# THE CHINESE UNIVERSITY OF HONG KONG

# Progress Report
# on Quality Assurance Council Second Audit Cycle

**March 2017**

THE CHINESE UNIVERSITY OF HONG KONG

PROGRESS REPORT
ON QUALITY ASSURANCE COUNCIL SECOND AUDIT CYCLE

March 2017

1.      **Introduction**

1.1     The Chinese University of Hong Kong (CUHK) is grateful to the Quality Assurance Council (QAC) for conducting the second round quality assurance (QA) audit.  The QAC Audit has provided a good opportunity for the University to reflect on the quality of its teaching and learning (T&L) activities and initiatives on all levels, and identified areas that call for further enhancements.

1.2     In response to the outcomes of the quality audit conducted in March 2015, the University has drawn up an Action Plan to address the recommendations of the Audit Report published in October 2015, for submission to the QAC in January 2016. While most of the items are to be dealt with by existing committees/ units as described in detail in the Action Plan attached, new task forces have been established under the auspices of the University's Senate Committee on Teaching and Learning (SCTL) to specifically work on issues identified in the Audit Report, such as the University-wide assessment policy, development of eLearning initiatives, review of the impact of the Hong Kong Qualifications Framework (HKQF) on programmes offered by the University, and academic QA of The Chinese University of Hong Kong, Shenzhen (CUHK(SZ)).  The SCTL has taken the lead and coordinated among respective committees/ units/ task forces to regularly monitor the progress of the action items. With the concerted efforts of the respective committees/ units/ task forces, the University is making good progress on the implementation and monitoring of all the action items for further enhancement of the educational quality and environment for its students.

1.3     An updated version of the Action Plan summarizing the latest progress of the various action items is in the Annex.  While many action items are still ongoing, plans for further improvement have been formulated in some areas.  The detailed development and progress of the major issues pertaining to HKQF, assessment, eLearning and CUHK(SZ) as identified in the Audit Report and specifically dealt with by the University by establishing new task forces are highlighted in this report in the same order of appearance as that in the Audit Report.

2.      **The HKQF as a Significant External Reference Point**

2.1     The QAC Audit Panel encouraged the University "to ensure that staff involved in programme design and review are aware of the relationship between the framework and CUHK's graduate attributes", and recommended that the University "review its existing elite programmes in terms of the level and volume of work required, using the HKQF as the external reference point" (paragraph 2.6 of *Report of a Quality Audit of The Chinese University of Hong Kong 2015*).

2.2    As an external reference to the HKQF, the University has taken into account in its programme design the Generic Level Descriptors (GLDs) (Levels 5, 6 and 7) of the HKQF, which are embedded in the University-wide graduate attributes of undergraduate (Ug), master and PhD levels.  University policies are also in place on the curriculum structure for Ug and postgraduate (Pg) levels, and for course sharing between Ugs and Pgs that stipulate respectively the volume of work (e.g. total course load, major requirement units), and the level of work for Ug and Pg programmes.  All programmes, including the enrichment/ elite ones, are required to comply with these University policies.

2.3    In light of the QAC's recommendations, a Task Force on Review of External Referencing to HKQF was established under the SCTL to review the impact of HKQF on the requirements of all programmes, including the enrichment/ elite programmes, in relation to both the level and volume of work, and to come up with proposals.

2.4    A review of the curriculum structures of existing enrichment/ elite programmes was conducted by the Task Force with reference to HKQF and the guidelines from the Hong Kong Council for Accreditation of Academic and Vocational Qualifications (HKCAAVQ), as well as the graduate attributes of the University.  Like all other Ug programmes/ streams offered by the University, the Enrichment Stream of the Chemistry Programme under the Faculty of Science and the Engineering Leadership, Innovation, Technology and Entrepreneurship Stream (ELITE Stream) under the Faculty of Engineering for its nine major programmes are in compliance with the University's curriculum structure.  The study schemes of these enrichment/ elite streams were also thoroughly reviewed and refined to better reflect the levels of works of these streams and to ensure that students have the option to graduate without taking Pg courses.

2.5    The opportunity was also taken by the Task Force to review and revise the University's policy "Course Sharing between Undergraduates and Postgraduates and Guidelines for Assignment of Level of Course Code" with regard to the current requirement of a Stream or other variants regarding Ug students taking Pg courses, such that Ug students of a Stream or other variants who cannot fulfill the Pg course requirements can still be able to graduate in his/ her own Major Programme without the Stream.

2.6    To enhance staff awareness of the relationship between HKQF and CUHK's graduate attributes, a mapping of CUHK's graduate attributes with reference to the GLDs of HKQF for Ug and Pg respectively was conducted by the Centre for Learning Enhancement And Research (CLEAR) and the Graduate School (GS).

2.7    Based on these findings, a "Policy on External Referencing to Hong Kong Qualifications Framework", which comprises an overall framework for external referencing to the HKQF at CUHK and constitutes the mapping of the University-wide graduate attributes with reference to the GLDs of the HKQF Levels 5-7, has been developed by the Task Force, endorsed by the SCTL in November 2016 and approved by the Senate in December 2016.  As required by the policy, the learning outcomes of all programmes have to be designed to support the development of graduate attributes, and make reference to the GLDs of HKQF.  The policy is at Appendix 1.

2.8    Plans for further improvement: The use of external reference points and benchmarking, including HKQF, in setting academic standards and assessing the achievements of students, is included as one of the focus areas of the new cycle of programme reviews commenced in 2016.

**3.    Academic Assessment**

3.1    The QAC Audit Panel recommended that the University should pay attention to the need to review and revise its existing Assessment Policy, which was approved by the Senate at its Fourth Meeting (2009-10), and to "develop clear University-wide direction on a number of significant assessment issues" (paragraph (b) of Executive Summary, *Report of a Quality Audit of The Chinese University of Hong Kong 2015*). The Panel also recommended the implementation of criterion-referencing of marks, a clear policy that rescinds grade distribution guidelines with reference to the standards of the HKQF, significant policy and cultural change to embrace and implement outcomes-based assessment, as well as a clear guidance to academic staff on a number of assessment issues, including but not limited to the marking of group work, amount of assessment in relation to the volume of learning, and the level of the course as defined by HKQF (paragraphs 2.15 - 2.19 of *Report of a Quality Audit of The Chinese University of Hong Kong 2015*).

3.2    In light of these comments given by the QAC, and the recent developments in the higher education sector, including the 3+3+4 new academic structure, which have called for debates on the implications of the introduction of outcomes-based approach (OBA) for criterion-referenced *vis-à-vis* norm-referenced assessments, a Task Force was established under the SCTL to review the University's Assessment Policy, as well as the existing assessment practices including grade distribution and honours classification.

3.3    Having reviewed a number of issues relating to the University's existing Assessment Policy and practices, the Task Force recommended a number of revisions to the Assessment Policy.  In order to enhance teachers' ownership of the revised policy, several rounds of consultations have been conducted.  The first draft of the revised Assessment Policy was first discussed and endorsed by the SCTL at its Second Meeting (2015-16) and also subsequently via Circular in June 2016, followed by deliberations by the Deans' Committee in August 2016 and a formal consultation among Faculties in September 2016.  The further revised version was then endorsed by the SCTL in November 2016 after thorough deliberations, and approved by the Senate in December 2016 for implementation with effect from 2017-18.

3.4    The revised Assessment Policy is at Appendix 2.

3.5    The major changes to the Assessment Policy are summarized as follows:

(a)    OBA *versus* grade distribution guidelines

       In view of the QAC's comments, the Task Force has reinforced the spirit of OBA in assessment, which emphasizes the alignment of content, learning activities and

assessment tasks with the desired learning outcomes as defined in the design of courses. As OBA is intrinsically linked with criterion-referenced assessment, grade descriptors should be clearly defined at course level as the basis driving the whole assessment flow, including the forms of assessment, expectations with respect to student achievement, scale of grading student performance, determination of results of assessment etc.

To ensure that assessment is conducted in a fair and transparent manner, grade descriptors should be clearly stated and included in the course outline available for students' information before their registration of courses.

In following the spirit of OBA and the implementation of criterion-referencing in assessment, a "Policy on External Referencing to Hong Kong Qualifications Framework" (Section 2 of this report and Appendix 1) has been implemented, which, together with the revised Assessment Policy, serve to provide a set of clear guidelines to all teachers regarding the assessment task.

(b) Formalization of the recommended code of practices as policies

The Task Force reviewed the statistics on implementation of the recommended code of practice in the current Assessment Policy at Ug and Pg levels, as well as for University Core Requirement (UCR) courses, and found evidence that almost all suggestions in the code of practice had become widely implemented in Faculties/ programmes. The Task Force recommended to formalize such practices as policies to be applied across the board, including:

- establishment of an assessment panel with clearly stated terms of reference for each programme;
- adoption of fair and effective assessment tools for evaluation of both concerted work and individual efforts in group projects;
- formulation of clearly defined guidelines for implementation of peer assessment; and
- setting of reasonable turnaround time in accordance with the nature and complexity of assignments.

(c) Student anonymity

The need for student anonymity in marking is reiterated. As a variety of assessment methods are being used in various disciplines, each programme is required to formulate its own policy on "blind marking and grading" that best fits the purposes of the different assessment approaches that the programme adopts, and such policy should be publicized on the respective Faculty's or programme's website and be brought to the attention of students, Visiting Committees (VComs) and Programme Review Panels.

(d) Distribution percentages for degree honours classification

The Task Force has also reviewed the mechanism for determining honours classifications on the basis of outcomes in terms of the levels of minimum major

GPA and minimum overall GPA for different classes of honours. There is a distribution guideline that is applicable broadly to faculty but not individual programme level. The mechanism also allows flexibility under which Faculty Boards can submit cases with valid academic grounds but deviating from the distribution percentages to the Undergraduate Examinations Board for consideration/ approval. Since the mechanism was formulated in 2012 following thorough study that included benchmarking with honour classification practices and results of sister institutions, and has been announced to existing students, the Task Force agreed that the existing guidelines on honours classification would be further examined when the statistics on the distribution of honours classification for the first cohort of graduates from the new curriculum is available.

3.6 Plans for further improvement: CLEAR will organize workshops to provide coaching for colleagues on the implementation of the revised Assessment Policy, including the drafting of grade descriptors. The progress of the implementation of the revised Assessment Policy is monitored by the new cycle of programme reviews commenced in 2016.

## 4. Development and Implementation of eLearning

4.1 The QAC Audit Panel recommended that CUHK "develop definitions, a framework and a pedagogical strategy for e-learning, combined with a clear timeframe for implementation, with appropriate monitoring of progress" (paragraph 3.7 of *Report of a Quality Audit of The Chinese University of Hong Kong 2015*).

4.2 To keep abreast of the growing trend of eLearning across higher education institutions worldwide, CUHK has built up its capacity since the last decade by strengthening the technological infrastructure for T&L and the learning environment. As put forth in the University's Academic Development Proposals (ADP) for the 2016-2019 triennium, institutional advancement in eLearning is one of the milestones for development, and the construction of micro-module to support flipped-classroom pedagogy is widely promoted.

4.3 An eLearning Policy Task Force under SCTL was set up in November 2014 to work out a framework for assuring the quality of eLearning and technology-enhanced T&L activities so as to facilitate system-level advancement across the University. Moreover, a holistic eLearning Strategic and Action Plan was developed by a Steering Group established in May 2015 that was chaired by the Vice-Chancellor. The Framework for eLearning development includes six key areas, each with a set of enabling strategies. The six areas are: (i) degree course and programme, (ii) Massive Open Online Courses (MOOCs), (iii) pedagogy research, (iv) theme-based research, (v) infrastructure and teacher support, and (vi) policy and QA. An Action Plan with a clear timeline for implementation had been formulated in 2015-16 and implemented under the supervision of the Provost. The Plan was presented to UGC members visiting the University in September 2015 and received very positive comments.

4.4 Major initiatives in the Plan are in good progress. Three schemes of Micro-Module Courseware Development (MMCD) grants were set up in 2015-16 for three consecutive years to develop exemplary examples for micro-module production and

flipped-classroom implementation, to promote the use of eLearning and eLearning studies in foundation courses with large number of enrolment and multiple sessions, and to build capacity for pedagogy research on eLearning. A series of MOOCs have been offered via Coursera[1] and more courses will be launched via CNMOOC[2] starting from April 2017. A number of eLearning research projects have been designed, many of them have adopted an interdisciplinary approach and have engaged teachers from different faculties to work together with a view to ensuring validity and generalizability and enhancing impact. The Centre for eLearning Innovation and Technology (ELITE) was established in 2016 to provide support for eLearning projects. The Centre provides not only hardware but also pedagogical supports to teachers. A pilot scheme on eLearning Policy was devised and implemented in the fall of 2015, providing clear guidelines on course approval and evaluation as well as copyright considerations.

4.5     To further align and strengthen the University's efforts in the development and implementation of eLearning, a new Task Force on eLearning was set up in August 2016, continued to be chaired by the University's Vice-Chancellor, to take up the role of the previous eLearning Steering Group and eLearning Policy Task Force in spearheading the eLearning development across the board in the University, with wider representations from teachers, students and support units. The Task Force plays an important role in monitoring progress of various initiatives and can better ensure a holistic implementation of the University's eLearning developments. A review had been conducted by the Task Force on the progress of the Action Plan and identified several dimensions as follows for further improvement.

4.6     Plans for further improvement:

(a) The training programme is consolidated and experts from the Faculty of Education together with early adopters of eLearning in different faculties have been engaged to offer trainings together with CLEAR and other units. The series of training programmes consist of three parts: (1) faculty-based sessions focusing on disciplinary practices; (2) professional development courses focusing on pedagogies; and (3) workshops focusing on eLearning tools.

(b) Faculties are encouraged to use a more structured approach to consolidate the development of Micro-Module for Campus-Wide Use (MMCU) with a view to achieving system-level advancement with high impact. Training programmes and the micro-module grant schemes have been adapted to align with this direction of development.

(c) As a result of the review conducted by the Task Force on the Pilot Scheme on eLearning Policy, the University's eLearning Policy has been drawn up to give a clear guidance and direction for the University-wide implementation of eLearning. It presents the University's vision and the proposed rubrics, i.e. the general course design and selection, as well as evaluation of online and blended courses, and sets

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[1] https://www.coursera.org/

[2] http://www.cnmooc.org/home/index.mooc

out the approval procedures and resources available to teachers and researchers. A set of criteria has also been worked out and included in the eLearning Policy for evaluation of eLearning courses. Regular evaluation will be conducted by Faculty Boards for reporting to the eLearning Task Force. The Policy was endorsed by the eLearning Task Force in February 2017, and approved by the Senate in March 2017. The eLearning Policy is at Appendix 3.

(d) To support long-term development, a comprehensive, empirical, evaluative study will be conducted by CLEAR to identify the feasibility, levels of acceptance and educational values of eLearning as implemented at CUHK so as to ascertain the effectiveness of our strategies.

## 5. Institutional Review on Academic Processes of CUHK(SZ)

5.1 The QAC Audit Panel noted the "plethora of student and other surveys conducted in the first six months of operation at CUHK(SZ)" and encouraged CUHK "to assist CUHK(SZ) in systematising its approach to gathering and responding to feedback from students and other stakeholders, recognising that the institution is going through a rapid, focused establishment process" (paragraph 7.5 of *Report of a Quality Audit of The Chinese University of Hong Kong 2015*). Also as stated in SM2.02 of CUHK's *Institutional Submission* for the second cycle QAC Audit, to ensure that programmes offered by CUHK(SZ) meet the appropriate academic standards, CUHK will conduct a review on academic processes in CUHK(SZ) and help CUHK(SZ) develop its QA system to ensure quality T&L.

5.2 In this connection, a Task Force on QA Support to CUHK(SZ) was formed in October 2015 under the SCTL to help CUHK(SZ) in planning for its institutional review on the academic processes and developing a QA system to ensure its quality T&L.

5.3 Details of the institutional review and the QA system at CUHK(SZ) was approved by the SCTL in May 2016.

(a) Institutional review of CUHK(SZ)

A Review Panel consisting of six senior staff members of CUHK, including members from the relevant disciplines, the Graduate Council and those who are familiar with T&L quality was appointed by the Vice-Chancellor of CUHK in consultation with CUHK(SZ). The composition and terms of reference of the Review Panel is in Appendix 4.

A review visit to CUHK(SZ) was conducted by the Review Panel on 26 November 2016 to review the academic processes in CUHK(SZ) and to give recommendations for future developments. Reference is made to the first round of Quality Audit conducted by the QAC for CUHK in 2008, which focused on processes and procedures, for better alignment with the QA standard of CUHK, and the Approach-Deployment-Results-Improvement (ADRI) methodology is adopted for this institutional review for CUHK(SZ) .

As part of its preparation for the institutional review, CUHK(SZ) has reviewed all of its operations which contribute to the standards and quality of student learning and submitted a self-evaluation document to the CUHK Review Panel on 4 November 2016.  Following the review meetings, a report on the major findings and recommendations on the institution's academic processes, in form of "Commendations, Affirmations and Recommendations", has just been compiled by the Review Panel.

.       As for the QAC's comment regarding the need to systematize CUHK(SZ)'s approach to gathering and responding to students' feedback, the CUHK Review Panel noted during the institutional review for CUHK(SZ) that a holistic and systematic collection of students' feedback has been planned for Student Experience Questionnaire (SEQ), Graduate Capabilities Questionnaire (GCQ) and Alumni Questionnaire (AQ), and encouraged CUHK(SZ) to extend its plan to better capture students' feedback on the non-formal learning dimension.  In view of the efforts made by CUHK(SZ) for globalization and internationalization, CUHK(SZ) is also encouraged by the Review Panel to undertake outgoing and incoming exchange student surveys in a more holistic and systematic manner, so that information collected can be used to improve the entire operation.

(b)  QA System at CUHK(SZ)

As stated in CUHK's *Institutional Submission* for the second cycle QAC Audit, the overall philosophy guiding the establishment of the QA system of CUHK(SZ) is that it must maintain the CUHK standards, and must have clearly designed outcomes and mechanisms for effective deployment, monitoring, review and improvement.  To this end, CUHK(SZ) relies, at least at its initial stage of development, and, to the extent possible, on the existing CUHK system for the QA of its academic standards.  In principle, the QA procedures and standards in CUHK will be broadly adopted in CUHK(SZ), with only minor changes to reflect local circumstances.

Apart from the institutional review as detailed in Section 5.3(a) above, CUHK has helped CUHK(SZ) produce a Quality Manual to serve as a consolidated QA reference for CUHK(SZ) Ug programmes.  A similar Quality Manual or Handbook for Pg studies is being developed.

The CLEAR of CUHK has also supported the CUHK(SZ) campus in conducting professional development course for teaching staff, and nurturing the development of Entry Class Questionnaire (ECQ), to systematize its approach to gathering and responding to feedback from students and other stakeholders.  A dedicated office/unit for T&L enhancement, CLEAR, has been set up in CUHK(SZ).  CUHK will also help CUHK(SZ) in setting up its own programme review processes for implementation before graduation of the first cohort of students in 2018.

5.4   Plans for further improvement: CUHK(SZ) will be requested to compile a response to the Report of the Institutional Review, which should include an action plan for further improvement with concrete timeline, via its Provisional Academic Board to the

CUHK SCTL for consideration and then to the CUHK Senate for approval. CUHK(SZ) will also be requested to report the progress of its action plan to CUHK in its annual report submitted to CUHK Senate.

**6.     Priorities for Future Development: Strategic Plan 2016-2020**

6.1     The University launched its Strategic Plan for 2016-2020[3] in 2016.  The Plan consists of three strategic themes: education, research and engagement, and two sets of enabling strategies: resources and infrastructure.  The strategies for education aim to enrich the learning experience for students as well as enhance their language proficiency to develop self-learning skills, lifelong learning commitment and competencies that will make them both innovative and entrepreneurial to flourish in – and contribute to – a globally competitive and rapidly changing environment.  A summary of the strategies on education is given in Appendix 5.  Specific action items relevant to the QAC audit are given in the Annex with highlights given in previous sections.

**7.     Conclusion**

7.1     The University will continue to monitor and evaluate regularly the implementation of the action items and to review the impact of developments and the effectiveness of all items in the Action Plan for quality enhancement of T&L.

