2008
5.2	IF as part of approval process for new programmes *Implement IF for programme approval [AP2.5] (see also 4.2)*	√	see item 5.1
5.3	334 curriculum *Four-year curriculum design available in a form consistent with IF [AP5.1]*	√	template on programme specification for new four-year curriculum, which is in a form

			consistent with IF, disseminated to units of Core requirements and Major programmes for completion

6. Surveys

6.1	Redesign CTE *Improve and systematize CTE [R9] Broader and more systematic data [5.12] Literature on good practice, when to administer, avoid questionnaire fatigue, elicit feedback mid-course if necessary, feedback on multiple teachers [10.11] CTE: Elicit student views on institution-wide elements of teaching: clarity of objectives, usefulness of in-course assessment and the timeliness and usefulness of feedback, overall quality of teaching, library and IT resources, all could provide institutional data for tracking [10.13] Psychometric improvement of locally developed CTE questionnaires [AP3.9] To revise CTE questionnaires to focus on outcomes [AP3.8]*	√	improved CTE Questionnaire piloted and implemented/administered University-wide w.e.f. Term 1 2009–10
6.2	TPg programme surveys *[10.15]*	√	under the auspices of Graduate School
6.3	Alumni surveys *University-wide alumni surveys for Ug programmes [AP2.11]*	√	overall strategies for obtaining annual time-series data five years post-graduation developed and implemented; first data collection in 2008
6.4	Graduate surveys *Fifty percent of Ug programmes to have tailored graduate survey [AP2.12]*	√	Annual collection of time-series data one year post-graduation developed and implemented; first full data collection in 2008; tailored surveys available to all TPg programmes
6.5	Re-examine SEQ	√	Integrated strategy for all surveys developed and implemented, SEQ now part of longitudinal monitoring

6.6	Examine possibility of online surveys	√	a fully functional online survey system is in operation and used in tandem with face-to-face surveys to get optimal data sets
6.7	Rationalize surveys	√	integrated survey strategy for all programmes (sub-degree, Ug and TPg) developed and implemented: sub-degree and TPg through exit surveys; longitudinal time-series data for Ug

7. Assessment

7.1	Develop assessment policy *Assessment policy: frequency; feedback; formative vs summative; marking practices (e.g. anonymous, sample double marking, moderation, marks awarded by TAs and PT teachers); mechanisms and rationale for deviating from guidelines; use of discretion when the External Examiner's advice is not followed by individual teachers; external benchmarking and assurance of standards [R8, A6, 9.3, 9.8, AP3.1]* *Map assessment with course and programme learning outcomes [9.5]* *Assessment: reliance on traditional methods, written examinations; relative weightings; variations in implementing norm-distribution; variations in feedback to students; and lack of clarity among teachers over assessment policies [9.6]* *OBA vs norm-based grading; the place of criterion-based assessment and measures to track and correct grade inflation [9.9]*	in progress	proposed policy of assessment endorsed by SCTL and is under consultation with Faculties
7.2	Policy on academic grievance and appeals *Formal policy on academic appeals, to clarify the position for students and staff [9.11. AP3.2]*	√	policy on academic and non-academic grievance and appeals adopted and put on web, as approved by

			the University Council at its 5th (2009) meeting held on 20 October 2009
7.3	Non-academic complaints (not an assessment issue, but should be considered together with previous item) *Codifying mechanisms for addressing complaints on non-academic matters [7.16]*	√	
7.4	External referencing *Visiting Committees to replace Visiting/External Examiners (approved by Senate) [AP2.6]* *(see also 15.2)* *Visiting Committees: need for external input on exams in years between visits [9.14]*	√	guidelines on the operations of Visiting Committees implemented

8. Course inventory

8.1	Course outlines *Standardize course outline templates; make available on web [R2, 3.8, AP2.9]*	√	standard course-outline templates now in use
8.2	To show student feedback *Course outlines (or elsewhere) to show changes in light of student feedback or why not) [10.12]*	in progress	suggested but not yet implemented, opportunity might exist in the 'light reviews'