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[3] http://www.cuhk.edu.hk/strategicplan/2016/en/

THE CHINESE UNIVERSITY OF HONG KONG

**Action Plan**
**in response to the recommendations of the quality audit (second cycle) conducted by the Quality Assurance Council (QAC)**

| No | Area | Recommendations from the QAC | Action plans and targeted completion dates as submitted to QAC on 4 January 2016 | Progress and plans for further improvement | Responsible parties |
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| **CUHK Audit Report - Section 2 The Setting and Maintaining of Academic Standards** | | | | | |
| *Programme design and approval, monitoring and review* | | | | | |
| 1 | Hong Kong Qualifications Framework (HKQF) | • To pay greater attention to the HKQF as a significant external reference point, particularly in relation to its enriched bachelor degree programmes *(para (b) of Executive Summary (ES))*<br>• To ensure that staff involved in programme design and review are aware of the relationship between the framework and CUHK's graduate attributes *(para 2.6 & 2.10)*<br>• To review the existing elite programmes in terms of the level and volume of work required, using the HKQF as the external reference point *(para 2.6)*<br>• To increase awareness among staff about the value of the | A Task Force on Review of External Referencing to HKQF was formed under the Senate Committee on Teaching and Learning (SCTL) in October 2015 and formulated the following action items at its First Meeting on 7 December 2015:<br><br>• To review and revise the University's policies in relation to both the level and volume of work with reference to the HKQF, and to review the enrichment/ elite streams offered by the Faculty of Engineering and Faculty of Science (May/ June 2016)<br>• To formulate and issue guidelines in the next cycle programme review to enhance staff awareness of a more explicit relationship between the HKQF and CUHK's graduate attributes when they revise the learning outcomes of their courses/ programmes (starting from 2016-17)<br>• To formulate guidelines and organize activities to increase awareness among staff | • A "Policy on External Referencing to Hong Kong Qualifications Framework", which comprises an overall framework for external referencing to the HKQF at CUHK and constitutes the mapping of the University-wide graduate attributes with reference to the Generic Level Descriptors (GLDs) of the HKQF Levels 5-7, was developed by the Task Force on Review of External Referencing to HKQF, endorsed by the SCTL at its First Meeting (2016-17) and approved by the Senate at its Second Meeting (2016-17).<br>• Details of the University's progress and plans for further improvement on this issue are in Section 2 of the progress report. | SCTL/ Pro-Vice-Chancellor (PVC) (Education) |

| No | Area | Recommendations from the QAC | Action plans and targeted completion dates as submitted to QAC on 4 January 2016 | Progress and plans for further improvement | Responsible parties |
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| | | HKQF as an external reference point for self-accrediting institutions *(para 2.10)* | members about the value of the HKQF framework as an external reference point for self-accrediting institutions (starting from 2016-17) | | |
| 2 | Visiting Committee (VCom) system | • To undertake a formal evaluation to ensure the policy, procedures and terminology concerning VComs are communicated effectively and applied systematically across the range of programmes within the institution *(para (b) of ES; para 2.9)*<br>• To develop VCom approach and systematize its communication with staff and implementation across all programmes *(para (b) of ES; para 2.8 & 2.10)*<br>• To ensure that the VCom system is scheduled into the next cycle of taught postgraduate (TPg) programme review and monitored discretely *(para 6.5)* | • To establish a Task Force under the Provost's Office to develop a methodology for managing the work cycles and processes of the Department/ Programme Reviews and the VComs, as well as the systems in support of the methodology (July/ August 2016)<br>• To further codify the VCom processes by building up a unified annual departmental and faculty planning exercise to facilitate strategic assessments on a regular basis, which can be forwarded to the VComs for in-depth assessment (the process to start from September 2016) | • A Task Force has been established, comprising the Provost, PVC (Education), Dean of Graduate School (GS) and others to oversee the policy and operation of the VCom system.<br>• Recommendations from the Task Force were noted at the Provost's Committees comprising PVCs, Faculty Deans and Dean of GS.<br>• Review of both undergraduate (Ug) and TPg are incorporated into the VCom processes. Programme review results are provided to VCom's for their information.  Review visits of VComs are scheduled for the period from August 2015 to August 2018.<br>• On 2 November 2016, the University announced the protocols for management of the VCom system.  The "Planning Triennial Review (PTR) 2016-17 – Self-evaluation Template and Facts Profile" has been developed to serve as a prototype version of the submission template for department's self-evaluation document, which has been used for the VCom visits.  It is also a requirement that the VCom review shall address the programme review results and recommendations.  The PTR is at <u>Attachment</u>. | University Planning Office (UPO)/ Provost's Office |

| No | Area | Recommendations from the QAC | Action plans and targeted completion dates as submitted to QAC on 4 January 2016 | Progress and plans for further improvement | Responsible parties |
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| | | | | • The policies and procedures of the VCom system, including the timing, submission and terminology of the exercise, are also specified to Faculty Deans/ Secretaries during regular meetings and are thus communicated effectively to all Faculties/ Departments and applied systematically across the board.<br>• Plans for further developments:<br>- The University is in the process of developing an Information Technology (IT) Plan that includes a master plan on information sharing between units and a streamlining of workflow for process enhancement. The IT plan is expected to be completed in late 2017. | |
| | *Academic assessment* | | | | |
| 3 | Assessment policy | • To review and revise the assessment policy urgently, with reference to external international expertise, and develop it as a policy statement to provide clear University-wide direction on a number of significant assessment issues which are currently decided at varying levels in the institution *(para (b) of ES; para 2.15)* | A Task Force on Review of the Assessment Policy and Practices was formed under the SCTL in October 2015 and formulated a series of action items at its First Meeting on 23 November 2015:<br><br>• To evaluate the progress of the implementation of the University's assessment policy, to review and revise the policy and to include explicit statements setting the University-wide directions on various aspects and practices of assessment | • The Task Force reviewed a number of issues relating to the University's assessment practices in view of the QAC's comments and recommended revisions to the Policy.<br>• Details of the University's progress and plans for further improvement in this area are in Section 3 of the progress report. | SCTL/ PVC (Education) |

| No | Area | Recommendations from the QAC | Action plans and targeted completion dates as submitted to QAC on 4 January 2016 | Progress and plans for further improvement | Responsible parties |
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| | | • To fully implement the introduction of full outcome-based approach (OBA); criterion-referencing of marks; and a clear policy that rescinds the grade distribution guidelines applicable to all taught programmes and with explicit mention of the standards of the HKQF *(para 2.16)*<br>• To provide clear guidance to academic staff on a number of assessment issues, including but not limited to marking of group work, amount of assessment in relation to the volume of learning, and the level of the course as defined by the HKQF *(para 2.18)*<br>• To make significant policy and cultural change to embrace and implement outcome-based assessment *(para 2.19)* | (May/ June 2016)<br>• To review the effectiveness and operation of the honours classification guidelines with reference to the statistics from the first graduating cohort of the new curriculum in 2016 (November/ December 2016)<br>• To make it an institutional policy to devise grade descriptors for all courses at Ug and postgraduate (Pg) levels, and for the University Core Requirement (UCR) courses, which serve as a basis for grading, for full implementation of OBA (May/ June 2016)<br>• To organize training workshops and sharing sessions for academic staff to disseminate the principles and practices as stated in the assessment policy across the board (at regular intervals starting from 2016-17)<br>• To monitor the progress of the implementation of the University-wide assessment policy and practices via programme reviews (starting from the next programme review cycle) | | |

| No | Area | Recommendations from the QAC | Action plans and targeted completion dates as submitted to QAC on 4 January 2016 | Progress and plans for further improvement | Responsible parties |
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| \multicolumn{6}{l}{CUHK Audit Report - Section 3 The Quality of Learning Opportunities} | | | | | |
| \multicolumn{6}{l}{*Formal learning*} | | | | | |
| 4 | eLearning | To develop definitions, a framework and a pedagogical strategy for eLearning, combined with a clear timeframe for implementation, with appropriate monitoring of progress *(para (c) of ES; para 3.7)* | An eLearning Strategic and Action Plan was developed by a Steering Group chaired by the Vice-Chancellor and supervised by the Provost in October 2015, which includes the following initiatives:<br><br>• To promote eLearning development across all levels through extensive experiment on:<br>  - micro-modules and flipped classrooms<br>  - Massive Open Online Courses (MOOCs) via Coursera and other eLearning platforms such as KEEP (Knowledge & Education Exchange Platform) (https://keep.edu.hk/) which is a project led by CUHK in collaboration with other 8 local institutions<br>  - pilot scheme on blended programmes at TPg level<br>  (end of 2016-17)<br>• To facilitate pedagogy research by means of grants, workshops, seminars, consultation services, and engagement of institutional research proposals (starting from September 2015)<br>• To develop policies and procedures to align with the institutional eLearning development (end of 2016-17)<br>• To expand eLearning capacity and enhance | • A new Task Force on eLearning was set up in August 2016, chaired by the University's Vice-Chancellor, to take up the role of the previous eLearning Steering Group and eLearning Policy Task Force in spearheading the eLearning development across the board in the University, with wider representations from teachers, students and support units.<br>• Details of the University's progress and plans for further improvement in this area are in Section 4 of the progress report. | PVC (Education) & IT Governance Committee (ITGC) – Sub-Committee on Education Technologies (SET) |

| No | Area | Recommendations from the QAC | Action plans and targeted completion dates as submitted to QAC on 4 January 2016 | Progress and plans for further improvement | Responsible parties |
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| | | | infrastructure and facilities (starting from September 2015) | | |
| *Informal learning* | | | | | |
| 5 | Language barrier | The University and its Colleges and Student Associations to continue the efforts to address the language barriers that may have a negative impact on the range of opportunities available to some non-local students *(para 3.10)* | • To work with representatives of Colleges, Faculties and other units of the Committee on Student Affairs (CSA) and formulate necessary actions (June 2016)<br>• To solicit views from local student associations and work on possible arrangements on student activities (June 2016)<br>• To explore the use of IT and other measures to facilitate simultaneous translation services during activities (ongoing)<br>• To explore the possibility with the relevant committees and increase the opportunities for non-local students to learn Cantonese/ Putonghua during their studies at CUHK (ongoing) | • Apart from regular credit-bearing Cantonese/ Putonghua classes, the University's Yale–China Chinese Language Centre (CLC) also offers non-credit-bearing classes for non-local students in 2017; Office of Student Affairs (OSA) has organized Cantonese classes for Mainland Pg students in the first semester of 2016-17.<br>• The Independent Learning Centre (ILC) is coordinating language exchange programmes, while the English Language Teaching Unit (ELTU) is organizing Peer Tutoring Scheme (PTS) regularly.<br>• Strategies focusing on overcoming language barrier and promoting internationalization at home are addressed at different Colleges. For example, English simultaneous interpretation arranged for some student activities in Chung Chi College (CCC), Meet the World@CC – International Night 2017, New Asia College (NAC) Intercultural Club, Shaw College Cultural Integration Programme, various United College (UC) Language Tables (Japanese, Korean, French, on top of the traditional English, Cantonese and Putonghua events), and Lee Woo | OSA/ Associate Vice-President (AVP) & University Dean of Students |

| No | Area | Recommendations from the QAC | Action plans and targeted completion dates as submitted to QAC on 4 January 2016 | Progress and plans for further improvement | Responsible parties |
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| | | | | Sing (LWS) annual World Culture Festival, etc. All these activities help enhance cultural integration for diversity groups.<br>• CU Student Union has agreed to conduct business bilingually and is gradually putting this into practice.<br>• CU Student Union published a bilingual Student Society Handbook in the beginning of 2016-17 academic year, which gave an overview of some 70 student associations in CUHK. | |
| | CUHK Audit Report - Section 4 Student Achievement | | | | |
| 6 | Student Development Portfolio (SDP) | To continue to develop usage of the SDP by students to reflect upon their own learning and take ownership of their personal development *(para 4.9 & 4.11)* | • To discuss with representatives of Colleges, Faculties and other units of the CSA before devising action items (June 2016)<br>• To enhance promotion of SDP under the I•CARE Framework (ongoing)<br>• To line up student support units and encourage students to make better use of SDP, e.g. the facility of generating reports on Experiential Learning Activities (ELA) (ongoing) | • Starting from October 2016, the administration of the SDP has been taken over by the I•CARE Centre for Whole-person Development.<br>• The I•CARE Centre is proactively inviting new units to set up SDP accounts, and inactive units are encouraged to use SDP for relevant ELA.<br>• Exploring to require the submission of an unofficial ELA report as a prerequisite for the application of internships, exchange programmes, scholarships, etc. A pilot scheme of such measure can be started by inviting student support units with higher SDP usage.<br>• Plans for further improvement: the following measures are introduced to elevate the status of SDP:<br>  - Experiential Learning Activities organized by the University (UELA) reports previously | OSA/ AVP & University Dean of Students |

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| | | | | signed by the Director of Student Affairs will be signed by the University Deans of Students.<br>- One of the criteria for incorporating activities in the system "the activity is organized by a department/ unit of the University" will be changed to "the activity is organized/ co-organized by a department/ unit of the University," which will make the SDP more flexible. | |
| 7 | Language competencies | To continue experimenting to find effective means (e.g. *English across the curriculum (EAC)*) of meeting the University's vision to provide a bilingual education that meets standards of excellence *(para (d) of ES; para 4.10)* | The Task Force to Review the Recommendations of the Committee on Bilingualism (COB) confirmed at its First Meeting on 2 December 2015 the following items on bilingual education at CUHK<br><br>• To review the implementation of the recommendations of the COB (by end of 2016)<br>• To review the Chinese and English language standards of CUHK students (by end of 2016)<br>• To review the effectiveness of bilingual education at CUHK (by end of 2016) | • The Task Force has conducted an overall review and analysis of the language standards of CUHK students and bilingual education at CUHK, in light of the recommendations of the COB, including the language of instruction, caring for the Chinese language and promotion of Chinese culture, and the work of the Senate Committee on Language Enhancement (SCLE).<br>• The Task Force reaffirmed the importance of bilingual education as a distinctive characteristic and strength of the University. In response to the changing needs of education as well as the practical demands of society, the Task Force recommended the University to invest continued efforts and initiatives to provide support and opportunities for students to enhance their language proficiency in both Chinese and | SCLE/ PVC (Education) |

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| | | | | English, and to undertake forward planning on the direction and format of language activities/programmes.<br>• A draft report was compiled by the Task Force and considered by the SCLE at its First Meeting (2015-16). The draft report incorporating the comments of the SCLE members was then circulated to faculties for consultation. Comments received from the faculties were incorporated in the review report approved by the SCLE at its Second Meeting (2015-16) and noted by the Senate at its Fourth Meeting (2015-16). | |
| | | | With respect to the QAC's recommendations, the SCLE endorsed at its First Meeting (2015-16) on 21 December 2015 the following action items formulated by the ELTU to continuously enhance students' communication skills: | Ongoing language enhancement activities have been organized by the ELTU to enhance students' communication skills. | SCLE/ ELTU |
| | | | • To strengthen the dual emphasis on speaking and writing components in existing courses under the core language curriculum (ongoing, to be completed by end of 2017-18) | • Efforts were undertaken for:<br>  - Holding individual writing conference sessions with students in credit-bearing courses; and<br>  - Enriching the business communication component of the career preparation course content for upper year students. | |

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|    |      |                              | • To develop new courses to further address students' needs and further advance their speaking and writing abilities (ongoing, to be completed by end of 2017-18) | • New courses have been developed to further advance students' speaking and writing abilities: <br> Speaking: <br>   - ELTU2005 Speaking and Presenting like TED <br>   - ELTU3502 Essentials of Public Speaking <br> Writing: <br>   - ELTU1006 Grammar in Context <br>   - ELTU2004 English through the Visual Arts <br>   - ELTU2411 Professional Communications for Social Workers I <br>   - ELTU2412: Academic Writing for Social Science Students <br>   - ELTU3413 Research Writing in the Humanities and Social Sciences <br>   - ELTU3414 Learn to Write Better! English through Great Essays <br> Tailor-made Courses for Specific Disciplines: (upcoming in the 2017-18 academic year) <br>   - Level 2 and Level 3 courses for Architecture (ARCH) students <br>   - Level 2 linked course for Linguistics (LING) students <br>   - Level 2 course for Chinese Medicine (BCME) students <br>   - Level 2 course for Financial Technology (FinTech) students <br>   - Level 2 course on English and the Performing Arts for music and cultural management students |  |

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| | | | • To continue the close collaboration with various disciplines and expand the EAC in order to enhance language use and learning of English specific to the respective disciplines (ongoing, to be completed by end of 2017-18) | • The EAC project was funded by Community of Practice (CoP) in 2015-16.<br>• The project has been scaled up with the Teaching Development and Language Enhancement Grant (TDLEG) in setting up collaborative CoP projects for the 2016-19 triennium.<br>• The project involves collaboration with 32 professors from 14 different major programmes in 6 Faculties and 4 independent units.<br>• Typical outcomes include: tailor-made courses, workshops, invited language training sessions in context during content subject lecture hours, independent learning materials.<br>• An official website has been set up: http://eac.eltu.cuhk.edu.hk/ | |
| | | | • To implement the PTS as a learner-centred service, which aims to offer informal opportunities on the use of English language for students (ongoing, to be completed by end of 2017-18) | • The PTS has been scaled up to another initiative called "Interactive Lounge" with the support from TDLEG for the 2016-19 triennium:<br>- Two major components of service are interactive workshops and peer-tutoring.<br>- An official website has been set up: http://il.eltu.cuhk.edu.hk<br>- About 400 tutoring sessions have been offered by more than 30 peer tutors (headcounts) since 2015-16 Term 2 to date.<br>- The WCONLINE is being used for scheduling, recordkeeping and reporting. | |

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|    |      |                              | • To engage on the Impromptu Speaking Platform (ISP) project, which focuses on the promotion and enhancement of impromptu speaking among students (ongoing, to be completed by end of 2017-18) | • The project has been renamed as Interactive Speaking Platform (ISP) to reflect its interactive nature: <br> - The project is ongoing to help students in giving impromptu speeches with rich learning sources. <br> - An official website has been set up: http://isp.eltu.cuhk.edu.hk/ |                     |
|    |      |                              | • To initiate the Student Activities Project (SAP), which aims to improve students' use of English in an informal, stress-free and supportive environment by organizing Social Meet-ups and Movie Appreciation Nights, and by hosting a Facebook Page that offers a wide range of language learning activities online (ongoing, to be completed by end of 2017-18) | • The project has initiated the following: <br> - Expanding the project team; <br> - Maintaining and promoting ELTU Facebook Page, https://www.facebook.com/ELTUCUHK/; <br> - Setting up English Materials Exchange Corners on 3/F of Lee Shau Kee Building with a range of English materials for students' free collection; <br> - Holding 2-3 Social English Meet-ups in every term; <br> - Organizing day trips ; <br> - Organizing English Materials Giveaway in every term; and <br> - Providing leadership training to 36 Student Ambassadors recruited in 2015-16 and 2016-17 to help with ELTU student activities. |                     |

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| | | | • To carry out eLearning projects, e.g. a series of micro-modules *English Through Music* and the iVocab mobile application (ongoing, to be completed by end of 2017-18) | • The ELTU eLearning Committee has been set up to promote and coordinate ongoing eLearning efforts for:<br>- Enhancing both the web-based and app-based Integrated Listening-Oriented Language Learning System (ILOLLS) for pronunciation practice;<br>- Employing Echo 360 to facilitate peer review and self-directed learning outside of class;<br>- Using the ISP to help students in giving impromptu speeches http://isp.eltu.cuhk.edu.hk/;<br>- Using Camtasia to create interactive and customized learning opportunities for students; and<br>- Launching the new ELTU website with easy access to eLearning facilities http://eltu.cuhk.edu.hk/ in the summer of 2016. | |
| | | | • To organize workshop series on writing and speaking for students (ongoing, to be completed by end of 2017-18) | • Workshops covering different topics are conducted to improve students' communication skills.<br>• As part of the Interactive Lounge Initiative, 19 workshops on speaking and writing were conducted in 2016-17.<br>• An official website has been set up: http://il.eltu.cuhk.edu.hk/iw-2/<br>• As part of the IELTS Initiative funded by TDLEG, 61 workshops on the four language | |

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| | | | | modalities have been conducted in 2015-16 and 2016-17 for upper year students who have completed the ELTU programme. | |
| | | | | Plans for further improvement: <br> • "Improve students' language proficiency – in both Chinese and English- to enable graduates to be globally competitive for employment and further study" is one of the strategies identified in the University's 2016-2020 Strategic Plan. <br> • TDLEG funding has been allocated to a total of 17 TDLEG projects with about HK$29.3M for designing and implementing new initiatives to enhance students' language competencies.  The project proposals were developed by the respective PI with specific guidance from a Committee established under SCTL.  The implementation of these projects will be monitored by SCTL. | |
| CUHK Audit Report - Section 5 Quality Enhancement | | | | |
| 8 | Follow-up of programme reviews and synchronization with VComs | To explicitly specify lines of responsibility for identification of enhancement opportunities; implementation of enhancement measures and for providing assurance to the University that recommendations from programme review reports are | A Task Force on Review of Programme Reviews was formed under the SCTL and formulated the following action items at its First Meeting on 4 December 2015: <br><br> • To work out the details of the operational procedures and report templates for programme reviews and VComs with regard | • The templates for programme submissions and review report for the third-cycle Ug programme reviews and the second-cycle TPg programme reviews, as well as the guide for self-evaluation document and the report template for VCom with regard to T&L, as endorsed by the Task Force, were approved by the SCTL in March 2016.  The programme review documents have been | SCTL/ PVC (Education) |

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| | | being followed through; and to consider ways in which it may harness the VCom process to promote quality enhancement (QE) *(para (e) of ES; para 5.6)* | to teaching and learning (T&L) and to devise ways to synchronize the two processes for further promotion of QE (March/ April 2016)<br>• To work on the implementation of enhancement measures to ensure that recommendations from programme review reports are followed through (March/ April 2016) | embedded into the University's PTR process (See item 2 and <u>Attachment</u>).<br>• The new cycle of programme reviews has commenced, and is synchronized with the VCom as far as applicable.<br>• Faculties/Units have drawn up their schedules for the review of their programmes under its aegis from 2015-16 to 2018-19, taking into account the schedules of their respective VCom.<br>• Plans for further improvement:<br>  - The documents of the PTR process are shared among the VC, Provost, PVC and relevant Faculty Deans. Key areas that require attention of VComs are identified and discussed with VComs in preliminary meetings during the visits of VComs. | |
| 9 | Administrative process involved in QE | To consider how to streamline the QE processes in relation to its administrative processes and structures *(para (e) of ES; para 5.7)* | To set up a working group under UPO to review/ study the entire workflow and process with a view to bringing improvements beyond the "eforms" (by end of 2016-17) | A working group has been established, comprising the Provost, the Faculty Deans or their representatives, Dean of GS, Director of Admissions and Financial Aid, Registrar and University Secretary, Director of UPO and others to identify opportunities for improvements in the QE processes. The group has also studied ways to uphold competitiveness of taught programmes (e.g. student-intake quality) and to utilize advanced IT to provide comprehensive data to support holistic decision making. Some of the paper-based processes have been converted into electronic | UPO & ITGC |