9. OBA

9.1	Continue OBA Roadmaps *[A2, AP3.4]*	√	OBA used to drive the normative four-year curriculum design
9.2	Programmes to specify holistic outcomes (Ug) *All Ug programmes to specify holistic outcomes framed at programme level [AP3.3](see also 5.3)*	in progress	all Ug programmes are required to specify outcomes for the normative four-year curriculum
9.3	Programmes to specify holistic outcomes (TPg) *Articulate Pg attributes (language etc) [R1]* *Principles of an aligned curriculum applied to TPg [6.8](see also 16.2)*	in progress	*see 16.2*

10. Experiential learning

10.1	Objectives *Conceptualise objectives of experiential learning and evaluate effectiveness [8.8]*	in progress	the proposal on experiential learning accepted; a trial run of ePortfolio will be launched in 2011–12
10.2	Data *Need for more systematic data collection on experiential learning (e.g. through a student Learning Portfolio) [8.8]* *Learning portfolios [AP4.7]* *Systematic collection of outcomes-based data on experiential learning [AP7.1]*	in progress	the proposal is under consultation with Faculties/ Colleges; collection of data to be built into CUSIS
10.3	Research *Research to assess impact of experiential learning [AP7.2]*	√	one TDG project completed and report disseminated to OSA, OAL and other units; peer-reviewed publication, and international and local conference presentations; a further University-wide TDG project is in progress

11. Student support

11.1	Coordinate and rationalize *Coordinate various academic and pastoral student support agencies [R7, 7.14]*	√	arrangements for student-support services and activities at CUHK endorsed by SCTL for implementation

12. Student participation

12.1	Re-examine student participation in academic committees: Senate, Faculty Boards	√	student participation in academic committees: Senate, Faculty Boards re-examined
12.2	Induction *A formal and structured induction process for new student representatives [11.3]*	√	briefings for new student representatives/members to Senate and Senate committees; Faculties and GS expected to adopt a similar policy for new student members of Faculty Boards
12.3	Full members on SCTL *(see also 1.5)*	√	*see 1.5*

12.4	Pg representation *Increasing postgraduate student representation across the University [11.14] (see also 16.7)*	√	*see 16.7*

13. eLearning, CUSIS, IT support

13.1	eLearning strategy *[R6, 7.5, 7.6] (see also 2.2)*	√	*see 2.2*
13.2	Governance for CUSIS	√	the CUSIS Steering Committee is now responsible for the overall implementation of the student information system, and it is supported by an Advisory Sub-Committee and a Project Management Group
13.3	Project manager for CUSIS	√	the CUSIS Project has two Project Managers, one from CUHK and another from the IBM Consultants; both are members of the Project Management Group, and report to the CUSIS Steering Committee and its Advisory Sub-Committee
13.4	Directive on CUSIS uniformity	√	CUSIS will be implemented with minimal customisation
13.5	CUSIS design	√	CUSIS is designed primarily as an information system, and will be accessed via a Portal so that it will interface with other eLearning platforms and software in accordance with the University's eLearning strategy
13.6	Decide on eLearning platform	in progress	under technical evaluation
13.7	Support migration to Moodle		
13.8	Data and tracking *Broader and more systematic data [5.12]*	in progress	
13.9	IT Proficiency *Continue IT Proficiency test [7.3]*	√	under consideration by the Academic IT Steering Committee

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14. Administrative

14.1	ILC *Re-examine role of ILC [A5, 7.15, AP4.3]*	√	Independent Learning Centre (ILC) transferred out of the Faculty of Arts and brought under CLEAR; attention broadened beyond languages, towards independent learning in a variety of domains; new mission and strategic plan established; its name in Chinese is changed from 「語文自學中心」 to 「自學中心」