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| | | | | approval workflow, on the basis of documents submitted online. | |
| 10 | Review of operations and effectiveness of committees | To consider regular review of the operation and effectiveness of committees *(para (e) of ES; para 5.7)* | To consider implementation of regular reviews of the effectiveness of the committee structures, as well as individual committees, as part of the governance review to be conducted from time to time by the University's governing body (ongoing) | Review of the effectiveness of committees will be conducted in the wider context of implementation of recommendation of the University Grants Committee (UGC) "Newby Report on Governance", and this is ongoing. | Vice-President (Administration) |
| 11 | Student evaluations | To establish appropriate mechanisms whereby students are routinely provided with evidence that their voice is and has been heard *(para 5.9)* | • To include as an item for review in the next cycle of programme reviews (starting from the next programme review cycle)<br>• To establish an online system to collect and follow up students' early feedback in the first quarter of a term (starting from Term 2 of 2015-16) | • The mechanisms whereby students are routinely provided with evidence that their voice is and has been heard, and feedback on what actions have or have not resulted from their comments and suggestions, have been included as one of the focus areas of the new cycle of programme reviews.<br>• A pilot scheme of the early feedback collection online system was implemented for Ug students from Term 2 of 2015-16 to Term 2 of 2016-17 to collect and follow up on students' early feedback in the first quarter of a term.<br>• Plans for further improvement: An evaluation on the effectiveness of the implementation of the early feedback system will be conducted and report will be compiled for submission to the SCTL for discussion. | SCTL/ PVC (Education) |

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|  |  |  | • To follow up with representatives of Colleges, Faculties and other units in the CSA and work on the action items (June 2016)<br>• To review the existing consultation mechanism at each level, including clear recording, reporting and follow-up processes after discussions with students (ongoing)<br>• To set up appropriate communication platforms with students in areas not covered by the existing mechanisms (ongoing) | • The existing student consultation system is under regular review by the University Dean of Students and the CSA at the central level, by the Faculty management at the faculty level, and by the college management at the college level.<br>• Progress of works carried out in response to students' requests/views is reported back to students in the appropriate committees (e.g. Senate Staff-Student Consultative Committee, Staff-Student Centre Management Committee, IT Users Group, Library Users Group, etc.) or by the relevant units (e.g. Estate Management Office, Transport Office, OSA, etc.)<br>• The University Dean of Students continues to meet representatives of key student bodies/leaders on a regular basis, including CU Student Union, College Unions, Student Senators, associations of Mainland and international students.<br>• The notes of meetings between the University Dean of Students and students are placed on open website: http://www.udean.cuhk.edu.hk/blog/note | AVP & University Dean of Students |
| CUHK Audit Report - Section 6 Postgraduate Provision ||||||
| 12 | Graduate attributes of TPg and research postgraduate (RPg) programmes | For both TPg and RPg, the goals are less clear, with statements that "whole person development is not part of the formal education objective for most postgraduate programmes", | The relevant statement in the graduate attributes for Pg students was revised and approved by the Executive Committee of the Graduate Council (GCExCo) at its meeting held in November 2015 | SCTL noted the revised graduate attributes for Pg students at its Second Meeting 2015-16. The revised statements have been posted on GS website. | GS |

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| | | sitting awkwardly alongside the personal/ social competency goals of leadership and communication *(para 4.5)* | | | |
| *Taught postgraduate students* | | | | | |
| 13 | Management of self-financed TPg programmes | To press on with the University's initiatives to strengthen its institutional policy and quality assurance (QA) framework for self-financed TPg programmes, and to expedite the timeline for the completion, implementation and evaluation of the quality manual on the management of these programmes *(para (f) of ES; para 6.6 & 6.8)* | The Committee to Develop the Policies and Procedures Manual on the Management of TPg self-financed Programmes (SFP) expects to present the proposed requirements and operation procedures to the Senate, Administrative and Planning Committee (AAPC) and Resource Allocation Committee (RAC) in due course.  The Manual contains:<br><br>• Information of the QA policies, which includes the University's *Integrated Framework for Curriculum Development and Review* and the policies dealing with re-approval of these programmes (March 2016)<br>• Plans for further consolidating the programme re-approval reviews. Information to be made available to the Committee in an integrated reporting system includes data on programme quality, teaching quality, strategic missions and finance (including results of programme review, VCom review and others) (April 2016) | • The *Policies and Procedures Manual for Self-financed Programmes* (the *Manual*) was published in February 2017 on the CUHK web site http://www.provost.cuhk.edu.hk/prvo/.  The *Manual* covers all the requirements and operations procedures as proposed in the Action Plan in January 2016, was approved by GCExCo in November 2016, and is also posted on the websites of GS and Bursary.<br>• The revised TPg programme review report template was approved by SCTL in March 2016. The new template has been adopted for the second-cycle Programme Reviews of TPg Programmes 2015-16 to 2018-19.<br>• Plans for further developments:<br>  - GS will maintain the *Manual* and update it with more implementation arrangement details that were not available at the time when the first edition was published.<br>  - A high-level process that consolidates and integrates the existing processes is being developed, which will provide a holistic assessment of the programme as well as the | UPO/ Provost's Office (with input from GS) |

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| | | | • Update of the TPg programme review report template.  It will be enriched and structured with reference to the new T&L requirements (April 2016)<br>• Targeted recommendations and approval criteria on programme establishment/ suspension/ termination (March 2016)<br>• Enrolment quota for these programmes with reference to student intake quality, admission offer take-up rate and the ratio of Block Grant to self-financed students (March 2016)<br>• Standard appointment procedures and qualification requirements of part-time teachers for these programmes (March 2016)<br>• Proposal on specific minimum percentage of full-time and professoriate teaching staff in the approval and re-approval criteria for these programmes (March 2016)<br>• Proposal of outside practice (OP) teaching arrangements specifying an appropriate level of OP teaching allowed in these programmes (March 2016)<br>• Policies on utilizing the reserves of these programmes for academic developments (June 2016) | department offering the programme.  The assessment will inform decisions on approval of new programmes, re-approval of existing programmes, adjustment of enrollment quotas and applications for new or expanded quotas.<br>- Synergy between SFP and block grant programmes is a component in the departmental review/planning cum VCom submission document, which will be utilized as an essential input in the integrative holistic process. | |

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| *Research postgraduate students* | | | | | |
| 14 | RPg supervision | To further strengthen the support through more frequent regular reporting, including the use of e-forms to improve work efficiency *(para 6.10)* | To develop an electronic system for capturing the annual research progress (the latest by 2017-18) | GS has liaised with the Information Technology Services Centre (ITSC) on the system requirements and specifications.  Design of the system has been completed and documented in the Solution Blueprint.  Programme development is in progress.  Phase 1 of the system which includes functions for Study Plan submission will be launched before June 2017.  Phase 2 of the system which includes functions for Progress Report submission will be launched before end of 2017-18. | GS & ITSC |
| CUHK Audit Report - Section 7a Audit Theme: Enhancing the Student Learning Experience | | | | | |
| 15 | Student feedback mechanism at The Chinese University of Hong Kong, Shenzhen (CUHK(SZ)) | To assist CUHK(SZ) in systematizing its approach to gathering and responding to feedback from students and other stakeholders *(para (g) of ES; para 7.5)*<br><br>*<Note: As stated in the Report of the CUHK(SZ) (SM2.02) of the Institutional Submission, CUHK will conduct a review on academic processes in CUHK(SZ), within the next 18 months, i.e. by mid-2016, and help CUHK(SZ) set up its own programme review system for* | A Task Force on QA Support to CUHK(SZ) was formed under the SCTL in October 2015 and formulated a series of action items at its First Meeting on 14 December 2015:<br><br>• To work out the proposal for CUHK(SZ) to plan for its institutional review on academic processes (February 2016)<br>• To help CUHK(SZ) develop and establish its QA system, including the student feedback system, VCom system and programme review process (March/ April 2016)<br>• To help CUHK(SZ), if possible, in setting up a dedicated office/ unit for T&L enhancement similar to the Centre for Learning Enhancement And Research | • The proposals for institutional review and the QA system at CUHK(SZ) was approved by the SCTL at its Second Meeting (2015-16).<br>• Details of the University's progress and plans for further improvement in this area are in Section 5 of the progress report. | SCTL/ PVC (Education) & CUHK(SZ) |

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| | | *implementation by 2018.>* | (CLEAR) in CUHK (2016-17)<br>• To help CUHK(SZ) conduct an institutional review on academic processes (starting from mid-2016) | | |
| 16 | Use of planning workbooks for alignment of University-wide T&L initiatives | • To ensure better alignment of enhancement activities at institutional, departmental and programme levels, and a more holistic implementation of initiatives such as eLearning and the assessment policy *(para (g) of ES; para 7.8)*<br>• To develop a coherent strategic approach to the enhancement of the student learning experience that encompasses University, department and programme levels *(para 7.7)* | • To include the alignment of T&L initiatives at departmental and programme levels with those of the University level as one of the areas in programme reviews (starting from the next programme review cycle) | • The alignment of T&L initiatives/ enhancement activities at departmental/ programme levels with those at the University level has been included as one of the focus areas of the current round of VComs that synchronized with programme reviews. | SCTL/ PVC (Education) |
| | | | • To work with relevant parties and develop a holistic framework that can better manage the University-wide T&L initiatives (July/ August 2016)<br>• To refine the planning workbooks with metrics that can be used to support the T&L initiatives (July/ August 2016) | • The University has introduced the PTR (See Attachment) to establish a set of standards to support strategic planning at Department and Faculty levels. The purpose of the PTR is to establish a periodic process of standard setting/adoption and measurement of performance against those standards so as to drive forward the academic development of Departments.<br>• All Chairpersons/Directors of Departments/Schools are required to undertake the PTR. The process enables the delivery of a strategic plan via a common template for the profile document, provided by the UPO. The department's inputs is central to the review process. The department articulates its teaching and research strategy/ plan and desired outcomes, demonstrates the extent to which these are | UPO/ Provost's Office |

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| | | | | achieved, and describes the mechanisms for improvement. The template sets out the key domains under review, including "Research, Education, Resources and Organization, Synergy between Self-Financed and Block Grant Programmes". Substantial data input is required in the first year, followed by maintenance in the second year and updating in the third year. | |
| CUHK Audit Report - Section 7b Audit Theme: Global Engagements: Strategies and Current Developments | | | | |
| 17 | Internation-ization at all levels | • To enhance the alignment of development plans at unit levels with the University's overarching trend towards internationalization *(para (h) of ES)*<br>• To consider further development of the concept of "internationalization at home" by creating a pervasive international environment on the CUHK campus, encouraging students and staff from all origins to learn from | • To discuss and consider a feasible and effective plan so that all units across CUHK will make effort to align their development plans with the institution's overarching trend towards internationalization (March 2016) | • The Steering Committee for Internationalization of Higher Education and Engagement of Mainland China (SC) recognizes the importance of aligning the development plans at unit levels with the University's overarching trend towards internationalization. The Deans are responsible to lead global engagement of their Faculties and two Faculties have recently appointed designated personnel to support the Deans' work on this front. The University will continue to communicate and engage with these designated personnel and the Deans through the Deans Committee on its internationalization plans. | SC |

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| | | each other, and responding to the values or expectations that non-local students bring to the T&L environment, facilitating the international atmosphere of the campus as well as furthering the development of students' global astuteness *(para 7.14)* | • To include the focus on global engagement at the unit level as one of the areas in programme reviews (starting from the next programme review cycle) | • The focus on global engagement at the unit level, and alignment of such development plans at unit level with the University's internationalization initiatives have been included as one of the focus areas of the current round of programme reviews. A Conceptual Framework for Internationalization of Curriculum was developed by the Curriculum Subgroup of the SC and approved by SCTL at its Second Meeting (2015-16). The Framework was disseminated to faculties, departments and programmes for reference and implementation in their design of courses and programmes. | SCTL/ PVC (Education) |
| | | | • To consider strategies and action items that will promulgate and support the concept of internationalization at home  (June 2016)<br>• To further enrich promotion activities and international events for introduction of different cultures and countries (ongoing)<br>• To further engage students/ student associations in organizing regular events that promote internationalization and mutual understanding (ongoing)<br>• To provide further funding support to Colleges/ Faculties/ units for organizing internationalization activities (ongoing) | • Large-scale international festivals are regularly organized by OSA and other units on campus, e.g. Islamic Culture Festival in the first term of 2016-17, Nordic Festival in the second term of 2016-17.<br>• OSA arranges weekly global engagement events at the University's i-LOUNGE to broaden students' global exposure. Recent topics include LGBTI rights in Hong Kong and Taiwan, Sri Lanka – Ceylon Tea and Tamil Tigers, Nigeria – the Giant of Africa, Chinese New Year – What is it all about, etc.<br>• The University encourages formation of non-local student associations:<br>- International Student Association<br>- Korean Student Association | Students Sub-group & Curriculum Sub-group of the SC |

| No | Area | Recommendations from the QAC | Action plans and targeted completion dates as submitted to QAC on 4 January 2016 | Progress and plans for further improvement | Responsible parties |
|---|---|---|---|---|---|
| | | | | - Association of Indian Students<br>- Cosmopolitan Society<br>- Contemporary China Studies Association<br>- Mainland Undergraduate Association<br>- Chinese Student and Scholars Association<br>- Taiwanese Student Association<br>- The Federation of Joint Universities Macau Students in Hong Kong<br>• The iBond which brings together local and non-local student associations is organizing social events regularly.<br>• An online platform for internationalization events is being developed, scheduled to be launched in early 2017.<br>• Strategies focusing on promoting internationalization at home are addressed by the Colleges.  Many relevant activities are organized. (see bullet point 3 of item 5 above) | |
| | | | | • Plans for further improvement: To further promote the initiative of internationalization of curriculum and internationalization at home together with sister institutions, a proposal coordinated by the Curriculum Subgroup and in collaboration with three other institutions has been submitted to bid for funding under the UGC Funding Scheme for Teaching and Learning Related Proposals 2016-19 in December 2016. | |

| No | Area | Recommendations from the QAC | Action plans and targeted completion dates as submitted to QAC on 4 January 2016 | Progress and plans for further improvement | Responsible parties |
|---|---|---|---|---|---|
| | | • To consider further clarification on the selection of benchmarking partners as well as the goals and mechanisms of benchmarking *(para 7.15 & 7.17)* | • To include benchmarking and external referencing as one of the areas in programme reviews, VComs and the University's planning process (by end of 2016-17) | • The use of external reference points and benchmarking, including HKQF, in setting academic standards and assessing the achievements of students has been included as one of the focus areas of the current round of programme reviews, VComs and the University's planning process.<br>• The PTR (See Attachment) has included an item about establishing a couple of benchmarking departments that are comparable to the department under review on a wide range of pertinent characteristics in terms of educational and research impacts. | UPO/ Provost's Office, SCTL/ PVC (Education) |
| | | • To continue the efforts which facilitate the integration of local, Mainland and overseas students *(para 7.17)* | • To foster collaborative efforts among units to build up a genuine welcoming and accommodating environment for non-local students (ongoing)<br>• To enhance the quality and quantity of activities for integration of local and non-local students (ongoing)<br>• To provide extra funding and coaching for students for organizing activities conducive to on-campus integration and enhancing internationalization (ongoing) | • An international night welcoming dinner was organized in the beginning of 2016-17.<br>• More regular supports has been set up to facilitate student-initiated activities which encourage interaction among local, international and incoming exchange students, e.g. the Internationalization Activity Fund, i-Ambassador Scheme and CUHK Host Family Programme, etc. coordinated by OSA, Mingle Fund offered by Wu Yee Sun (WYS), and Hong Kong-themes WS International Cultural Programme.  Extra financial support is also offered to CCC Residents' Associations to organize activities in English to cater for the need for English speaking residents. | OSA/ AVP & University Dean of Students |

| No | Area | Recommendations from the QAC | Action plans and targeted completion dates as submitted to QAC on 4 January 2016 | Progress and plans for further improvement | Responsible parties |
|----|------|------------------------------|------------------------------------------------------------------------------|---------------------------------------------|---------------------|
| | | | | • Non-local students are welcome to join the orientation programmes of local students for better integration, while local student helpers are involved in non-local student orientation camps.<br>• Office of Academic Links (OAL) is organizing International Coffee Corner weekly to bring together local and non-local students.<br>• A Taskforce on IN3 - Internationalization and Inter-culturalism for Integration chaired by CCC Dean of Students has been set up since summer 2016. | |
| | | | • To consider action items that might address the issue of tutorial and course selection by non-local students (June 2016) | • Relevant statistics on medium of instruction (MoI) were compiled for evaluation. The statistics were reviewed by several committees including the Curriculum Subgroup of the SC. The results on the whole are in line with the recommendations made by the COB in its 2007 Report.<br>• Faculties are requested to urge departments and programmes to offer tutorial session(s) by using the same MoI of the courses as indicated in the timetable.<br>• OAL will work closely with academic departments to assist incoming exchange students for course registration.<br>• The Registration and Examinations Section of the Registry will request Faculties/ Departments/ Programmes and other course-offering units to | Curriculum Sub-group of the SC |

| No | Area | Recommendations from the QAC | Action plans and targeted completion dates as submitted to QAC on 4 January 2016 | Progress and plans for further improvement | Responsible parties |
|---|---|---|---|---|---|
| | | | | take reference to students' language background for course pre-assignment for non-local degree-seeking students. | |

March 2017

# PLANNING TRIENNIAL REVIEW (VERSION 0.1)
# 2016-17
# SELF-EVALUATION TEMPLATE AND FACTS PROFILE

Department of XXX
Faculty of XXX
The Chinese University of Hong Kong

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## PREAMBLE

The University has introduced the Planning Triennial Review (PTR) process to establish a set of standards that would support strategic planning at the Department and Faculty levels. The process seeks to bring together Departments, Faculties, and the University to formulate a set of coherent plans for the future. Agenda setting and organizational problem solving often require the proactive participation of all stakeholders in multiple phases, ranging from initial steering to the setting of developmental priorities, budgeting, implementation, tracking of progress, and updating and refinement of plans. In this light, the University encourages collaboration amongst different departments and their respective Faculties. The PTR is an essential means that helps the University in achieving its strategic goals.

Upon the request for preparation of the departmental profile documents, Department Chairpersons should prepare them with the aim to communicating their plans to, not only their own faculty members within the departments, but also such stakeholders as other departments in the Faculty and the Faculty Dean. Each Faculty Dean will in turn develop the unitary Faculty-profile document for submission to the Vice Chancellor via the Provost. To improve the efficiency of the PTR process and to facilitate review, a single template of the profile document will be released to the departments and the Faculties.

The academic year 2016-17 marks the start of a new triennium. Substantial data input is required in the first year, followed by maintenance in the second year and updating in the third year. All Departments, including Schools and the Centre for China Studies, must participate in the PTR process. Evidence to support prior activities and action items (for the current year and coming years, where appropriate) should be included. Provost's Office will announce the deadline for submission each year closer to the date.

All Chairpersons/Directors of Departments/Schools are required to undertake the PTR. This can be achieved by completing the profile document and submitting it online to Provost's Office. A copy of the profile document will be made available to the respective Faculty Dean (supervising PVC in the case of Centre for China Studies) and kept as Departmental record. This will serve as input to the PTR process at the Faculty level.

### Purpose

The purpose of the PTR is to establish a periodic process of standard setting/adoption and measurement of performance against those standards so as to drive forward the academic development of the Department. The process enables the delivery of a strategic plan which aligns with the objectives of the Faculties and the University and demonstrably meets University requirements and expectations.

1. To enable robust quality assessment of the academic impact of each Department
2. To enable Departments to benchmark themselves against international standards and demonstrate fitness of purpose
3. To provide the means for both internal and external assessment of the academic impact of the Department
4. To provide a clear focus for action planning for the Department as a whole, driving forward a quality improvement plan, offering clarity of direction for faculty leaders and faculty members and transparency of development to elevate to the next stage of academic excellence.

**Documentation**

The Department plays a core leadership role in research, education, and service, which requires the provision of evidence and information for academic governance and managerial decision making. The template for the profile document, provided by the University Planning Office, sets out the four domains under review, namely, Research, Education, Resources and Organization, and Synergy between Self-Financed and Block-Grant Programmes. Each domain is further broken down into a number of areas, and the template calls for departmental input in each of them. Some department-specific information is preloaded into the template, which facilitates evaluation and measurement of progress. In addition, Departments are requested to answer a few questions and provide additional supporting documents. Departments may submit the completed reports and upload additional supporting documents online at a designated space in SharePoint. Storing the data on SharePoint enables easy tracking, archiving, and frequent updates by Departments. The documents will also be shared among the Vice Chancellor, Provost, Pro-Vice-Chancellors and relevant Faculty Deans, as well as academic quality-audit bodies, such as the University Grants Committee (for the purpose of institutional auditing), the Visiting Committees, and various review panels, e.g. panels for programme reviews.

**Important Dates of the PTR 2016-17**

**(for departments who have difficulty meeting the deadline, contact Provost's Office: 3943-7446 / info.prvo@cuhk.edu.hk)**

Departmental Profile Document Submission to respective Faculty Dean: [Date]
The completed self-evaluation template document and facts profile as well as the supporting documents should be submitted at least 10 weeks before the Visiting Committee convenes.

Faculty Submission to Provost: (UPO will provide the template closer to the date): [Date]

Feedback by Provost, UPO, and Bursar: [Date]

Amendment and Revision to Departmental Plan: [Date]

# RESEARCH

## PLANNING AND PROGRESS TO DATE

1.  State the Department's research vision, mid-term goals, and strategy.

    *The Department's vision, goals and strategy in respect of research are expected to reflect the Department's research aspirations, philosophy, and priorities in relation to its role and stage of development, as well as the distribution of research efforts across disciplines.*

    > Please input response here.