15. Miscellaneous

15.1	Library *Better information to student about library services [7.2]*	√	better information about library services provided
15.2	Visiting Committees: set up plans for the 23 cases that should appoint Visiting Committees at the end of 2008–09 *Operational Visiting Committees to replace existing scheme of Visiting/External Examiners [AP2.6](see also 7.4)*	√	guidelines on the operations of Visiting Committees implemented in 2009–10

B. SPECIFIC SECTORS

16. Graduate School

16.1	Overall Pg outcomes (parallel to Ug as in Strategic Plan) *Articulate Pg attributes (language etc) [R1]*	√	approved an overall statement on Graduate Attributes of Pg programmes; all TPg programmes are requested to formulate their own Graduate Attributes statements
16.2	Programmes to specify holistic outcomes (TPg) *Articulate Pg attributes (language etc) [R1]* *Principles of an aligned curriculum applied to TPg [6.8] (see also 9.3)*	√	all new TPg programmes are required to specify learning outcomes in the programme proposals

16.3	Review of RPg policies and procedures *To review procedures [R11]*	√	a Task Force on Management of RPg Students formed to review policies on management of RPg students/programmes
16.4	Enhance RPg progression plans *RPg progression plan [R10]* *Monitoring the effectiveness of recording students' views and comments on their annual progression form: consider the purpose, route for processing; and how the feedback will be used [14.7]*	√	a new progression form introduced for students to read supervisors' comments and indicate their feedback
16.5	TPg to demonstrate aligned curriculum in Programme Reviews *Principles of an aligned curriculum applied to TPg [6.8]*	√	a Task Force on Integrated Framework for Curriculum Development and Review: TPg Programmes formed and recommendations made on TPg programme/ course reviews and feedback collection
16.6	Systematic TPg programme feedback *[10.15]*	√	TPg survey revised and the new questionnaire is being used for this year's (2009–10) graduates
16.7	Student representation *(see also 12.4)* *Increasing postgraduate student representation across the University [11.4]*	√	the representation of Pg students in various University level committees formalized
16.8	Language policy *Clarify bilingual policy Pg level ('aspirational') [13.5]*	√	the Graduate School has worked with the Senate Committee on Language Enhancement (SCLE) to articulate the language policy for Pg students
16.9	Time-series data *RPg: time series of data for follow-up and remedy of potential areas of concern (eg, PT PhD completion) [14.5]*	√	the Graduate School already has mechanisms to use time-series data to inform allocation of RPg quota, the data are also presented to the Graduate Council
16.10	Code of Practice *A Code of Practice for Research Student Education, Training and Supervision [14.8]*	√	a Code of Practice on RPg Studies has been approved by the Task Force on Management of RPg Students and will soon be announced

16.11	Specify max number of Ug (<5000 level) courses that can be used for TPg programmes; course sharing to be dealt with differently *Ug and TPg sharing courses, and maximum number of units of Ug courses in TPg programmes [R3, 4.8] (see also 2.3)*	√	*see 2.3*
16.12	Sunset for TPg programme	√	*see 5.1*

17. Language

17.1	Articulate bilingual policy to Pg *Clarify bilingual policy Pg level [13.5]*	√	*see 16.8*
17.2	Bring into IF *[13.3, AP2.3]*	√	bring language sector into IF starting with an articulation of outcomes
17.3	Track language performance *Define expected outcomes Measure learning outcomes actually achieved in both Chinese and English [13.4] Development of a comprehensive plan for supporting and tracking language performance [AP6.1, AP6.2]*	in progress	
17.4	Curriculum for 334: outcomes, methodology, assessment	√	learning outcomes of English and Chinese core requirement courses drafted
17.5	PCE Foundation courses: review goal and mode of offering	√	elements of PCE courses to be incorporated into the English and Chinese Core requirement courses
17.6	Language course for double cohort	√	planning for the double cohort done
17.7	Management of Yale-China Chinese Language Centre	√	the Centre brought under the Faculty of Arts; renamed from the Yale-in-China Chinese Language Centre 「新雅中國語文研習所」 to Yale-China Chinese Language Centre 「雅禮中國語文研習所」