2.  Describe the Department's research profile.  Feel free to provide further information or upload additional documents to support your depiction.

    *The Department's research profile is expected to reflect the Department's research directions, foci of research efforts across disciplines, notable individuals/ teams, active researchers, their research interests, achievements, track records, and planned work.*

    *Referring to track records, the % of 2014 RAE 4\* and 3\* obtained by the cost centre/department should be included. (Add a remark if cost centre is different from department.)*

    > Please input response here and make reference to the SUPPORTING DOCUMENTS below if applicable.

    ### *Information Required*

    *This section should provide references to the research records and activities referred to above, and evidence demonstrating the quality of research.*

    | | | |
    |---|---|---|
    | R2.1 | A CV (in no more than 2 pages for each academic staff) indicating the name of staff member, his/her research interests, research directions, and in the last five years, research outputs, grant records, entrepreneurial accomplishments, knowledge transfer outputs, honours and awards, etc. | [Upload here] |
    | R2.2 | List of notable projects (including individuals and teams) funded by external funding agencies, industries and other external income sources. | [Upload here] |
    | R2.3 | 2014 RAE Report on the % of 4\* and 3\* obtained by cost centre/department | By UPO |
    | R2.4 | Additional supporting documents (if any) | [Upload here] |

3.  Based on the description in Q2, highlight the most notable research achievements in the past three years and describe the impact of these research achievements. Give references as supporting evidence below. Feel free to provide further information or upload additional documents to support your arguments.

> Please input response here and make reference to the SUPPORTING DOCUMENTS below if applicable.

*Information Required*

*Upload references and additional documents below.*

| R3.1 | Provide evidence of quality of the notable research. | [Upload here] |
|------|------------------------------------------------------|---------------|
| R3.2 | Additional supporting documents (if any) | [Upload here] |

4.  Describe the alignment between the goals/objectives of the Department, and that of the Faculty and the University, as documented in the Faculty's strategic plan and the CUHK Strategic Plan 2016-2020. Feel free to provide further information or upload additional documents to support your arguments.

> Please input response here and make reference to the SUPPORTING DOCUMENTS below if applicable.

*Information Required*

*Upload references and additional documents below.*

| R4.1 | Faculty Strategic Plan dated XX-XX-XXXX | By UPO |
|------|-----------------------------------------|--------|
| R4.2 | Department Strategic Plan dated XX-XX-XXXX | By UPO |
| R4.3 | Additional supporting documents (if any) | [Upload here] |

5.  Give the names of two (in Hong Kong) and five (outside Hong Kong) departments in other institutions which you deem comparable to your Department in terms of academic research impacts. (These departments are considered your benchmarks for comparison.)

    *It is useful to establish a couple of benchmarking departments that are comparable to your department on a wide range of pertinent characteristics. This allows your department to evaluate its outcomes in the context of outcomes from peer departments as well as to develop a set of measures that would provide a general view of progress toward the department outcomes in the "next higher tier".*

    Please input response here.

6.  For at least two benchmarking departments in other institutions (at least one has to be outside of Hong Kong and Mainland), analyse their quality and standards in detail.   Comment on the relative standing of these benchmark institutions vis-a-vis your department.

    *The analysis should compare your department with each of the benchmarks in terms of research output quality, research impact, staffing, and support.*

    Please input response here.

7.  State the assessment criteria for the Department's research.  Feel free to provide further information or upload additional documents to support your arguments.

*The Department's research assessment criteria are expected to reflect the Department's strategy of assessing research impact and standards against the research goalpost and milestones by using Department-specific metrics, indices, qualitative benchmarks and references for measuring success and quality.  It is the University's intention that public funds in support of research should reward performance excellence, so that sufficient funding will be provided for effective pursuit of world-class research. There is therefore a need to assess research performance in some way to inform the funding level. Furthermore, as far as planning is concerned, the Department is expected to drive changes in order to mitigate problems at an early stage and set development priorities to leverage on available resources and opportunities.*

Please input response here and make reference to the SUPPORTING DOCUMENTS below if applicable.

*Information Required*

| R7.1 | Department's assessment criteria for Academic Staff Development Review in respect of academic staff | By Personnel Office |
| --- | --- | --- |
| R7.2 | Additional supporting documents (if any) | [Upload here] |

8.  Apply the research assessment criteria of the Department and give a research quality profile of the Department as well as a self-critique on the strengths and weaknesses of the Department's academic standing and impact.

*The Department is requested to gauge its research standards based on the research assessment criteria listed in Q7. The aim is to analyse the Department's situation and opportunities as the Department self-establishes a research quality profile*

Please input response here.

9.  Reflecting on the research outputs of the Department in the last two decades, identify two or three of them that are most impactful beyond academia. Impact is measured in the window of the last five years. Give available evidence and data to illustrate the impacts. Discuss how further evidence and data can be and will be collected. Describe the strategies that will be taken to heighten these impacts through stronger engagement with the public.

    *It is very likely that RAE2020 will follow the practice of REF2014 in the UK in allocating significant assessment weight to impact assessment. Depending on the size of the department, submission of two to three impact case studies (maximum four pages for each case in the case of REF2014) may be required by RAE2020. The coverage of impact is very wide. Consider impacts on the economy, society, culture, public policy, public services, health, and the environment, both locally and worldwide.*

    <div style="border:1px solid">
    Please input response here and make reference to the SUPPORTING DOCUMENTS below if applicable.
    </div>

    ### Information Required

    *For your reference, here are some case studies that went under review in the UK REF2014. The case studies contain a summary of the impact, underpinning research (research insights and outputs, and key researchers), references to the research, details of the impact (list of impact with reference to the sources to corroborate the impact, and the narrative of impact).*

    | R9.1 | http://impact.ref.ac.uk/CaseStudies/ | By UPO |
    | R9.2 | Additional supporting documents (if any) | [Upload here] |

10. Describe on-going research projects (maximum five projects) that involve significant international collaboration. Describe also major plans for international collaboration in the next two to three years.

    *Select a maximum of five projects that are ongoing international research projects. Select those that most enhance the international status/image of the Department.*

    <div style="border:1px solid">
    Please input response here.
    </div>

11. Perform a SWOT-analysis in respect of the Department's research and describe the actions the Department will undertake to achieve the goals as specified in Q1 above. Feel free to provide further information or upload additional documents to support your arguments.

*The Department is expected to identify the research strengths, weaknesses, opportunities and threats (SWOT) and describe the SWOT-based actions as well as enabling and improvement strategies. The Department is also expected to list the success factors/ trade-offs to the plan and describe the resources and expenses involved. List any potential areas of improvement that would merit consideration in relation to the University's investment of resources. Explain why these new areas will make a difference to the Department.*

*With reference to the 2014 RAE results, the department's target % of 4\* and 3\*(or the equivalent) in the coming RAE exercise and the plan to achieve the said target should be included.*

11.1. Strengths
Strength-bound actions (Open a new paragraph for each of the actions)
- Which goal are you referring to? State the relation between the action and the goal.
- What has been done thus far?
- Evaluate the effectiveness of the activity or state the impact of the activity.
- Milestones and target completion times
- Metrics to measure success in meeting the goal

Please input response here and make reference to the SUPPORTING DOCUMENTS below if applicable.

11.2. Weaknesses

Weakness-improvement actions (Open a new paragraph for each of the actions)

- Which goal are you referring to? State the relation between the action and that goal.
- What has been done thus far?
- Evaluate the effectiveness of the activity or state the impact of the activity.
- Milestones and target completion times
- Metrics to measure success in meeting the goal

Please input response here and make reference to the SUPPORTING DOCUMENTS below if applicable.

11.3. Opportunities

Opportunity-bound actions (Open a new paragraph for each of the actions)

- Which goal are you referring to? State the relation between the action and the goal.
- What has been done thus far?
- Evaluate the effectiveness of the activity or state the impact of the activity.
- Milestones and target completion times
- Metrics to measure success in meeting goal

Please input response here and make reference to the SUPPORTING DOCUMENTS below if applicable.

11.4.  Threats

Threat-improvement actions (Open a new paragraph for each of the actions)

- Which goal are you referring to? State the relation between the action and the goal.
- What has been done thus far?
- Evaluate the effectiveness of the activity or state the impact of the activity.
- Milestones and target completion times
- Metrics to measure success in meeting the goal

Please input response here and make reference to the SUPPORTING DOCUMENTS below if applicable.

### *Information Required*

*Note: Some general quantitative information is provided here, although some items may not be directly relevant to the specific disciplines in your department.*

| R11.1 | QS World University Rankings – By Subject (The metrics are academic reputation, employer reputation, citations per paper and h-index) [comparing CUHK with a few Top Asian and World Universities] | By UPO |
|---|---|---|
| R11.2 | Employer Reputation, QS World University Rankings [comparing CUHK with a few Top Asian and World Universities] | By UPO |
| R11.3 | Academic Reputation, QS World University Rankings [comparing CUHK with a few Top Asian and World Universities] | By UPO |
| R11.4 | Average citations per faculty, QS World University Rankings [comparing CUHK with a few Top Asian and World Universities] | By UPO |
| R11.5 | Citation Impact, Times Higher Education World University Rankings [comparing CUHK with a few Top Asian and World Universities] | By UPO |
| R11.6 | Papers to academic staff, Times Higher Education World University Rankings [comparing CUHK with a few Top Asian and World Universities] | By UPO |
| R11.7 | The size of the cost centre(s) and areas of specialization | [Upload here] |
| R11.8 | The unit's research philosophy, vision and priorities in relation to its role and stage of development | [Upload here] |
| R11.9 | The 2014 RAE result and comments on comparative advantages and threats in research | [Upload here] |
| R11.10 | Working methods and assessment criteria to evaluate the quality of staff research outputs in terms of their originality, significance and rigour, especially at the top end | [Upload here] |

| R11.11 | Publications 2012-2016: total number of research outputs (list by type, namely, written articles, book chapters, books, monographs, and other forms of research outputs that are available for review), citations per paper, papers per faculty, citations per faculty, % of papers with international collaboration | [Upload here] |
| --- | --- | --- |
| R11.12 | Grants: number/amount of RGC Earmarked Research Grants, number/amount of other government competitive grants, and number/amount of other research grants, number/amount of grants per faculty, with the role of the faculty (PI or Co-PI or the equivalent) specified against the grants | By UPO / ORKTS / Personnel Office |
| R11.13 | Participation rate in notable international activities, such as serving as keynote speakers and in programme and organizing committees. | [Upload here] |
| R11.14 | Esteem: Esteem measures should be recognition conferred by an external body. They may include, but are not limited to, notable academic achievements, recognised leadership in the field, research-based awards, honours or prizes, editorship of academic journals, significant grants or donations for research which are not competitive or peer-reviewed (e.g. industry research grants), impacts on public policy, economy, society, industry and culture, research student training. | [Upload here] |
| R11.15 | Additional supporting documents (if any) | [Upload here] |

## Outcomes of Recent Reviews

12. List all the recommendations for improvement in respect of research by the Visiting Committee. Feel free to provide further information or upload additional documents to support your arguments.

> Please input response here and make reference to the SUPPORTING DOCUMENTS below if applicable.

### *Information Required*

| R12.1 | Visiting Committee Review report dated XX-XX-XXXX | By Provost Office |
|---|---|---|
| R12.2 | The Departmental action plan dated XX-XX-XXXX | By Provost Office |
| R12.3 | Additional supporting documents (if any) | [Upload here] |

13. Describe what the Department has done to address the issues raised in the Visiting Committee report. In particular, describe the progress to date and evaluate the impact in carrying out the actions directed towards addressing the recommendations by the Visiting Committee.

> Please input response here.

# EDUCATION

## PLANNING AND PROGRESS TO DATE

1.  State the Department's education vision, mid-term goals and strategies.  Feel free to provide further information or upload additional documents to support your arguments.

    *The Department's vision, goals, and strategy in respect of education should reflect the Department's teaching and student learning aspirations, philosophy and priorities in relation to its role and stage of development, as well as the distribution of educational efforts across disciplines.*

    *A Department may also include major plans of introducing new programmes and overhauling/ sunsetting existing programmes.*

    *Both publicly funded and self-financed programmes (Ug, RPg, and TPg) should be covered.*

    <div style="border:1px solid">
    Please input response here and make reference to the SUPPORTING DOCUMENTS below if applicable.
    </div>

    *Information Required*

| E1.1 | Graduate attributes (Undergraduate and Graduate Students) | [Upload here] |
|---|---|---|
| E1.2 | Vision and goal statements of SF TPg Programmes housed under the Department and relevant Graduate Divisions | [Upload here] |
| E1.3 | Proposals of establishing SF TPg Programmes housed under the Department and relevant Graduate Divisions | [Upload here] |
| E1.4 | Reports containing recommendations by the Committee on Re-approval of Self-Financed Taught Postgraduate (SF TPg) Programmes with results from student exit survey and Senate Academic Planning Committee's recommendations | By GSO |
| E1.5 | Additional supporting documents (if any) | [Upload here] |

2.   Describe the Department's education profile.

*The Department's education profile is expected to reflect the Department's educational innovations, which ensure that the Department provide quality undergraduate and postgraduate education programmes (RPg, and TPg) at the international level in terms of student learning enrichment, curriculum enhancement/ improvement efforts and novel pedagogical initiatives. The education profile presents coherent efforts adopted across disciplines and is multi-dimensional. It should include curriculum design for undergraduate and post-graduate programmes, learning environment and support, pedagogical developments, quality assurance, student assessments, and educational research.*

*Strategies for improvements in undergraduate and postgraduate student intake quality should also be included.*

Please input response here.

3.   Based on the description in Q2, highlight the most notable achievements in the past three years and describe the impact of these achievements. Give references for each of the impacts described.  Feel free to provide further information or upload additional documents to support your arguments.

Please input response here and make reference to the SUPPORTING DOCUMENTS below if applicable.

*Information Required*

| E3.1 | Provide evidence of quality for the most notable educational achievements. | [Upload here] |
|------|---------------------------------------------------------------------------|---------------|
| E3.2 | Additional supporting documents (if any) | [Upload here] |

4.  Describe the alignment between the goals/objectives of the Department, the Faculty and that of the University, as documented in the Faculty's strategic plan and the CUHK Strategic Plan 2016-2020.  Feel free to provide further information or upload additional documents to support your arguments.

<div style="border:1px solid black; padding:10px; min-height:500px;">
<span style="color:red;">Please input response here and make reference to the SUPPORTING DOCUMENTS below if applicable.</span>
</div>

*Information Required*

| | | |
|---|---|---|
| E4.1 | Faculty Strategic Plan dated XX-XX-XXXX | By UPO |
| E4.2 | Department Strategic Plan dated XX-XX-XXXX | By UPO |
| E4.3 | Additional supporting documents (if any) | [Upload here] |

5.  Give the names of two (in Hong Kong) and five (outside Hong Kong) departments in other institutions which you deem comparable to your Department in terms of educational impacts. (These units are considered as your benchmarks for comparison.)

    *It is useful to establish a couple of benchmarking departments that are comparable to your department on a wide range of pertinent characteristics. This allows your department to evaluate its outcomes in the context of outcomes from peer departments as well as to develop a set of measures that would provide a general view of progress toward the department outcomes in the "next higher tier".*

<div style="border:1px solid black; padding:10px; min-height:400px;">
<span style="color:red;">Please input response here.</span>
</div>

6. For at least two benchmarking departments in other institutions (at least one has to be outside of Hong Kong and Mainland), analyse their quality and standards in detail.   Comment on the relative standing of these benchmark institutions vis-a-vis your department.

   *The analysis should compare your department with each of the benchmarks in terms of educational output quality, impact, staffing, and support.*

   > Please input response here.

7. State the criteria for assessing the Department's educational quality.  Feel free to provide further information or upload additional documents to support your arguments.

   *These criteria are expected to reflect the Department's strategy of assessing its educational impact and standards against the educational goalposts and milestones by using Department-specific metrics, indices, qualitative benchmarks and references for measuring success and quality.*

   *It is the University's intention that public funds in support of teaching and student learning be used to reward performance excellence, so that sufficient funding will be provided for the effective pursuit of world-class teaching and learning. There is therefore a need to assess educational impacts in some way to inform the funding level. Furthermore, as far as planning is concerned, the Department is expected to drive changes in order to mitigate problems at an early stage and set development priorities in order to leverage on available resources and opportunities.*

   > Please input response here and make reference to the SUPPORTING DOCUMENTS below if applicable.

   *Information Required*

| E7.1 | Department's assessment criteria for Academic Staff Development Review in respect of academic staff | By Personnel Office |
|---|---|---|
| E7.2 | Additional supporting documents (if any) | [Upload here] |

8.  Apply the educational assessment criteria of the Department stated in Q7 above and give an educational quality profile of the Department as well as an objective self-critique on academic standing and impact.

    *The Department is requested to gauge its standards based on the criteria for assessing educational impacts and quality. The aim is to analyse the Department's situation and opportunities as the Department self-establishes an educational quality profile.*

    <div style="border:1px solid black; min-height:1000px;">
    Please input response here.
    </div>

9.  Perform a SWOT-analysis in respect of the Department's educational programmes (Ug, RPg, and TPg) and describe what the Department will do in order to achieve the goals specified in the vision, goals and strategies listed in Q1 above.

    *The Department is expected to identify the educational strengths, weaknesses, opportunities and threats (SWOT) and describe the SWOT-based actions as well as enabling and improvement strategies. The Department is also expected to list the success factors/ tradeoffs to the plan and describe the resources and expenses involved.  List any potential areas of improvement that may inform the University's investment of additional resources. .  Explain why these new areas will make a difference to the Department.*

9.1     Strengths

Strength-bound actions (Open a new paragraph for each of the actions)

- Which goal are you referring to (e.g. which graduate attribute)? State the relation between the action and the goal.
- What has been done thus far?
- Evaluate the effectiveness of the activity or state the impact of the activity.
- Milestones and target completion times
- Metrics to measure success in meeting the goal

Please input response here.

9.2     Weaknesses

Weakness-improvement actions (Open a new paragraph for each of the actions)

- Which goal are you referring to (e.g. which graduate attribute)? State the relation between the action and the goal.
- What has been done thus far?
- Evaluate the effectiveness of the activity or state the impact of the activity.
- Milestones and target completion times
- Metrics to measure success in meeting the goal

Please input response here.

9.3     Opportunities

Opportunity-bound actions (Open a new paragraph for each of the actions)

- Which goal are you referring to (e.g. which graduate attribute)? State the relation between the action and the goal.
- What has been done thus far?
- Evaluate the effectiveness of the activity or state the impact of the activity.
- Milestones and target completion times
- Metrics to measure success in meeting the goal

Please input response here.

9.4     Threats

Threat-improvement actions (Open a new paragraph for each of the actions)

- Which goal are you referring to (e.g. which graduate attribute)? State the relation between the action and the goal.
- What has been done thus far?
- Evaluate the effectiveness of the activity or state the impact of the activity.
- Milestones and target completion times
- Metrics to measure success in meeting the goal

Please input response here.

# OUTCOMES OF RECENT REVIEWS

10.     List the Ug and TPg Programme Review Panels' major recommendations for improvement.  Please focus on major recommendations that are relevant to the department's holistic planning on education.  Feel free to provide further information or upload additional documents to support your arguments.

*List also all the recommendations on improvement in respect to education by the Visiting Committee.*

<div style="border:1px solid">
Please input response here and make reference to the SUPPORTING DOCUMENTS below if applicable.
</div>

### *Information Required*

| | | |
|---|---|---|
| E10.1 | Ug Programme Review Panel's major recommendations on improvement dated XX-XX-XXXX | By AQS |
| | Response document (Action Plan) by the department dated (day-month-year) | |
| E10.2 | TPg Programme Review Panel's major recommendations on improvement dated XX-XX-XXXX | By GSO |
| | Response document (Action Plan) by the programme committee dated (day-month-year) | |
| E10.3 | Visiting Committee Review report dated XX-XX-XXXX | By Provost Office |
| E10.4 | The corresponding Departmental action plan dated XX-XX-XXXX | By Provost Office |
| E10.5 | Additional supporting documents (if any) | [Upload here] |

11.     Describe what the Department has done to address the issues raised in the Ug and TPg Programme Reviews and the Visiting Committee's report. In particular, describe the progress to date and evaluate the impact of the aforementioned actions, which have been undertaken to address the recommendations by the Visiting Committee.

<div style="border:1px solid">
Please input response here.
</div>

12. ADP Preparation

A major review of each curriculum is expected in the beginning of each cycle of ADP planning. Describe the outcome of such a review in terms of (1) a revamp of the existing programme, (2) internationalization strategy, including integration of local and foreign students, (3) improvement in pedagogy, including utilization of e-learning, (4) broad-based admissions, and (5) development of new streams to enhance social and professional relevance.

In line with the University's strategy to develop e-learning in this triennium, i*ndicate the target number of e-learning courses to be developed in this triennium. Consider that the development of micromodules within a flipped-classroom pedagogy is important but they are just a means towards the goal of enhancing overall teaching and learning quality.*

*In response to QAC recommendations, the University has comprehensively reviewed grading policy. Grading according to criteria (as opposed to distribution guidelines) is essential under the outcome-based approach of the University. The grade descriptors must align with the learning outcomes of each course and be fully communicated to students. Grading must be done so that the expectations on student accomplishments in the course match the academic level of the course. Much deliberation among teachers and benchmarking across courses and across institutions is necessary in developing a criterion-reference system of grading.*

Please input response here.

*Information Required*

| E12.1 | The summary of proposed distribution of FYFD places | [Upload here] |
|---|---|---|
| E12.2 | The summary of proposed distribution of SY articulation places | [Upload here] |
| E12.3 | Proposals for any additional places | [Upload here] |
| E12.4 | A narrative on the rationale and justifications for top slicing in respect of various programmes offered by the department | [Upload here] |
| E12.5 | References to corroborate the claim that the proposed new programmes will meet societal needs | [Upload here] |
| E12.6 | Ug admission statistics | [Upload here] |
| E12.7 | Additional supporting documents (if any) | [Upload here] |

# ORGANIZATION AND RESOURCES

## PLANNING AND PROGRESS TO DATE

1.a.   Please upload an organization chart on the internal structure of the department, showing the configuration of committees and subdivisions (if any), the hierarchy, the lines of authority, the lines of communication, rights and duties. Subdivisions may include research laboratories, research centres, and research divisions in your Department.

*You may incorporate the research laboratories, research centres, and research divisions into the primary organization chart or use a separate chart to illustrate the organization structure of the research laboratories, research centres, and research divisions and their relations with the department.*

1.b.   State the Department's vision, mid-term goals and strategies which you have not already entered in the above sections on research and education. Feel free to provide further information or upload additional documents to support your arguments.

*The Department's vision, goals and strategies are expected to reflect on the Department's academic aspirations, philosophy, and priorities in the light of its role and stage of development, as well as the distribution of pertinent efforts and resources across disciplines.*

Please input response here and make reference to the SUPPORTING DOCUMENTS below if applicable.

*Information Required*

| O1.1 | Organization chart | [Upload here] |
|------|--------------------|---------------|
| O1.2 | Additional supporting documents (if any) | [Upload here] |

2.  Describe aspects of the Department's academic profile which have not already been entered in the above sections on research and education.

    *The Department's academic profile is expected to reflect the Department's directions and focused efforts that aim at consolidating the Department's achievements or spearheading the Department's strategic plans. .*

    <span style="color:red">Please input response here.</span>

3.  Based on the input to Q2 above, highlight the most notable organizational achievements in the past three years and describe the impact of these achievements. Give references to illustrate the impact. Please provide evidence to support the most notable organizational achievements.

    <span style="color:red">Please input response here.</span>

4.  Describe the alignment between the goals/objectives of the Department, the Faculty and that of the University, as documented in the Faculty's strategic plan and the CUHK Strategic Plan 2016-2020. Highlight how resources will be decided and deployed in the Department.  Feel free to provide further information or upload additional documents to support your arguments.

<div style="color:red">Please input response here and make reference to the SUPPORTING DOCUMENTS below if applicable.</div>

*Information Required*

| O4.1 | Faculty Strategic Plan dated XX-XX-XXXX | By UPO |
|------|------------------------------------------|--------|
| O4.2 | Department Strategic Plan dated XX-XX-XXXX | By UPO |
| O4.3 | Additional supporting documents (if any) | [Upload here] |

5.  Describe the assessment criteria for the Department's organization and resource allocation that have not already been entered in the above sections on research and education. Apply the assessment criteria to your Department and give a quality profile of the Department as well as a self-assessment on your current state.  Feel free to provide further information or upload additional documents to support your arguments.

*The Department's criteria for assessing organization and resource allocation are expected to reflect the Department's strategy of maintaining its academic impact/influence against the academic goalpost and milestones in the form of Department-specific metrics, indices, qualitative benchmarks and references for measuring success and quality.*

<div style="color:red">Please input response here and make reference to the SUPPORTING DOCUMENTS below if applicable.</div>

*Information Required*

| O5.1 | Department's assessment criteria for Academic Staff Development Review in respect of academic staff | By Personnel Office |
|------|------------------------------------------------------------------------------------------------------|---------------------|
| O5.2 | Review in respect of academic staff | [Upload here] |
| O5.3 | Additional supporting documents (if any) | [Upload here] |

6.      Perform a SWOT analysis of the Department and describe what the Department will do in order to achieve the vision and goals specified in Q1 above. Please focus on Organization and Resources.

*The Department is expected to identify the departmental strengths, weaknesses, opportunities and threats (SWOT) and describe the SWOT-based actions, the enabling and improvement strategies. The Department is also expected to list the success factors/ tradeoffs relevant to the plan and describe the resources and expenses involved in its implementation.*

6.1     Strengths

Strength-bound actions (Open a new paragraph for each of the actions)

- Which goal are you referring to? State the relation between the action and the goal.
- What has been done thus far?
- Evaluate the effectiveness of the activity or state the impact of the activity.
- Milestones and target completion times
- Metrics to measure success in meeting the goal

Please input response here.

6.2     Weaknesses

Weakness-improvement actions (Open a new paragraph for each of the actions)

- Which goal are you referring to? State the relation between the action and the goal.
- What has been done thus far?
- Evaluate the effectiveness of the activity or state the impact of the activity.
- Milestones and target completion times
- Metrics to measure success in meeting the goal

Please input response here.

6.3     Opportunities

Opportunity-bound actions (Open a new paragraph for each of the actions)

- Which goal are you referring to? State the relation between the action and the goal.
- What has been done thus far?
- Evaluate the effectiveness of the activity or state the impact of the activity.
- Milestones and target completion times
- Metrics to measure success in meeting the goal

Please input response here.

6.4     Threats

Threat-improvement actions (Open a new paragraph for each of the actions)

- Which goal are you referring to? State the relation between the action and the goal.
- What has been done thus far?
- Evaluate the effectiveness of the activity or state the impact of the activity.
- Milestones and target completion times
- Metrics to measure success in meeting the goal

Please input response here.

7.   In the light of the Department's future needs, if you have plans to adjust the staff mix (professorial vs. instructional grades), please describe them and indicate the changed composition. Also comment on the adequacy of faculty professional development opportunities and whether the activities are fit for purpose.

Please input response here.

8. Give a narrative on the departmental budget situation in 2016-7, 2017-8, and 2018-9. Feel free to provide further information or upload additional documents to support your arguments.

*The Department is expected to describe the major sources of income, the major expenditure items (for example, staff cost), and strategies of utilizing one-line budget allocations and resources in self-financed accounts. Describe any issues the department is facing in terms of resources and budget.*

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<span style="color:red">Please input response here and make reference to the SUPPORTING DOCUMENTS below if applicable.</span>

</div>

*Information Required*

| Q8.1 | Financial statements of departmental one-line-budget accounts<br>  ▪ Funding allocated by the Faculty for current fiscal year<br>  ▪ Budgeted expenses and surplus/deficit for the current fiscal year ending in June<br>  ▪ Accumulated reserve figures over the past 5 years with information on money earmarked for recognized academic development purposes | By Bursary |
|---|---|---|
| Q8.2 | Financial statements on self-financed and private accounts held by the Department and its Graduate Divisions<br>  ▪ Budgeted incomes, expenses, surplus/deficit (including transfer-out) for the current fiscal year<br>  ▪ Accumulated reserve figures over the past 5 years with information on money earmarked for recognized academic development purposes | |
| O8.3 | Additional supporting documents (if any) | [Upload here] |

9.    State the departmental strategy of offering Self-Financed Taught Postgraduate (SF TPg) Programmes and describe the delivery of the courses in terms of inload versus outside practice mode. Justify the use of outside practice mode and the hiring of part-time lecturers.

*Consider to make use of self-financed incomes to hire professoriate and lecturer grade teachers to deliver courses in in-load mode. Hiring teachers using self-financed incomes would reduce the need to pay full-time teachers to deliver self-financed courses in outside-practice mode, thereby reducing their teaching load. It would also reduce the need to employ part-time teachers.*

Please input response here.

## Outcomes of Recent Reviews

10.   List all the recommendations for improvement from the Visiting Committee in relation to organization and resources.  Feel free to provide further information or upload additional documents to support your arguments.

> Please input response here and make reference to the SUPPORTING DOCUMENTS below if applicable.

*Information Required*

| O10.1 | Visiting Committee Review report dated XX-XX-XXXX | By Provost Office |
|---|---|---|
| O10.2 | The corresponding Departmental action plan dated XX-XX-XXXX | By Provost Office |
| O10.3 | Additional supporting documents (if any) | [Upload here] |

11.   Describe the actions taken by the Department to address the issues raised in the Visiting Committee's report. In particular, describe the progress to date and evaluate the impact of actions taken in addressing the recommendations.

> Please input response here.

12. The University is facing a possible funding cut in the R-portion of the block grant in 2017-8 and 2018-9. This cut may trickle down to a cut in the one-line budget of the Department. Describe how the Department will cope with a reduction of the one-line budget. Discuss whether there is a plan to use the accumulated balances in the self-financed programmes to meet the shortfall in the one-line budget.

Please input response here.

## SYNERGY BETWEEN SELF-FINANCED AND BLOCK GRANT PROGRAMMES

1.  From the academic point of view, describe any synergistic benefits that the self-financed programmes are bringing to the block-grant programmes. Describe how these benefits can be maximized in the short term.

    *Consider that self-financed TPg programmes may provide advanced training to bachelor-degree graduates for better career prospects, which makes the undergraduate programme(s) more attractive. The self-financed programmes may also provide resources to hire professoriate teachers and enlarge the pool of research expertise. They may also create student sources for research postgraduate programmes.*

    Please input response here.

2.  Assess the student mix of self-financed versus block-grant programmes.  Are non-local students well integrated with local students? If the majority of students of a programme come from the same geographical origin, discuss the need to diversify the origin of students and whether any plan is in place to address the issue.

    Please input response here.

3.  Describe the reliance of the Department on self-financed programmes for the generation of resources in the short term and in the long term. Discuss whether the University, through allowing submission of

deficit budget projections by the Department, could facilitate the transfer of funding resource from self-financed programmes to block grant programmes.

> Please input response here.

4. Discuss the ways that self-financed surpluses have been and will be used to invite overseas scholars for visits and short-term appointments, cover the cost of international conferences, upgrade infrastructure (such as lab equipment, IT facilities), and provide student work schemes and other forms of financial assistance.

> Please input response here.

## ACTION-PLAN SUMMARY

Give a short summary outlining all the actions you have committed to take in the three domains of this review. The summary may include a short statement describing the projects and activities that have occurred or are currently underway as well as those which are going to be implemented between now and the target year of completion.

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Please input response here.

</div>

# ABBREVIATIONS AND ACRONYMS

| | |
|---|---|
| AAPC | Administrative and Planning Committee |
| ADP | Academic Development Proposals |
| ADRI | Approach-Deployment-Results-Improvement |
| AQ | Alumni Questionnaire |
| ARCH | Architecture |
| AVP | Associate Vice-President |
| BCME | Chinese Medicine |
| CCC | Chung Chi College |
| CLC | Yale–China Chinese Language Centre |
| CLEAR | Centre for Learning Enhancement And Research |
| COB | Committee on Bilingualism |
| CoP | Community of Practice |
| CSA | Committee on Student Affairs |
| CUHK | The Chinese University of Hong Kong |
| CUHK(SZ) | The Chinese University of Hong Kong, Shenzhen |
| EAC | *English across the curriculum* |
| ECQ | Entry Class Questionnaire |
| ELA | Experiential Learning Activities |
| ELITE | The Centre for eLearning Innovation and Technology |
| ELITE Stream | Engineering Leadership, Innovation, Technology and Entrepreneurship Stream |
| ELTU | English Language Teaching Unit |
| ES | Executive Summary |
| FinTech | Financial Technology |
| GCExCo | Executive Committee of the Graduate Council |
| GCQ | Graduate Capabilities Questionnaire |
| GLDs | Generic Level Descriptors |
| GS | Graduate School |
| HKCAAVQ | Hong Kong Council for Accreditation of Academic and Vocational Qualifications |
| HKQF | Hong Kong Qualifications Framework |
| I•CARE | *I* = Integrity and moral development; *C* = Creativity and intellectual development; *A* = Appreciation of life and aesthetic development; *R* = Relationships and social development; *E* = Energy and wellness |
| ILC | Independent Learning Centre |
| ILOLLS | Integrated Listening-Oriented Language Learning System |
| ISP | Interactive Speaking Platform (Impromptu Speaking Platform) |
| IT | Information technology |
| ITGC | IT Governance Committee |
| ITSC | Information Technology Services Centre |

| KEEP | Knowledge & Education Exchange Platform |
|------|----------------------------------------|
| LING | Linguistics |
| LWS | Lee Woo Sing |
| MMCD | Micro-Module Courseware Development |
| MMCU | Micro-Module for Campus-Wide Use |
| MoI | Medium of instruction |
| MOOCs | Massive Open Online Courses |
| NAC | New Asia College |
| OAL | Office of Academic Links |
| OBA | Outcomes-based approach |
| OP | Outside practice |
| OSA | Office of Student Affairs |
| Pg | Postgraduate |
| PTR | Planning Triennial Review |
| PTS | Peer Tutoring Scheme |
| PVC | Pro-Vice-Chancellor |
| QA | Quality assurance |
| QAC | Quality Assurance Council |
| QE | Quality enhancement |
| RAC | Resource Allocation Committee |
| RPg | Research postgraduate |
| SAP | Student Activities Project |
| SC | Steering Committee for Internationalization of Higher Education and Engagement of Mainland China |
| SCLE | Senate Committee on Language Enhancement |
| SCTL | Senate Committee on Teaching and Learning |
| SDP | Student Development Portfolio |
| SEQ | Student Experience Questionnaire |
| SET | Sub-Committee on Education Technologies |
| SFP | Self-financed Programmes |
| T&L | Teaching and learning |
| TDLEG | Teaching Development and Language Enhancement Grant |
| TPg | Taught postgraduate |
| UC | United College |
| UCR | University Core Requirement |
| UELA | Experiential Learning Activities organized by the University |
| Ug | Undergraduate |
| UGC | University Grants Committee |
| UPO | University Planning Office |
| VCom | Visiting Committee |
| WYS | Wu Yee Sun |

THE CHINESE UNIVERSITY OF HONG KONG

# Policy on External Referencing to Hong Kong Qualifications Framework

*This policy sets out an overall framework for external referencing to the Hong Kong Qualifications Framework (HKQF) at CUHK and constitutes the mapping of the University-wide graduate attributes with reference to the Generic Level Descriptors of the HKQF Levels 5-7, for the purpose of enhancing the understanding of HKQF for members of CUHK, as well as the University's concerted effort in acknowledging the unique aspects of HKQF.*

## Preamble

1.  At the second round of Quality Audit of CUHK conducted by the Quality Assurance Council (QAC) in March 2015, the Audit Panel encouraged the University "to ensure that staff involved in programme design and review are aware of the relationship between the framework and CUHK's graduate attributes", and recommended that the University "review its existing elite programmes in terms of the level and volume of work required, using the Hong Kong Qualifications Framework (HKQF) as the external reference point" (paragraph 2.6 of *Report of a Quality Audit of The Chinese University of Hong Kong 2015*).

2.  As an external reference to the HKQF, the University has taken into account in its programme design the Generic Level Descriptors (GLDs) (Levels 5, 6 and 7) of the HKQF, which are embedded in the University-wide graduate attributes of undergraduate (Ug), master and PhD levels. University policies are also in place on the curriculum structure for Ug and postgraduate (Pg) levels, and for course sharing between undergraduates and postgraduates that stipulate respectively the volume of work (e.g. total course load, major requirement units), and the level of work for Ug and Pg programmes. All programmes, including the enrichment/ elite ones, are required to comply with these University policies.

3.  In light of the QAC's recommendations, the Task Force on Review of External Referencing to HKQF was formed to review the impact of HKQF on the requirements of all programmes, including the enrichment/ elite programmes, in relation to both the level and volume of work.

**External Referencing to HKQF for Ug and Pg Programmes**

4.    *Overview of HKQF Levels 5 to 7 and the GLDs*

The HKQF was launched by the HKSAR government in 2008. It is a seven-level hierarchy, with each level characterized by outcome-based GLDs broadly classified into four domains, namely, (i) Knowledge and Intellectual Skills; (ii) Processes; (iii) Application, Autonomy and Accountability; and (iv) Communication, IT and Numeracy. The GLDs of HKQF have a greater focus on vocational education when compared to the established set of learning outcomes, i.e. Knowledge and Intellectual Competencies/ Skills; Functional and Social Competencies/ Skills; Values and Attitudes adopted by CUHK programmes.

5.    *Overview of the Graduate Attributes and University Policy*

CUHK's graduate attributes are comprehensive and all-rounded, which include academic and research consideration with both local and global significance, while GLDs of the HKQF places a greater emphasis on the vocational aspect of skills and local relevance. Mapping results of the CUHK's graduate attributes of Ug and Pg with reference to the GLDs of HKQF by the Centre for Learning Enhancement And Research (CLEAR) are as follow:

- Annex 1: Mapping of CUHK's Graduate Attributes and Level Descriptors at QF Level 5 (Undergraduate degree)
- Annex 2: Mapping of CUHK's Graduate Attributes and Level Descriptors at QF Level 6 & 7 (master's and doctoral levels)

Programme learning outcomes should be designed to support the development of graduate attributes, and make reference to the GLDs of HKQF.

6.    *Course Sharing between Undergraduates and Postgraduates*

The policy paper on "Course Sharing between Undergraduates and Postgraduates and Guidelines for Assignment of Level of Course Code" has been updated to align with the current practice regarding Ug students taking Pg courses, as well as the grading policy (Annex 3).

Students who have opted for a stream or other variants such as concentration areas within an Ug programme may need to take Pg courses to fulfill the requirements of the stream. Requirements for such stream or other variants should be designed in a way that students who cannot fulfill Pg course requirement(s) can make up for this in other ways (e.g. by taking alternative Ug course(s)) and are thus still able to graduate in his/ her own Major Programme without the stream/ concentration area after fulfilling the requirements of the Major and other University requirements.

**Award Title and Credit**

7.  In 2012, another important external reference point of HKQF, the implementation of the Award Titles Scheme (ATS) and Use of QF Credit, was announced by the Education Bureau (EDB).  With effect from 2016, qualifications recognized under HKQF are characterized by three key features: (i) level which reflects the depth and complexity of learning leading to the qualifications; (ii) award title which reflects the hierarchical level of the qualification and area of study; and (iii) credit which indicates the volume or size of learning leading to the qualifications.

8.  All CUHK programmes and title of qualifications have made external referencing to HKQF in relation to both the award title and credit requirement.  In general, CUHK students are required to complete 123 units of courses before graduation.  On average, they would take 15 to 18 units of courses in a term, a one-unit course would require 1.5 to 3 hours of work per week, hence a total maximum hours of 45-54 per week.  Programme/ course development and revision should make reference to such yardstick.

 Attachments

*<Approved by the Senate at its Second Meeting (2016-17)>*

# Mapping of CUHK's Graduate Attributes and Level descriptors at QF Level 5 (Undergraduate degree)

| QF Level 5 – Generic Level Descriptors | | Knowledge and Intellectual Competencies / Skills | | | | | Functional and Social Competencies / Skills | | | | | | | Values and Attitudes | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | Depth of knowledge within a specialty | Knowledge of a broad range of intellectual disciplines | Analytical skills | Critical thinking | Independent thinking | Communicative competency in Chinese | Communicative competency in English | Numeracy | IT competency | Interpersonal skills | Ability to work in a team | Life long learning skills | Intercultural understanding and sensitivity | Compassion, honesty and integrity | Desire to contribute and serve |
| Knowledge and Intellectual Skills | Generate ideas through the analysis of abstract information and concepts | ✓ | ✓✓✓ | ✓✓✓ | ✓✓✓ | ✓✓✓ | ✓ | ✓ | | | | | ✓ | | | |
| | Command wide ranging, specialised technical, creative and/or conceptual skills | ✓✓✓ | ✓✓✓ | ✓✓✓ | ✓✓✓ | ✓✓✓ | ✓ | ✓ | | | | | ✓ | | | |
| | Identify and analyse both routine and abstract professional problems and issues, and formulate evidence-based responses | ✓✓✓ | ✓✓✓ | ✓✓✓ | ✓✓✓ | ✓✓✓ | ✓ | ✓ | ✓ | ✓ | | | ✓ | | | |
| | Analyse, reformat and evaluate a wide range of information | ✓✓✓ | ✓✓✓ | ✓✓✓ | ✓✓✓ | ✓✓✓ | ✓✓ | ✓✓ | | ✓ | | | ✓ | | | |
| | Critically analyse, evaluate and/or synthesise ideas, concepts, information and issues | ✓✓✓ | ✓✓✓ | ✓✓✓ | ✓✓✓ | ✓✓✓ | ✓✓ | ✓✓ | | ✓ | | | ✓ | | | |
| | Draw on a range of sources in making judgments | ✓✓✓ | ✓✓✓ | ✓✓✓ | ✓✓✓ | ✓✓✓ | ✓✓ | ✓✓ | ✓ | ✓ | | | ✓ | | | |
| Process | Utilise diagnostic and creative skills in a range of technical, professional or management functions | ✓✓ | ✓✓ | ✓✓✓ | ✓✓✓ | ✓✓✓ | | | | | | ✓✓✓ | | | | |
| | Exercise appropriate judgement in planning, design, technical and/or supervisory functions related to products, services, operations or processes. | ✓✓ | ✓✓ | ✓✓✓ | ✓✓✓ | ✓✓✓ | | | | | ✓✓ | ✓✓ | | | | |
| Application, Autonomy and Accountability | Perform tasks involving planning, design, and technical skills, and involving some management functions | ✓ | ✓ | ✓✓ | ✓✓ | ✓✓ | | | | | | ✓✓✓ | | | | |
| | Accept responsibility and accountability within broad parameters for determining and achieving personal and/or group outcomes | | | | | | | | | | | ✓ | | | ✓✓ | |
| | Work under the mentoring of senior qualified practitioners | | | | | | | | | | ✓✓✓ | ✓✓✓ | | | ✓ | |
| | Deal with ethical issues, seeking guidance of others where appropriate. | | | | | | | | | | ✓✓ | ✓✓ | | | ✓✓ | |
| Communication, IT and Numeracy | Use a range of routine skills and some advanced and specialized skills in support of established practices in a subject/discipline | ✓✓ | ✓✓ | ✓✓ | | | ✓✓✓ | ✓✓✓ | | | | | ✓ | | | |
| | Make formal and informal presentations on standard/mainstream topics in the subject/discipline to a range of audiences | ✓✓✓ | ✓✓✓ | ✓✓ | | | ✓✓✓ | ✓✓✓ | | | ✓✓ | | ✓ | | | |
| | Participate in group discussions about complex subjects; create opportunities for others to contribute | ✓ | ✓ | | | | ✓✓✓ | ✓✓✓ | | | ✓✓✓ | ✓✓✓ | ✓ | | | |
| | Use a range of IT applications to support and enhance work | ✓ | ✓ | ✓ | | | | | | ✓✓✓ | | | ✓ | | | |
| | Interpret, use and evaluate numerical and graphical data to achieve goals/targets. | ✓ | ✓ | ✓ | | | | | ✓✓✓ | | | | ✓ | | | |