18. General Education

18.1	External review *External review of GE [AP2.7]*	√	the GE Programme, including University GE (UGE) and College GE (CGE), was reviewed by an internal panel that comprises two external members
18.2	Bring all of GE into IF *University GE should be fully incorporated into IF [12.7]*	√	the University-wide CTE questionnaire used for students' evaluation of all GE courses starting from 2009–10; the University-wide course outline format applied to all GE courses w.e.f. 2010–11
18.3	Bring College GE into QA framework *College GE courses articulate learning outcomes, align them with the University's graduate attributes and assess them rigorously [12.4]* *QA for College GE should be more explicit;t assure minimum standards of provision across the University. There is variability in load on students, type and rigour of assessment, engagement of Faculty in provision, and evaluation of effectiveness. Do this before the planned introduction of the five new Colleges [12.8]*	in progress	UGE and CGE will review their courses to align the course objectives and intended learning outcomes with the overall GE objectives and the University's graduate attributes; existing QA mechanism for CGE will be reviewed to make it more explicit; each College will have a well-defined body for QA, feedback from students and teachers will be systematically collected, regular course review will be implemented; information about alignment of assessments with learning outcomes will be provided to teachers in form of web links and course design guidelines
18.4	Double coding *Review the position where some major courses, or close derivatives, are also offered as GE courses [12.6]*	in progress	a systematic study on double-coded courses has been carried out, and the findings show that students' perceived workload and course level are comparable to other UGE courses; UGE will explore adopting 'shared

			learning activities' in GE course offering

19. Sub-degree sector

19.1	Bring sub-degree sector within SCTL (similar to TPg): Level 4 only	√	sub-degree sector brought under scrutiny of SCTL and Chairman of the University Extension Board made a member of SCTL
19.2	Systematic reporting and scrutiny of sub-degree sector		
19.3	Incorporate into IF (phase 2)	√	endorsed IF for sub-degree programmes
19.4	Sunset for subdegree programmes *(see also 4.2 & 5.1)*	√	*See 4.2 & 5.1*
19.5	JQRC response and follow-up	in progress	a seminar to discuss the action plans in response to JQRC recommendations was held on 14/2/2009; an annual return with supplementary updates were sent to JQRC in January 2010; an interim report will be submitted to JQRC in April 2011

C. PLANNING FOR 334

20. First draft of 334 curriculum

20.1	Draft OBA Roadmaps	√	OBA roadmaps drafted by all Faculties
20.2	Write to Programmes via Faculties: thank for draft, remind final faculty version; communicate expectations for Department OBA for 334 (outcomes, adjustments to deal with intake under 334 who are one year younger and less prepared, the possibly of some bundling in admissions, eLearning strategy, assessment, plans to enhance experiential learning, etc).	√	memo issued in August 2008, programmes to reply by mid-November 2008
20.3	Brief Associate Deans before issue of letter	√	
20.4	Workshop/retreat for experience sharing, December 08	√	

20.5	Provide template for Department write-ups in January 09	√		all departments submitted the 1st drafts of their new curricula; UGC allocated CUHK $40M in support of the new initiatives for the implementation of the normative four-year curriculum
20.6	Provide template for Language curriculum in January 09	√		
20.7	Language courses for double cohort (cf 17.6)	√		
20.8	Provide template for GE curriculum in January 09	√		
20.9	Provide template for PE for double cohort in January 09	√		
20.10	Policy issues concerning the new curriculum to be fixed	√		approved the recommendation on the policy issues by the Senate at its First meeting (2009–10) held on 30 September 2009
20.11	Collate list of service teaching needs	in progress		
20.12	Estimate of increase in FLEs for each cost centre			
20.13	Consolidate into draft Handbook			

D. MISCELLANEOUS

21.1	Write to all External Examiners/Visiting Examiners: thank for help, point to QAC Report, ask to comment on benchmarking issues (what is best practice)	√		

March 2010