*Summarised from CUHK Strategic Plan 2006

✓✓✓  highly relevant

✓✓  very relevant

✓  Relevant

**Mapping of CUHK's Graduate Attributes and Level Descriptors at QF Level 6 & 7 (master's and doctoral levels)**

| | CUHK Graduate Attributes for Taught Postgraduate Programmes* | | | | | | | | | | |
| | Knowledge and Intellectual Competencies / Skills | | | | Functional and Social Competencies / Skills | | | Values and Attitudes | | | |
| **QF Level 6 – Generic Level Descriptors** | Depth of and state-of-art knowledge within a specialty | Expert skills in a professional field | Critical thinking** | Independent thinking** | Communicative competency in English | Communicative competency in other languages | Other skills, e.g. Numeracy, IT competency, Interpersonal skills** | Academic honesty** | Personal integrity** | Global perspective** | Desire to serve** |
|---|---|---|---|---|---|---|---|---|---|---|---|
| **Knowledge and Intellectual Skills** — Critically review, consolidate, and extend a systematic, coherent body of knowledge | ✓✓ | ✓ | ✓✓ | ✓✓ | ✓ | | ✓ | | | | |
| Utilise highly specialized technical research or scholastic skills across an area of study | ✓✓ | ✓✓ | ✓✓ | ✓✓ | ✓ | | ✓ | | | | |
| Critically evaluate new information, concepts and evidence from a range of sources and develop creative responses | ✓✓ | ✓ | ✓✓ | ✓✓ | ✓ | | ✓ | | | | |
| Critically review, consolidate and extend knowledge, skills practices and thinking in a subject/discipline | ✓✓ | ✓✓ | ✓✓ | ✓✓ | ✓ | | ✓ | | | | |
| Deal with complex issues and make informed judgements in the absence of complete or consistent data/information | ✓✓ | ✓✓ | ✓✓ | ✓✓ | ✓ | | ✓ | | | | |
| **Process** — Transfer and apply diagnostic and creative skills in a range of situations | ✓ | ✓✓ | ✓✓ | ✓✓ | ✓ | | ✓ | | | | |
| Exercise appropriate judgement in complex planning, design, technical and/or management functions related to products, services, operations or processes, including resourcing and evaluation | ✓✓ | ✓✓ | ✓✓ | ✓✓ | ✓ | | ✓ | | | | |
| Conduct research, and/or advanced technical or professional activity | ✓✓ | ✓✓ | ✓✓ | ✓✓ | ✓ | | ✓ | | | | |
| Design and apply appropriate research methodologies | ✓✓ | ✓✓ | ✓✓ | ✓✓ | ✓ | | ✓ | | | | |
| **Application, Autonomy and Accountability** — Apply knowledge and skills in a broad range of professional work activities | ✓✓ | ✓✓ | ✓✓ | ✓✓ | ✓ | | ✓ | | | | |
| Practice significant autonomy in determining and achieving personal and/or group outcomes | ✓✓ | ✓✓ | ✓✓ | ✓✓ | | | ✓✓ | | ✓✓ | | |
| Accept accountability in related decision making including use of supervision | ✓ | ✓ | ✓✓ | ✓✓ | | | ✓✓ | | ✓✓ | | |
| Demonstrate leadership and /or make an identifiable contribution to change and development | ✓✓ | ✓✓ | ✓✓ | ✓✓ | | | ✓✓ | | ✓✓ | | |
| **Communication, IT and Numeracy** — Communicate, using appropriate methods, to a range of audiences including peers, senior colleagues, specialists | ✓ | ✓ | ✓✓ | ✓✓ | ✓✓ | ✓✓ | ✓✓ | | | | |
| Use a wide range of software to support and enhance work; identify refinements to existing software to increase effectiveness or specify new software | | | ✓✓ | ✓✓ | | | ✓✓ | | | | |
| Undertake critical evaluations of a wide range of numerical and graphical data, and use calculations at various stages of the work | ✓ | ✓ | ✓✓ | ✓✓ | | | ✓✓ | | | | |

*Summarised from CUHK Quality Manual

** Attributes assumed on admission

✓✓  Highly relevant

✓  Relevant

| QF Level 7 – Generic Level Descriptors | | Graduate Attributes of CUHK Research Postgraduate Programmes (Doctoral Programmes)* | | | | | | | | | | | | |
| | | Knowledge and Intellectual Competencies / Skills | | | | Functional and Social Competencies / Skills | | | | | Values and Attitudes | | | |
| | | Depth of knowledge in a few major academic disciplines | Knowledge of a broad range of intellectual disciplines | Competency in conducting high quality independent research | Independent thinking** / Critical thinking** | Communicative competency in English | Communicative competency in an additional language | Producing top quality research output in various forms | Life-long learning skills | Other skills, e.g. Numeracy, IT competency, Interpersonal skills** | Academic honesty** | Personal integrity** | Global vision** | Desire to contribute and serve** |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Knowledge and Intellectual Skills | Demonstrate and work with a critical overview of a subject or discipline, including an evaluative understanding of principal theories and concepts, and of its broad relationships with other disciplines | ✓✓ | ✓✓ | ✓✓ | ✓✓ | ✓ | | ✓✓ | | ✓ | | | | |
| | Identify, conceptualise and offer original and creative insights into new, complex and abstract ideas and information | ✓✓ | ✓✓ | ✓✓ | ✓✓ | ✓ | | ✓✓ | | ✓ | | | | |
| | Deal with very complex and/or new issues and make informed judgements in the absence of complete or consistent data/information | ✓✓ | ✓✓ | ✓✓ | ✓✓ | ✓ | | ✓✓ | | ✓ | | | | |
| | Make a significant and original contribution to a specialised field of inquiry, or to broader interdisciplinary relationships | ✓✓ | ✓✓ | ✓✓ | ✓✓ | ✓ | | ✓✓ | | ✓ | | | | |
| Process | Demonstrate command of research and methodological issues and engage in critical dialogue | ✓✓ | ✓✓ | ✓✓ | ✓✓ | ✓✓ | | ✓✓ | | ✓✓ | | | | |
| | Develop creative and original responses to problems and issues in the context of new circumstances | ✓✓ | ✓✓ | ✓✓ | ✓✓ | ✓ | | ✓✓ | | ✓✓ | | | | |
| Application, Autonomy and Accountability | Apply knowledge and skills in a broad range of complex and professional work activities, including new and unforeseen circumstances | ✓✓ | ✓✓ | ✓✓ | ✓✓ | ✓ | | | | ✓ | | | | |
| | Demonstrate leadership and originality in tackling and solving problems | ✓✓ | ✓✓ | ✓✓ | ✓✓ | | | | | ✓✓ | ✓✓ | ✓✓ | | |
| | Accept accountability in related decision making | ✓ | ✓ | ✓✓ | ✓✓ | | | | | ✓✓ | ✓✓ | ✓✓ | | |
| | High degree of autonomy, with full responsibility for own work, and significant responsibility for others | | | ✓✓ | ✓✓ | | | | | ✓✓ | ✓✓ | ✓✓ | | |
| | Deal with complex ethical and professional issues | ✓✓ | ✓✓ | ✓✓ | ✓✓ | | | | | ✓✓ | ✓✓ | ✓✓ | | |
| Communication, IT and Numeracy | Strategically use communication skills, adapting context and purpose to a range of audiences | ✓ | ✓ | ✓✓ | ✓✓ | ✓✓ | | ✓✓ | | ✓✓ | | | | |
| | Communicate at the standard of published academic work and/or critical dialogue | ✓✓ | ✓✓ | ✓✓ | ✓✓ | ✓✓ | | ✓✓ | | ✓✓ | ✓✓ | | | |
| | Monitor, review and reflect on own work and skill development, and change and adapt in the light of new demands | | | ✓✓ | ✓✓ | | | | | ✓✓ | | | | |
| | Use a range of software and specify software requirements to enhance work, anticipating future requirements | | | ✓✓ | ✓✓ | | | | | ✓✓ | | | | |
| | Critically evaluate numerical and graphical data, and employ such data extensively | | | ✓✓ | ✓✓ | | | | | ✓✓ | | | | |

*Summarised from Quality Manual

** Assumed attributes on admission

✓✓ Highly relevant

✓ Relevant

THE CHINESE UNIVERSITY OF HONG KONG

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

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, 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.   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.

Students who have opted for a stream or other variants such as concentration areas within an Ug programme may need to take Pg courses to fulfill the requirements of the stream.   Requirements for such stream or other variants should be designed in a way that students who cannot fulfill Pg course requirement(s) can make up for this in other ways (e.g. by taking alternative Ug course(s)) and are thus still able to graduate in his/ her own Major Programme without the stream/ concentration area after fulfilling the requirements of the Major and other University requirements.

**(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.

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.      With the adoption of an outcomes-based approach (OBA) to curriculum design and implementation, the approach should be accompanied by broad specification of criteria by which standards are defined for each grade at programme/ course introduction, approval and major revision.   Programmes should have developed a logical and coherent set of grade descriptors for criterion referencing that provides students with clearly stated standards for different grade levels regardless of their Ug or Pg status.

**Sharing of learning activities**

7.      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**

8.      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**

9.      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**

10.      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 in the following page.

| 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 committee 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 Committee/ Programme Review Panel in reviewing the course should apply a benchmark appropriate to the level assigned.

THE CHINESE UNIVERSITY OF HONG KONG

# Policy on Assessment of Student Learning in Taught Programmes

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*This paper presents an overall framework for assessment of student learning in taught programmes at CUHK and sets out the University-wide policy and philosophy guiding assessment practices that should be applied across the board. This policy ensures that all assessments are undertaken in a fair, credible, rigorous and transparent manner, and thus demonstrates the University's serious efforts on assessment of its students as an integral part of their learning.*

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## INTRODUCTION

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

    - Principles and approaches of assessment
    - University-wide code of practice
    - Monitoring of quality and impact

## PRINCIPLES AND APPROACHES OF ASSESSMENT

### 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.  Objectives (a) and (b) above are often said to be *summative*, while objective (c) is often said to be *formative*. When designing appropriate means of assessment at the time of setting learning outcomes, attention should be paid to the balance of summative and formative forms of assessment.

4. Taking reference of the University's graduate attributes, learning outcomes of individual programmes and the generic level descriptors of the Hong Kong Qualifications Framework (HKQF), a well-designed course will embrace learning outcomes across different domains. Diverse and integrated assessments aligned with learning outcomes should be in place to effectively measure the level of performance in various domains and to capture different levels of attainment of the learning outcomes.

**Principles of assessment**

5. Assessment drives and motivates student learning, and is integral to the entire learning process. It is therefore important to factor assessment into consideration at the time of programme and course design when the desired learning outcomes are drawn up. With the introduction of the outcomes-based approach (OBA), the University's assessment policy is based on the principles underlying its *Integrated Framework for Curriculum Development and Review* (Integrated Framework, *IF*), which guides the curriculum design and implementation of all taught programmes: the stated desired learning outcomes guide the choice of content, the design of student learning activities and assessment tasks, which include forms of assessment, expectations with respect to student achievement, scale of grading student performance, determination of results of assessment, feedback to students etc. Guided by the OBA and *IF*, assessment practices should reflect the following principles:

(a) OBA requires clarity on expected outcomes, therefore assessment should be based on *criterion referencing that relates to the learning outcomes so as to testify if the outcomes are duly achieved*. More details concerning criterion-referenced assessment will be covered in the ensuing sections.

(b) Assessment tasks should have an *appropriate level of cognitive demand*, and assessment tasks assigned to students should be appropriately demanding.

(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) Assessment should be *transparent* with clear processes known to teachers and students.

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

**OBA, criterion-referencing and grade descriptors**

6. 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, content, learning activities and assessment tasks. Programme learning outcomes must in turn be internally synergistic with the graduate attributes and the overall strategic goals of the University, and externally benchmarked (see paragraph 14) in order to check on overall standards in each discipline.

7.    OBA should be accompanied by criterion-referenced assessment and development of grade descriptors which comprise broad specification of criteria by which standards are defined for each grade. Different sets of grade descriptors can be produced according to the nature of courses and/ or assessment tasks involved. Individual programmes should develop their own descriptors (a) once and for all at the time when 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. The adoption of grade descriptors as part of the University-wide code of practice will be explained in greater details in paragraphs 16-17, and programmes are required to move along this direction in measured steps.

8.    The entire flow of assessment, including the assessment tasks and standards defined in terms of levels of student performance, are integrated as expressed in grade descriptors compiled at the outset when formulating the desired learning outcomes. In the actual grading stage, the marker should base primarily on the prescribed standards, i.e. grade descriptors defined for the course/ task concerned.

9.    To avoid unnecessary grade inflation/ deflation, programmes/ teachers should check and review, at regular intervals, (a) the effectiveness of assessment tasks; and (b) the suitability of the standards defined against the actual distribution of grades and the way they are applied in practice. If large numbers of students are consistently lumped together in the grades at the extremes (*A* or *D*), it may be possible that the assessment tasks tend to be too easy or too difficult, both of which fail to align with the desired learning outcomes, or the grade descriptors that guide the marking/ assignment of grades are not appropriately defined to reflect different levels of attainment of the learning outcomes.

10.   For assessment to be conducted in a credible, fair and transparent manner, the following information pertaining to assessment should be clearly stated in the programme/ course outline for students' information: the assessment tasks that they will need to undergo, e.g. class work, tests, assignments, laboratory work, field work, projects, reflective journals, reports, case studies, examinations; the timeline of undertaking these tasks; the grading standards by which their performance is rated, and the channels/ means through which they receive feedback on their performance.

## UNIVERSITY-WIDE CODE OF PRACTICE

11.   In the light of the above principles, the University has established a code of practice on assessments, which shall be applied to all taught programmes/ courses across the board.

**Programme assessment scheme**

12.   To align with the University-wide assessment policy, programmes should formulate their own programme assessment schemes which are specific to the nature of their disciplines, with the following components:

(a) A statement of the *programme learning outcomes* that cover appropriate areas (see paragraph 4).

(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. An example can be found on the website[1] of the Centre for Learning Enhancement And Research (CLEAR).

(c) A set of *course outlines* (developed using the approved course template[2]), in which the rationales for the choice of all assessment tasks are mapped against the course learning outcomes. The course assessment scheme states why and how marks will be assigned to each assessment task. Examples of assessment rationales for course outlines are available from "Guidelines and Procedures for Writing Course Outlines"[3]. As the University gradually moves towards OBA, it is expected that there will be a process of developing grade descriptors for criterion referencing (see paragraphs 6-9). Some guiding questions that can be used in developing a good course assessment scheme are in **Appendix 1**.

(d) An *overall programme assessment scheme* which summarizes the proportion of each type of assessment tasks/ activities (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. An example is available at CLEAR's 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.

- 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 Visiting Committees, or programme review panels about the assessment scheme in general.

13. Programme assessment policies should be clearly communicated to students through the designated webpages of the respective programmes and in the programme handbooks/ outlines.

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[1] http://www.cuhk.edu.hk/clear/tnl/assessment_exampleIFAA.pdf
[2] http://www.cuhk.edu.hk/clear/download/CO_Template_Oct2014.pdf
[3] http://www.cuhk.edu.hk/clear/services/course_plan.htm
[4] http://www.cuhk.edu.hk/clear/tnl/assessment_exampleIFAA.pdf

**Benchmarking**

14.     There should be an effort to benchmark standards externally, for example through External Examiners[5], 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.     All programmes (or Departments or Graduate Divisions) should establish assessment panels[6], or have the entire programme committees (or Department Boards or Graduate Divisions) operate as the assessment panels with the ultimate responsibility and authority over all aspects related to assessment, including but not limited to ensuring that this policy is observed, endorsement of course assessment schemes, determination of assessment results, award of degree honours classifications, consideration of any representations concerning unusual circumstances during the course of student assessment, and handling of grade appeals.  An assessment panel shall be formed within each programme/ Department/ Graduate Division/ Faculty, chaired by the Department Chairman/ Head of the Graduate Division/ Dean of the Faculty (or his/ her representative), with at least two members other than the Department Chairman/ Division Head / Faculty Dean himself/ herself.   The terms of reference for assessment panels are in **Appendix 2**.

**Grade descriptors**

16.     Grade descriptors form the basis for criterion-referenced assessment.   In the spirit of OBA, assessment can be perceived as a holistic evaluation of student performance against pre-set criteria/ standards which can be translated into different levels of attainment of the desired learning outcomes for the programmes/ courses concerned. Grade descriptors also facilitate the grading and mark moderation process and help promote consistency in cases where there are multiple markers.   From the students' perspective, grade descriptors serve as explicit and clear signals that enable them to understand the level of performance and the quality of work expected.

17.     The development of grade descriptors should be done at the time when learning outcomes and means of assessment are determined.   In setting the standards of performance at different levels, teachers should consider and decide what standards students can be reasonably expected to meet, and compile the descriptors explicitly by reviewing critically the grade distribution statistics of the courses concerned over the past years and by making reference to the guidelines for defining grade descriptors. Grade descriptors unique to specific disciplines or categories of courses or assessment tasks should be included in course outlines which are readily accessible to students.   A few templates are in **Appendix 3**.   Teachers are also advised to approach CLEAR for training and guidelines on the drafting of grade descriptors.

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[5]  External Examiners have been phased out since the implementation of the Visiting Committee System from 2009.   However, external examiners are still appointed for professional programmes on a need-basis or for new taught postgraduate programmes in their first three years of implementation.

[6]  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.

**Marking**

18.　The following procedures should be followed to ensure that marking is fair and that the assessment scheme in each programme is transparent.

19.　The teacher or course coordinator (who is listed in the time-table) has ultimate responsibility for the *marking scheme* for each assessment task, even where the initial draft may be delegated to Teaching Assistants (TAs).　More importantly, there is a need to ensure uniformity: for courses offered in multiple sections and/ or where scripts are marked by more than one individual, the same detailed marking scheme*s* should be used by all markers, including TAs and part-time teachers.　There should not be separate 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.

20.　The design of the marking scheme for each assessment task should make reference to the expected learning outcomes and the grade descriptors.　An example of an internationally accepted marking framework is posted on the University's assessment website[7].　It should be noted that *A* grades should be reserved for truly excellent work that exceeds the level expected for the majority of students.

21.　When courses undergo periodic reviews, prescribed by the *IF*, a sample of grade descriptors and marking schemes for a variety of assessment types should be made available for peer scrutiny.

**Student anonymity**

22.　Each programme should develop 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.　The policy should be publicized on the Faculty's or programme's website and be brought to the attention of students, Visiting Committees and Programme Review Panels as appropriate.

**Moderation of marks**

23.　Moderation of marks offers a test for or an evidence of efficient application of grade descriptors and grading standards.　It should be carried out at course level. Arrangements of how it should be done rest upon the discretion of individual programmes/ Departments/ Graduate Divisions/ Faculties.

　　(a) *Internal moderation* includes double marking for courses with considerably skewed grade distribution or exceptionally high failure rates or in the case of projects supervised by only one teacher; moderation of grades for more open-ended and less structured assessment tasks, or for courses involving new teachers or more than one marker, or occasional checking of the marking of TAs and part-time teachers.

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

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[7]　http://www.cuhk.edu.hk/policy/assessment/SOLO-description.pdf

(c) Programme-based/ Faculty-based arrangements on moderation of marks should be posted on the programme websites for scrutiny by the Visiting Committee or the programme review panels.

**Group projects and peer assessment**

24. Group projects are commonly used as a learning experience and a vehicle of assessment. The way of how group work should be assessed always attracts debates over *en bloc* grading versus rating of individual efforts. The former aims to provide an overall evaluation of the group performance as a whole by giving an equal rating applicable to all group members while the latter recognizes and assesses contributions made by individual members. In terms of fairness, individual rating tends to offer more genuine reflection on student work and prevent "freeloading" but it also raises difficulties in practice as to how individual work can be measured accurately and objectively.

25. For a fair judgment on student performance, courses should embrace a good mix of assessment types which can effectively and fully reflect the concerted efforts of group work as well as performance of individual students. Courses assessed solely by collective group work need scrutiny and approval by the respective Faculty Boards/ Graduate Divisions and the Senate Committee on General Education as appropriate.

26. Peer assessment within a group work assignment may provide students with opportunities to learn more about teamwork and responsibility for shared learning. Programmes/ courses should lay down clear guidelines and processes so that peer assessment can be effectively exercised in a way that students can make good use of the opportunity to support and motivate learning, i.e. assessment for learning. Examples of how group work and peer assessment are conducted at CUHK can be found on the assessment website[8].

**Academic honesty**

27. The University places very high importance on honesty in academic work submitted by students, and a set of policy *Honesty in Academic Work: A Guide for Students and Teachers*[9] is in place as the University-wide guidelines against academic dishonesty at all levels of studies. The policy also applies to open-book examinations.

28. Departments/ programmes should draw students' attention to the importance of academic honesty and the University's policy at the beginning of the term, and incorporate, either in full or in part, such policy into the programme/ course outlines. They should also ensure that reasonable effort is taken to require that 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 properly attended to.

29. Course examinations should be scheduled, invigilated and monitored by panels of examiners set up by the departments concerned or centrally. Guidelines on examination and invigilation procedures can be found on the assessment website[10].

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[8] http://www.cuhk.edu.hk/policy/assessment/
[9] http://www.cuhk.edu.hk/policy/academichonesty/
[10] http://www.cuhk.edu.hk/policy/assessment/Guidelines-on-Examination-and-Invigilation-Procedures-for-Pub

For examinations that are not centrally scheduled, Departments/ programmes should draw up structured procedures on invigilation to ensure objectivity and fairness.

30. The University adopts a policy of zero tolerance on plagiarism and cheating in examinations. Teachers should report all cases of suspected plagiarism or cheating to their respective Faculties, and those cases will then be dealt with by the disciplinary committee concerned and/ or the Senate Committee on Student Discipline for possible disciplinary actions in accordance with the University regulations. The penalties include deduction of marks, demerits, suspension of study and termination of studies.

**Combining marks**

31. 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 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[11]. Statistical normalization of the marks may be appropriate for some assessment components.

**Awarding grades**

32. 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, as defined in the grade descriptors (see paragraphs 16-17).

33. To ensure the utilization of grade descriptors as a reliable benchmarking for marking/ grading and to avoid grade inflation/ deflation, grade descriptors are subject to regular review against the actual allocation of grades, and fine-tuning adjustments should be made as appropriate to validate the effectiveness of grade descriptors in capturing students' levels of achievement.

34. To facilitate monitoring by individual programmes and Faculties, statistics on grade distribution at individual course-, programme- and faculty-levels can be generated by individual programmes/ Faculties through CUSIS after the grade appeal period in each academic term. Faculties should monitor the statistics on grade distribution and report to the UEB for courses/ programmes with consistently deviating grade distribution for four years, which will initiate review and if necessary, re-writing of the respective grade descriptors.

35. 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). Existing courses at undergraduate level which switch to the use of *pass/fail* grade will be subject to Senate's approval while those at postgraduate level will be subject to approval by the Graduate Council Executive Committee. 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.

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lic-Access.pdf

[11] 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.

**Grade point average**

36.     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.   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 the programme documentation.   The Registry/ Graduate School computes and records the GPA(s) for each student, and the maximum score of 4.0 will be specified against the actual GPA scores obtained by students on the academic transcripts.

**Honours classification**

37.     A student who has satisfied the conditions for graduation shall be awarded a Bachelor's degree in one of the following classifications: First Class Honours, Second Class Honours Upper Division, Second Class Honours Lower Division, Third Class Honours, and Pass.

38.     The honours classification of an undergraduate degree awarded by the University is determined at the time of graduation, as recommended by the Major programme concerned for endorsement at Faculty level, subject to certain conditions primarily on Major GPA and overall GPA, with reference to percentage distribution, and as stipulated in the University's guidelines and regulations for determining honours classifications.   The UEB is delegated with the authority to consider/ approve cases submitted by Faculties with valid academic justifications but deviating from the stipulated guidelines and regulations.   The procedures for calculating these measures and the processes for ratification are on the assessment website[12].

**Feedback to students**

39.     For assignments during term time, a reasonable "turn-around" time should be set, depending on the nature and complexity of work involved.   "Turn-around" time for each assignment/ assessment task should be included in course outlines for students' information, and feedback on assignments provided to students by various means. Each programme should also determine and announce a "turn-around policy", which should receive attention from Visiting Committee or programme review panels.

40.     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' access to examination scripts; the policy should receive attention from Visiting Committee or programme review panels.   It will be useful if the policy would highlight the educational benefits rather than the opportunity to appeal.

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[12]   http://www.cuhk.edu.hk/policy/assessment/New-Honour-Guidelines-for-Public-Access.pdf

41. Departments and programmes should archive a sample of examination scripts and other student work that substantially contribute to final grades for possible future scrutiny by Visiting Committee or programme review panels. The original or electronically-scanned sample examination scripts and copies of student work should be kept at the department/ programme office for onsite review by Visiting Committee or programme review panels, and should only be disposed of or returned to students after the reviews have been conducted.

**Appeals**

42. Students who have a query on the grade given for any courses should consult the teacher(s)/ assessment panel concerned within two weeks upon the release of academic results for the relevant term by the Registry/ Graduate School.

43. In the event that a student, after consulting the teacher(s)/ assessment panel 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 [13], for an independent investigation into the matter.

**Summary of the Assessment Policy**

44. **Appendix 4** provides a summary of the Assessment Policy for implementation by Faculties/ Departments/ Graduate Divisions/ Programmes.

# MONITORING OF QUALITY AND IMPACT

45. The actual practice on assessment should be reviewed in the first instance by each department or programme committee, 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.

46. Assessment practice will also be monitored in the regular programme reviews. The monitoring will include, inter alia:

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

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

(c) evidence of external benchmarking;

(d) good practice in marking;

(e) appropriate effort to ensure academic honesty;

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[13] http://www.cuhk.edu.hk/clear/qm/A8-1.pdf

(f)  regular review of grade descriptors against the actual allocation of grades to avoid grade inflation/ deflation, and serious efforts to deal with deviations through scrutiny of adopted standards and the actual application of those standards and re-writing of descriptors if necessary; and

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

47.  Assessment practice should also receive attention from Visiting Committee and programme review panels.

Attachments

*<Approved by the Senate at its Second Meeting (2016-17)>*

# LIST OF APPENDICES

**Appendix 1**

**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 'Course Sharing between Undergraduates and Postgraduates and Guidelines for Assignment of Level of Course Code' that is available at A3-8 of the Quality Manual.

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[14]. Periodic feedback from former students and alumni can also enrich an assessment review process.

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

**Appendix 2**

**Terms of reference for assessment panels[15]**

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

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

3.   To review comments provided by Visiting Committee and programme review panels.

4.   To review and define grade descriptors as and when necessary.

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.

11.  Any other duties as determined by individual Departments/ Divisions/ programmes.

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[15] Each programme (or Department or Graduate Division) should establish an assessment panel which is chaired by the Department Chairman/ Head of the Graduate Division/ Dean of the Faculty (or his/ her representative) and comprises at least two other members.

**Appendix 3**

**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[16].

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

## 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. <br> 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. <br> 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. <br> 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. <br> 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 <br> 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<br>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<br>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<br>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<br>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<br>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 4**

**Summary of the Assessment Policy for implementation at programme level**

|  | Item | Ref Para |
|---|---|---|
| 1 | Programmes should devise their own programme assessment schemes which are in alignment with the University's Assessment Policy and unique to the nature of their disciplines, and such assessment schemes should be posted on the designated webpages of the respective programmes and included in the programme handbooks/ outlines. | 12-13 |
| 2 | Efforts should be made to benchmark the assessment methods and standards. | 14 |
| 3 | Assessment panels with clearly stated terms of reference should be established for all programmes. | 15 |
| 4 | Grade descriptors should be clearly defined in terms of criteria or standards of students' performance expected for each grade, to align with the learning outcomes and means of assessment of each course for inclusion in course outlines for students' reference. | 16-17 |
| 5 | For courses that involve multiple teachers/ markers, marking schemes should be given to all markers including TAs. | 19 |
| 6 | Programmes should make arrangements for or devise their own policies on moderation of marks at course level. | 23 |
| 7 | Courses that involve group projects should embrace a good mix of assessment types to fairly and effectively evaluate the performance of individual students. | 24-25 |
| 8 | Clear guidelines and processes should be laid down for peer assessment in group projects. | 26 |
| 9 | All text-based assignments should be submitted to the University's plagiarism detection engine *VeriGuide*, and all cases flagged should be well attended to. | 27–28 |
| 10 | There should be structured procedures for invigilation in examinations other than those that are centrally scheduled. | 29 |
| 11 | All cases of academic dishonesty among students should be properly dealt with according to the University's established procedures. | 30 |
| 12 | For courses that comprise different assessment tasks, marks are combined to obtain the total marks, and the spread of the scores for each component should be taken into consideration. | 31 |
| 13 | Grade descriptors should be regularly reviewed against the actual grade distribution in all courses to avoid grade inflation/ deflation, and fine-tuning adjustments should be made to the grade descriptors as appropriate. | 33-34 |
| 14 | A reasonable 'turn-around' time should be set for each assignment during term time for inclusion in course outlines. | 39 |
| 15 | Programmes should determine and announce a policy on student access to examination scripts. | 40 |

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THE CHINESE UNIVERSITY OF HONG KONG

**eLearning Policy for implementation in 2017-18**

**1.    Background**

1.1    The ubiquitous use of the internet and rapid development in technologies is shaping how education is resourced, delivered and taken up.  In recent years, there appears an increasing focus on the development of eLearning pedagogies and adoption of technology-enabled resources (e-resources) such as internet, intranets, electronic and multimedia resources, as well as mobile and wireless learning applications in support of teaching and learning (T&L) in the higher education sector.  eLearning is widely implemented in or outside the classroom for self-paced, asynchronous learning, or instructor-led, synchronous learning.  eLearning focuses on the centrality of learning, with the use of technologies to enrich the quality of learning and open up new opportunities for learning.  It also creates potentials to engage in new collaborations and enables knowledge transfer via publicly available modules such as Massive Open Online Courses (MOOCs).

1.2    To keep abreast of the growing trend of eLearning across higher education institutions worldwide, The Chinese University of Hong Kong (CUHK) has built up its capacity since the last decade by strengthening the technological infrastructure for T&L and the learning environment.  As put forth in the University's Academic Development Proposals (ADP) for the 2016-2019 triennium, institutional advancement in eLearning is one of the milestones for development, and the construction of micro-module[1] to support flipped-classroom pedagogy is widely promoted.

1.3    At the First Meeting (2014-15) of the Senate Committee on Teaching and Learning (SCTL), an eLearning Policy Task Force was set up to work out a framework for assuring the quality of eLearning and technology-enhanced T&L activities so as to facilitate system-level advancement across the University.  Moreover, a holistic eLearning Strategic and Action Plan was developed by a Steering Group established in May 2015 that was chaired by the Vice-Chancellor.  Six key development areas together with enabling strategies had been identified: (i) degree course and programme, (ii) MOOC, online course and programme, (iii) pedagogy research, (iv) theme-based research, (v) infrastructure and teacher support, and (vi) policy and quality assurance. An Action Plan for 2015-16 had also been formulated and implemented under the supervision of the Provost.

1.4    The Centre for eLearning Innovation and Technology (ELITE) was established to provide support for eLearning projects, Micro-Module Courseware Development (MMCD), and other initiatives of the University such as MOOCs.  Since 2014, the Micro-Module Courseware Development Grant Scheme was launched to set up exemplary examples for micro-module production and flipped-classroom implementation, to promote the use of eLearning and eLearning studies in foundation courses with large number of enrolment and multiple sessions, and to build capacity for pedagogy research on eLearning. A pilot scheme on eLearning for various levels of courses across Faculties was devised and implemented in the fall of 2015 with an aim to cultivate a community of practice within the University.

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[1]  See paragraph 2.2.

1.5    A new Task Force on eLearning was set up in August 2016 to take up the role of the previous eLearning Steering Group and eLearning Policy Task Force in spearheading the eLearning development across the board, with wider representations from teachers, students and support units. A review was conducted on the progress of the Action Plan including the effectiveness of the pilot scheme on eLearning after a year's implementation. Based on the encouraging outcomes, the University will further its stride on eLearning development, and this paper sets forth a policy for implementation in 2017-18.

## 2.    eLearning in CUHK

2.1    Within the CUHK context, delivery of T&L with eLearning components can be broadly classified as follows:

(i)    blended courses including the use of flipped classroom – delivering a part of the course content and instruction via digital or online media, thus leaving more time for interactive activities in class; and

(ii)    other technology-supported modes, including the use of micro-modules and other information-technology teaching aids to supplement classroom teaching.

2.2    Micro-modules are small learning units that can be studied separately or stringed together flexibly to cater for learning needs of individual students. Students can access and view the modules before or after class, so that face-to-face class time can be spared for quality interactions between teachers and students. The format and features of effective micro-modules vary from discipline to discipline, and may include short lecture, demonstration, hands-on activity, assessment items etc. With high degrees of versatility, micro-modules can be modified and combined for use by different courses and disciplines, and can be complemented by the use of lecture recording and classroom response systems. Notable examples of micro-modules have been produced across various faculties. Building on the fruitful results, faculties are encouraged to use a more structured approach to consolidate the development of Micro-Module for Campus-Wide Use (MMCU) with a view to achieving system-level advancement with high impact. Training programmes on eLearning including MMCU development will be provided by the Centre for Learning Enhancement And Research (CLEAR) in collaboration with the Faculty of Education.

## 3.    The eLearning Policy

3.1    As stated in the University's eLearning Strategic and Action Plan, the strategic aim of the University's engagement in eLearning is:

"To advance eLearning for innovative teaching and student-centered learning with a view to enhancing student learning outcomes, pedagogy and theme-based researches as well as increasing the visibility of the University."

This describes the University's vision to support high-impact use in technology to extend the influence and potential of CUHK's role in education and to enrich learning quality.

3.2    In line with the University's strategic aim and as a result of the review conducted on the pilot scheme on eLearning after a year's implementation, this eLearning policy is drawn up to give a clear guidance and direction for the University-wide implementation of eLearning. It presents the University's vision and the proposed rubrics, i.e. the general course design and selection, as well as evaluation of online and blended courses, and sets out the approval procedures and resources available to teachers and researchers.

*Approval and Revision of eLearning Courses*

3.3    At the programme level, Programme Committees are given the autonomy and should address the needs of the discipline to design the contents, pedagogical approaches and assessment means for the courses.  In other words, they may introduce technology-enhanced learning components in their own courses, given that the overall course objectives, outlines and structures are in compliance with the initial approved proposals, and there should not be any reduction in face-to-face classroom contact hours in general.  All proposals for new courses or revision of existing ones will need to be submitted to the Faculty Boards concerned for approval.  Should there be large-scale or significant changes to existing programmes beyond the curricular framework previously approved by the Senate, it is necessary to go through another cycle of review and approval by the Senate Academic Planning Committee (SAPC) and the Senate, and via the Graduate Council for postgraduate programmes.

3.4    The ultimate objective of eLearning development is to enrich students' learning experience and enhance the T&L quality, therefore it should not be taken as a substitute for scheduled face-to-face classroom learning.  On the basis that one unit is taken to represent one classroom contact hour together with 0.5 to two student self-study hours per week, which has been widely adopted, a 3-unit traditional course normally entails a minimum of around 39 face-to-face classroom contact hours and some 50 student self-study hours over a teaching term, plus two to three hours of assessment.  Nevertheless, the normative face-to-face classroom contact hours vary between Faculties/ disciplines (e.g. a 1-unit laboratory course of the Faculty of Science may comprise more than one classroom contact hour per week).  Instructional considerations should also be given for meeting the requirements based on different circumstances, including the level of teaching/ teaching support staff responsible for/ supporting the course.

*Flexibility for Variation in Classroom Contact Hours for eLearning Courses*

3.5    With reference to the learner-centred approach and the Hong Kong Qualification Framework (HKQF), the volume of work is expressed in terms of notional learning hours involving students' efforts and commitments.  For courses with eLearning components, the notional student learning hours may comprise time for face-to-face classroom learning, viewing online-lectures, synchronous eLearning under teachers' online supervision, asynchronous eLearning at students' own pace, self-study, as well as assessment.  A pilot scheme was in place in 2015-16 to allow Programmes/ Departments some flexibility on the number of face-to-face classroom contact hours for courses with technology-enhanced components to deviate from the commonly adopted benchmark of one face-to-face classroom contact hour per week for one credit unit.  Following the use of notional student learning hours, Programmes/ Departments would continue to exercise their discretion on the contents and pedagogies of their courses in an optimal way to assure the attainment of the expected learning outcomes.  More details, including the criteria for course approval at the Faculty level, are covered in Attachment A.

*Evaluation of eLearning Courses*

3.6    Faculty Boards are charged with the responsibility to ensure that programmes under their purview are taking a prudent and phased approach in eLearning development in order to maintain the quality of T&L and not to put students' learning at risk.  Faculty Boards are advised to conduct regular evaluation on the effectiveness of blended learning in their

courses and programmes on the basis of the criteria (<u>Attachment B</u>), and report their self-reflection to the eLearning Task Force or its designated committee.

3.7 Blended courses are also required to undergo rigorous review undertaken by the respective Programme Committee once every three years as detailed in the *Quality Manual*. All blended courses and eLearning initiatives will be monitored by Programme Reviews.

## 4. Development Plan on Massive Open Online Courses (MOOCs)

4.1 The University joined Coursera[2] in 2013 and CNMOOC[3] in 2016, and has produced a series of MOOCs across a wide range of disciplines. MOOCs create potentials to engage in new collaborations and enable knowledge transfer via publicly available modules accessible online across the globe. At present, the development of MOOCs is primarily by invitation.

4.2 MOOCs open up a new opportunity for the University to deliver its high quality courses to learners worldwide and promote its educational outreach and public engagement. It is therefore important to ensure the academic standard of MOOCs not only for upholding the University's T&L quality but also its reputation. To facilitate central coordination and quality assurance, staff members who are interested to develop a MOOC have to submit an expression of intent to the eLearning Task Force for initial endorsement, and then a course proposal (in standard templates) no less than three months before the proposed launch date, via the respective Department and Faculty Boards, to the Sub-Committee on Education Technologies (SET) under the IT Governance Committee for approval. The proposal should describe the framework on course design and structure, expected learning/ study load expressed in terms of learner engagement time, forms of assessment (e.g. formative/ summative/ peer review as well as the formats such as assignments/ tests/ examinations/ forum participation) and time required for undertaking the assessment.

4.3 Each MOOC is expected to be run for a cycle of at least three years. While the SET will monitor the MOOCs on offer on an ongoing basis, each MOOC is required to undergo a thorough review three years after its initial launch date before it is re-approved to continue. Re-approval decisions are made by the eLearning Task Force with particular reference to the criteria including: (i) alignment with the University's strategic goals; (ii) provision of sustainable resources, including administrative support and the required technological resources; (iii) observation of the no-cross-subsidy principle from the normative UGC-funded courses; (iv) evaluative feedback and comments from learners; (v) course demand as indicated by enrolment and completion numbers; and (vi) its benefit to CUHK and its students.

## 5. Issues on Intellectual Property and Copyright

5.1 There are typically two issues related to copyright and intellectual property for e-resources, including MOOCs and micro-modules: (i) the use of copyright materials; and (ii) the ownership of the e-resources so produced. Detailed guidelines are available in <u>Attachment C</u>.

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[2] Coursera is on a mission to change the world by educating millions of people by offering classes from top universities and professors online for free. Coursera's comprehensive education platform combines mastery-based learning principles with video lectures, interactive content and a global community of peers, offering students from around the world a unique online learning experience. Coursera has partnered with top-tier universities to provide courses across a broad range of disciplines, including medicine, literature, history and computer science, among others. For more information, please visit Coursera.org.

[3] "CNMOOC 中国好大学在线" is an online education platform joined by CUHK in collaboration with Shanghai Jiao Tong University (SJTU) in July 2016. For more information, please visit http://www.cnmooc.org/home/index.mooc.

**6.    Revision of Institutional eLearning Policy**

6.1    This paper sets out the University-wide direction for eLearning development and provides a benchmark for quality assurance for eLearning courses and programmes, which will be subject to regular review and refinement.

Attachments

*<Approved by the Senate at its Third Meeting (2016-17)>*

**Approval of Blended Courses/ Programmes**

The ultimate objective of eLearning development is to enrich students' learning experience and enhance the T&L quality.  The time for students' face-to-face learning should not be drastically reduced for courses with technology-enhanced components.  As a gateway to maintain quality teaching and assure attainment of expected learning outcomes, Faculty Boards are vested with the authority to approve a small number[1] of undergraduate or postgraduate courses under their purview to conduct experiment on blended courses with not more than 50% reduction in face-to-face classroom contact hours, on the condition that the total hours allocated to face-to-face classroom learning, online lectures and synchronous eLearning comply with the standing departmental or disciplinary rubrics/ general standards in regard to normative minimum classroom contact hours.  These courses should submit detailed information by using a standard template to the respective Faculty Board for review and approval before commencement of the term for offering of the courses concerned.  Faculties are required to report detailed information of these blended courses together with an evaluation report of the faculty's eLearning progress to the eLearning Task Force before the offering of the blended courses, and the eLearning Task Force will make recommendation to the Faculty, or to the Senate if deemed necessary, for course and/or programme revision. Each course application should be duly scrutinized before approval on the basis of the following criteria:

1.   the availability of a face-to-face mode or other modes for the same course (i.e. whether students have an option when choosing the course concerned);
2.   the number of beneficiaries: target group of students taking the proposed course /programme;
3.   the pedagogical advantages and disadvantages with reference to factors such as course contents and students' prerequisite knowledge;
     o   types of synchronous eLearning activities to be provided
     o   types of asynchronous eLearning activities to be provided
4.   the additional learning experience for students accompanied by the proposed modes of delivery;
     o   availability of a detailed course plan specifying the topics and types of learning activities in each week as well as the learning hours for each activity
     o   the design of the face-to-face teaching and learning activities, and how the quality and students' experience in the face-to-face sessions can be improved
5.   the means of assessment: fairness of assessment, availability of a variety of assessment methods and formative assessment;
     o   availability of a detailed assessment plan specifying the types of assessment activities in each phase of the course
     o   availability of assessment methods to motivate students and to monitor their eLearning and self-learning progress
6.   the track record (as excellent teachers or quality programmes) of responsible parties for preparing the course materials and the anticipated challenges in the preparation work;
     o   experience in micro-module and flipped classroom development
     o   experience in teaching development
     o   record of participation in professional development
     o   Course and teaching evaluation (CTE) results and students' feedback
     o   evaluation results of blended courses (if applicable)
7.   the additional workload incurred for teachers/ instructors and ways to address;
     o   responsibilities of teachers/ teaching assistants in each of the learning activities

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[1] Up to three courses in 2017-18, and subject to review in subsequent years

- o   arrangement of online and/ or face-to-face office hours
- o   arrangement of support provided to students' asynchronous learning (e.g. how forum discussion is monitored)
8.  the technical support for students and teachers/ instructors;
9.  the financial viability of the proposed blended course or TPg programme for blended learning *(relevant for self-financed programmes)*;
10. sustainability of the course/ programme (the availability of other teachers to support the launching of the blended course in case the teacher(s) concerned resign/ decide not to continue with the blended course development/ production);
    - o   evaluation and endorsement by the respective Department/ Faculty
11. the quality assurance mechanisms in place for monitoring the quality of course/ programme delivery and to support continuous enhancement;
    - o   evaluation and endorsement by the respective Department/ Faculty
12. the evaluation plan; and
13. the dissemination plan: how the experiment results can be used to facilitate system-level improvement at the faculty and university levels.

Courses with eLearning components should be thoroughly evaluated on the basis of well-defined criteria (Attachment B). In addition, an annual evaluation report should be compiled using standard template for each course offering and be submitted to the eLearning Task Force or its designated committee for review.

In addition, Faculty Boards can select high-quality self-financed TPg programmes[2] to conduct experiment on blended learning and to introduce appropriate number of blended courses with not more than 50% reduction in face-to-face contact hours on the condition that the total hours allocated to face-to-face classroom learning, online lectures and synchronous eLearning comply with the standing departmental or disciplinary rubrics/ general standards in regard to normative minimum classroom contact hours. To ensure adequate monitoring of the quality of the selected programmes, Faculty Deans are required to consult and seek approval of the Graduate Council on their experiment plan on the TPg programme and report it to the eLearning Task Force before the experiment plan kicks start. The eLearning Task Force will make recommendation to the Faculty, the Graduate Council, or to the Senate if deemed necessary, for course and/or programme revision. Evaluation of these blended programmes/courses should also be included in the Faculty's evaluation report of eLearning progress.

Examples of courses/ programmes with high priority in the light of the selection criteria for eLearning:

- •   Remedial courses about background or prerequisite knowledge: micro-modules can be assembled in a flexible manner to fulfil different needs of different students;
- •   Courses with large number of students and multiple sessions: some of the lectures can be (or best be) delivered by the same teacher;
- •   Courses in which participations are from different locations in the world:
    - o   courses offered to students on exchange: to support and enhance students' learning in the host country
    - o   courses offered to students on internship or practicum: to support and enhance students' leaning during their participation in internship or practicum
    - o   courses in which eLearning makes collaboration with other institutions around the world possible
- •   TPg programmes that support the strategic development of the Faculty:

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[2] Not more than one programme in each Faculty in 2017-18, and subject to review in subsequent years

- o    collaborative programmes offered together with strategic partners
  - o    programmes that promote internationalization
  - o    programmes that can attract high-quality international students
- Programmes with courses available in different modes: blended and face-to-face modes are both available
- Programmes that have good records in terms of student intake and quality (evidenced by results of programme review, programme re-approval, and review by Visiting Committees)

**Proposed Criteria**
**for Evaluating the Effectiveness of Blended Learning in Courses/ Programmes**

1. the extent to which the course/ programme selected for blended learning are well supported technically and are viable financially;
2. the extent to which the course/ programme has exposed students to pedagogical advantages, such as enriched course contents, innovative learning approaches, more diversified learning experience *etc*;
3. the extent of added value from the course/ programme to the T&L strategies of the University;
4. the extent to which the course/ programme has been successful in attaining the expected learning outcomes, e.g. as evidenced by the assessment results;
5. the CTE results (both course-based and teacher-based) of the course/ programme as well as other feedback from teachers and students;
6. the areas identified for improvement in response to the CTE results and feedback and the follow-up plans (if any) on further development of blended learning on the course/ programme; and
7. the extent to which the results of the blended learning of the course/ programme is used to facilitate system-level improvement at the Faculty and University levels.

# Copyright and eLearning Guidance at CUHK

July 2015 (Ver. 1.5)

## 1. Introduction

CUHK is committed to developing eLearning as a strategic imperative. Copyright is frequently seen as a barrier to creating eLearning content, in particular the inclusion of third party copyright material in learning objects. The University supports you as content creators so you can work confidently and effectively in the eLearning environment.

In creating this guidance we have made reference to Hong Kong copyright legislation, guidance from the Intellectual Property Department of The Government of the Hong Kong Special Administrative Region and international best practice[1]. The information below is intended as a general guideline, and an interpretation of current copyright issues. It is not intended and should not be construed as legal advice.

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[1] For example
https://www.ucl.ac.uk/library/teaching-support/support/copyright-elearn
https://www.nyu.edu/frn/publications/millennial.student/Copyright.html
https://www.kent.ac.uk/elearning/themes/copyright.html
http://www.web2rights.com/web2rightsdotorg/documents.html#a3

## 2. The Copyright Context in Hong Kong and CUHK

### 2.1 Copyright at CUHK

In the [CUHK Policy on Research, Intellectual Property and Knowledge Transfer](#) (para. 10) copyright over educational audio-visual materials produced by staff members in the course of the University's employment or with the use of University equipment, facilities or other resources belongs to CUHK. In this guidance educational audio-visual materials are interpreted in their broadest sense and can include a wide range of digital materials from text, images, video or sound items to multiple choice question banks. These materials are delivered using computers and technology as a vehicle for teaching and learning.

Staff members who produce the above mentioned eLearning materials for courses offered in the University obtain non-exclusive license to use the same materials for non-commercial educational purposes during and beyond their employment with the University, excluding any third party copyright material. If material is created by multiple staff members, all members of the team obtain non-exclusive license to use the same materials, excluding any third party copyright materials, for non-commercial educational purposes during and beyond their employment with the University.

Responsibility for any infringement of copyright rests with the person making the copy. Although the University has a responsibility to ensure that staff and students are aware of copyright and comply with the law, it remains the responsibility of the person making the copy to ensure they do not infringe copyright. Details of all the University's Copyright and Intellectual Property Rights guidance can be found at [http://www.cuhk.edu.hk/policy/copyright/en/](http://www.cuhk.edu.hk/policy/copyright/en/)

Creators will defend, indemnify, and hold harmless the University and/or its licensees against all claims, suits, costs, damages, and expenses that the University and/or its licensees may sustain by reason of any scandalous, libellous, or unlawful matter contained or alleged to be contained in the Work or any infringement or violation by the Work of any copyright or property right.

### 2.2 Copyright in Hong Kong

In Hong Kong copyright is a private property right that gives exclusive right to copy to all works in a recorded form, including works on the Internet, to the owner of the work, and is governed by the [Copyright Ordinance chapter (Cap. 528)](#) and the [Copyright (Amendment) Ordinance 2007](#). Copyright applies to all works even if they originate outside Hong Kong. No formal registration is required to claim copyright, and it can be licensed/assigned to another party. Copyright is time limited, and in Hong Kong how long copyright lasts depends on the format of the work, but in most cases it will last for 50 years after the death of the author/creator.

### 2.2.1 Fair dealing and Education in Hong Kong

Copying in whole or a substantial part of a work without the agreement of the copyright owner could incur civil or criminal liability. Some copying, *fair dealing*, is permitted for educational establishments. There are no prescribed percentages on what can be copied; however this is not a blanket license to copy. Educational establishments are permitted to copy to a reasonable extent artistic works or passages from published literary, dramatic, or musical works, or recording of broadcast or cable programmes, in a fair

manner for the purposes of giving instruction. In deciding what constitutes a fair manner, the court shall take into account all the circumstances, in particular:

- o the purpose and nature of the dealing, including whether such dealing is for non-profit making purpose and whether it is of a commercial nature;
- o the nature of the work;
- o the amount and substantiality of the portion dealt with in relation to the work as a whole; and
- o the effect of the copying on the potential market for or value of the work.

Copying a work for the purpose of setting questions or answering questions is permissible, except for musical works for use in performance by a candidate. However the minimum amount of copied material required to set the question should be used.

It should be noted that a qualitative rather than a quantitative approach will be adopted in assessing whether there has been substantial taking; so the copying of a substantial part of the original work, albeit not of a significant proportion of the work, may still fall outside the fair dealing exception and thereby constitute an infringement of copyright.

If the fair dealing for education exemption is not applicable and you wish to use third party copyrighted material you need to either **seek permission from the copyright holder**, or alternatively **use material already available under a creative commons license**. Even when using your own content, for example an article written by you, if published copyright will probably have been assigned to the publisher who may or may not allow the work to be used for eLearning.

3. **Creating Content for CUHK Students**

When creating eLearning content for a specific course for CUHK students

**Do:**
- o Use CU eLearning System. Hong Kong educational establishments **must** adopt security measures to restrict access to the copied work to persons who give or receive instruction in a specified course of study, and to persons who maintain or manage the network.

- o Ensure any copied material is only stored in CU eLearning System for a period necessary for the purposes of giving or receiving instruction in the specified course of study, in any event no longer than 12 consecutive months.

- o Link to the original source of third party content licensed by the University rather than upload content into CU eLearning System. Third party content can include online articles, videos, book chapters etc… available via CUHK Library. The Library has guidance on how to link to the electronic resources (forthcoming). But first,

- o Check that you are allowed to link to this content. CUHK Library's A-Z of Databases provides a link to a resource's license agreement, which states what is permissible for the particular resource.

- For other third party material it is preferable to either:

    a. Use content from a source that is open access and already copyright cleared. The Library lists potential sources of open access material (forthcoming).

    b. Seek permission from the publisher or copyright holder to use third party copyright material. This can take months and may cost. You are advised to keep a record of any correspondence.

    c. If the material is in print format contact CUHK's [Copyright Clearing Office](#)

- Acknowledge third party content authorship in all cases.

- Seek consent from participants when recording material to be included in eLearning content. Do ensure they understand the copyright of content created belongs to CUHK and CUHK may license the material for use by others. The content may appear on CUHK's website and elsewhere.

- Seek help (see 6. Below)

## Don't:

- Create textbook or course pack substitutes, including the compilation of scanned material from different chapters and articles from different books and journals.

- Link to websites which contain material that infringes copyright.

- Use third party copyrighted material if you have sought permission and failed to get a response. Seek an alternative.

- Include CUHK students or students' work in the eLearning material you are creating.

## 4. Creating content for Open Educational Resources and MOOCs

### 4.1 Open Educational Resources and Creative Commons licenses

You need to be clear from the outset if you are creating material for CUHK students only, or open educational resources (OER) to share with the outside world. If you plan to create open educational resources, as the copyright holder the University will accommodate such wishes as long as it determines that the benefits to the public of making such works freely available outweigh any advantages that might be derived from commercialization. Any OER created should make use of a Creative Commons (CC) license. The two CC licenses most often used with OERs are:

**Attribution-NonCommercial**
**CC BY-NC**

This license lets others remix, tweak, and build upon your work non-commercially, and although their new works must also acknowledge you and be non-commercial, they don't have to license their derivative works on the same terms.

View License Deed | View Legal Code



**Attribution-NonCommercial-ShareAlike**
**CC BY-NC-SA**

This license lets others remix, tweak, and build upon your work non-commercially, as long as they credit you and license their new creations under the identical terms.

View License Deed | View Legal Code


## 4.2 Third-party copyrighted materials in OERs and MOOCs

In addition to OERs, CUHK partners with Coursera to create MOOCs. Coursera is a for-profit company therefore many of the educational exemptions for copyrighted material do not apply. Both MOOCs and OERs are unable to make use of third party-material licensed by CUHK library and many of the educational exemptions for copyrighted material do not apply.

Wherever possible you should use open access content, or if third party content is essential to the pedagogy of the course you should seek permission from the copyright owner. In all cases attribution to the original source should be made.

Please see Appendix for copyright guidance from Coursera.


## 5. Notices

A copyright notice on eLearning material, or a CC licence, as well as a disclaimer and a take-down notice are required.

5.1 Copyright notice

© [year of publication]. All rights reserved. The Chinese University of Hong Kong.

5.2 CC license

Please see section 4.1 of this guidance. Include the most appropriate CC license. Year of publication is not necessary for a CC license but is always helpful.

5.3  Disclaimer

No copyright infringement intended.

5.4 Take Down Notice

We have sought to ensure that the content of these materials comply with Hong Kong copyright law. Despite these safeguards from time to time material published online may be in breach of copyright laws. If you feel that your copyright has been infringed in any way, please contact us in writing stating the following:

1. Your contact details.
2. The full details of the material and the exact and full url where you found the material.
3. Proof that you are the rights holder or are an authorised representative.
4. The reason for the request.

Upon receipt of a valid complaint the material will be temporarily removed pending an agreed solution.

Contact details:

Judy San
Assistant Secretary
University Secretariat
The Chinese University of Hong Kong
Tel: (852) 3943 7262
Fax: (852) 2603 5503
Email: judys@uab.cuhk.edu.hk

## 6. Sources of Help

elearning@CUHK Courseware Development Service        elearning@cuhk.edu.hk

Copyright Clearing Office                            cco@lib.cuhk.edu.hk

CUHK Secretariat                                     judys@uab.cuhk.edu.hk

7. This guidance may be updated from time to time to reflect any changes in legislation or The CUHK Policy on Research, Intellectual Property and Knowledge Transfer.

**Appendix Coursera General Copyright Guidelines in Partner Help Center- NOT LEGAL ADVICE**

Coursera produces its own guidance, reproduced below:

Policy Overview

Who: Instructors using third-party content (such text resources, images, or videos created by a third-party individual or organization) in an open online course.

Why: Copyright law can be more restrictive in online education than in face-to-face teaching. Exceptions such as the fair use doctrine may apply differently to online courses. Following this policy will help instructors and institutions to avoid any copyright issues or disputes. However, this document is in no way intended to be legal advice and partners should seek the specific approval of any proposed use by their office of general counsel or related advisors.

**<u>Do</u>**

·　　Consult general counsel or other legal advisors affiliated with the partner institution with any copyright-related questions.

·　　Use links to direct students to the original source of third-party content, rather than embedding the content directly in your course.

·　　Obtain third-party content from a public domain website that allows use of images for any purpose, including for-profit purposes. Good resources include Creative Commons, Wikimedia Commons, Pixabay, the Smithsonian Institution, and Connexions. Coursera Partners have compiled an extensive list of other resources.

·　　Seek permission from publishers or other copyright holders to use copyright-protected content in your course. If you need to seek permission from publishers, start early - this process may take several months.

·　　Provide proper attribution for all third-party content used in your course.

**<u>Don't</u>**

·　　Reprint non-public-domain materials without direct permission from the copyright holder. Examples include but are not limited to: political cartoons; Getty images; popular movies, television shows, or songs; trademarks.

·　　Reprint any third-party materials without proper attribution.

Useful additional guidance on Coursera and third party copyright material is available from University of Pennsylvania Librarieshttp://guides.library.upenn.edu/content.php?pid=244413&sid=3375306

THE CHINESE UNIVERSITY OF HONG KONG

**Institutional Review of CUHK(SZ)**

**Review Panel**

Terms of Reference

The Review Panel will advise on the academic processes of CUHK(SZ) with regard to:

1.    the teaching and learning, including: curriculum design, programme development, student learning experience, learning environment and outcomes, and student assessment in CUHK(SZ); and to provide external inputs on the academic standards achieved in CUHK(SZ), with reference to CUHK and international benchmarks;

2.    the overall development strategy of the academic processes and teaching and learning quality of CUHK (SZ); and

3.    the measures that need to be in place for the implementation of such a strategy in CUHK(SZ).

Composition/ Membership

*Chairperson*

Professor POON Wai Yin          Pro-Vice-Chancellor (Education), CUHK

*Members*

Professor KWONG Kai Sun, Sunny Associate Dean (Education), Faculty of Social Science, CUHK; Member, Graduate Council, CUHK

Professor LEE Ching Chyi        Associate Dean (Teaching and Learning), Faculty of Business Administration, CUHK

Professor LEE Ho Man, Jimmy     Professor, Department of Computer Science and Engineering, Faculty of Engineering, CUHK

Professor LEE Hun Tak, Thomas   Chairman, Department of Linguistics and Modern Languages, Faculty of Arts, CUHK

*Member and Technical Secretary*

Professor CHUN Ka Wai, Cecilia  Director, Centre for Learning Enhancement And Research, CUHK

*Secretariat*

Ms Kitty YU                     Head, Academic and Quality Section, CUHK

Ms WONG Kit May                 Assistant Registrar, Academic and Quality Section, CUHK

*Extract from CUHK Strategic Plan 2016-2020*

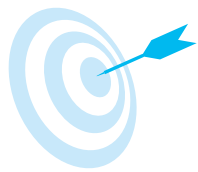# EDUCATION

Nurturing Lifelong Learners as Global Leaders

# Our Five-Year Vision

A university with continuous enhancement of education to nurture graduates who will be global leaders with aspirations and competencies to make lifelong contributions to society.

# Our Goals

To foster students' aspirations and improve their competencies to make lifelong contributions to society

To enhance graduates' global competitiveness

To sustain continuous quality enhancement in teaching and learning (T&L)

To adopt innovative pedagogies for continuous teaching enhancement

To serve the needs and demands of the community for lifelong education and continuing development

To recruit students who share our visions and values for an education that will nurture them as lifelong learners and global leaders

# Our Strategies

- Develop an Entrepreneurship and Innovation programme and capitalize on opportunities in the Mainland, particularly the PRD region

- Enhance critical thinking and self-learning skills, using eLearning and innovative pedagogies, to nurture students as lifelong learners and global leaders

- Improve students' language proficiency—in both Chinese and English—to enable graduates to be globally competitive for employment and further study

- Offer joint, including dual degree, programmes with our international strategic partners to increase students' exposure to a global network

- Redefine the role of the School of Continuing and Professional Studies to serve the needs of the ageing population and second career trends in Hong Kong

- Improve our outreach to the community, particularly to secondary schools both locally and globally

## Entrepreneurship and Innovation Programme

To keep pace with the demands and knowledge-based environment of the 21st century, expectations on university education has changed to embrace not merely knowledge and skills acquisition, but also cultivation of an entrepreneurial mindset, i.e., the capacity and willingness of students to put theory into practice and break new grounds in identifying opportunities in pursuit of well-being. As the centrepiece of contemporary education, entrepreneurship education is vital for nurturing future generations with traits of creativity, innovation and risk taking, competence to create synergies and overcome the limitation of resources available, resilience to face challenges and turn failures into opportunities, as well as aspirations to make life-long contributions to society.

**Entrepreneurship education is vital for nurturing future generations with traits of creativity, innovation and risk taking.**

Plans are developed to foster a robust culture of innovation and entrepreneurship within the campus and to create an enabling ambience to facilitate the practice of entrepreneurial skills. The wide range of non-formal experiential learning activities provided by academic and service units, as well as the Colleges, has played a pivotal role in imparting entrepreneurial spirit and instilling a strong sense of social responsibility in our students. It will be complemented by the development of an interdisciplinary education programme in entrepreneurship and innovation, which seeks to optimize students' learning on entrepreneurial and innovative mindsets in terms of four essential components, namely, values/attitudes, knowledge, skills and practices across the board.

Moving forward, the University is prepared to tap on resources and opportunities available from existing establishments, both internally and externally, and to enlist support from our alumni and partners in the industrial and business arenas including those with a base in the PRD region and beyond.

## MOOCs and eLearning

The ubiquitous use of the internet and rapid development in technologies are shaping how education is resourced, delivered and taken up. Research has shown that eLearning can improve students' learning experience and promote self-learning. Our commitment to nurture lifelong learners has guided us in formulating eLearning strategies and initiatives, and modernizing pedagogies through the development of Massive Open Online Courses (MOOCs), blended courses and Small Private Online Courses (SPOCs) in study programmes.

> **CUHK has been very proactive in developing MOOCs to further our academic outreach.**

To keep abreast of the growing trend of eLearning across higher education institutions worldwide, CUHK has built up its capacity since the last decade by strengthening the technological infrastructure for Teaching and Learning (T&L) and the learning environment, as well as by introducing eLearning components and MOOCs in its T&L pursuits. We have been very proactive in developing MOOCs to further our academic outreach. Upon joining the Coursera platform in 2013, CUHK has launched a series of MOOCs across different disciplines which are open to learners from around the globe.

To embark on its expedition on eLearning, CUHK will gather momentum by continuously strengthening its infrastructure, including technical and pedagogy support systems, quality assurance mechanisms, as well as policies and procedures for eLearning operation management. The establishment of the Centre for eLearning Innovation and Technology (ELITE) marks an important step as a central unit dedicated for pedagogical and technical support. Synergies across the board will be called for by offering grants to teachers and expanding staff engagement to cultivate a community of practice within the University in this endeavour.

As one of the major themes in the academic development planning for the 2016–19 triennium, plans have been formulated to further promote the implementation of flipped-classroom pedagogy and blended learning by developing a host of micro-modules and exploring the adoption of blended courses as well as SPOCs for degree programmes to enrich students' learning experience and for outreach programmes to enhance public engagement.