



The Hong Kong University of Science and Technology

**Progress Report on
the 2023 Quality Assurance Council (QAC)
Quality Audit of HKUST**

August 2025

The Hong Kong University of Science and Technology

QAC Quality Audit Report: February 2024

HKUST 18 Month Progress Report: August 2025

1 Introduction

1.1 The QAC third cycle *Report of a Quality Audit of HKUST* was published in February 2024. An action plan was submitted to the QAC on 18 October 2024. In accordance with the QAC's Audit Manual requirement, this 18-month Progress Report indicates how the actions proposed have been implemented and includes details of other developments that have been progressed as the University has reflected on the outcomes of the QAC audit.

1.2 The Senate Committee on Teaching and Learning Quality (CTLQ) is responsible for considering the QAC Audit Report, recommending any actions to be taken and overseeing the preparation, implementation and monitoring of the University's audit progress reports and action plans. This 18-month report was approved by the CTLQ on 31 July 2025.

1.3 For ease of reference, the paragraph numbers below refer to those in the published Audit Report¹.

1.4 A summary of the current status of the implementation of the action plan is contained in *Appendix 1*.

2 Progress of Implementation of Action Plan

Recommendation 1 - RA1

The University to “develop policies and procedures to ensure systematic and regular review and enhancement of the University’s quality operations” [para 1.18]

Policy on Periodic Review of QA/QE Documents

RA1.1 HKUST policies, procedures, regulations and guidelines related to the quality assurance and enhancement of teaching and learning, as well as the student experience (hereinafter referred to as “QA/QE documents”), are encompassed within the Academic Quality Manual and the HKUST Fok Ying Tung Graduate School (FYTGS) website; while

¹ <https://www.ugc.edu.hk/doc/eng/qac/report/hkust202402e.pdf>

those related to faculty are brought together in the Academic Personnel Policy and Procedure Manual.

RA1.2 In response to RA1 raised in the Audit Report, the University has conducted a review amongst the “owner” units of these QA/QE documents. It was concluded that whilst the units regularly review the QA/QE documents, the review cycle and practices are not consistent. It is agreed that there are merits in formulating a policy governing the periodic review of all QA/QE documents to enhance consistency and central oversight. The review also agreed with the Panel’s suggestion that “it would be helpful in such situations to record the date of review even if no alterations are made. Furthermore, a systematic measured approach is likely to be more comprehensive than an approach to updating policy as needs arise”.

RA1.3 The University has consequently formulated a policy for the periodic review of all QA/QE documents every five years. The periodic review will be overseen by the Senate Committee on Teaching and Learning Quality (CTLQ) to ensure a systematic approach and effective University monitoring.

RA1.4 The Academic Registry, FYTGS and the Academic Personnel Administration branch of the Provost’s Office, who are the owners of the Academic Quality Manual, the FYTGS website and the Academic Personnel Policy and Procedure Manual respectively, will be accountable for the periodic review of the relevant QA/QE documents as part of their standing procedures. Depending on the outcomes of the initial review by these Offices, updates or revisions to the relevant QA/QE documents may be proposed for further consideration by Senate and/or other relevant Committees.

RA1.5 The periodic review will be overseen by the CTLQ. Notwithstanding the mandatory periodic review, it is understood that reviews of existing policies and documents will not be confined by the stipulated 5-year cycle, where reviews of specific items may be conducted earlier than the scheduled review when the need arises or other triggers occur (for example, emerging risks, external review outcomes, or developments in higher education). Furthermore, new QA/QE documents may be developed from time to time in response to new initiatives, consultation outcomes and the goal of enhancing overall experiences. Given all these potential variations in the scheduled review cycle, the three offices shall be responsible for devising and maintaining their own review schedules to ensure timely updates and systematic reviews. They shall report to the CTLQ annually on their updated review schedules and the progress of their review portfolios.

RA1.6 As a good practice for tracking the review status of the QA/QE documents, each new QA/QE document shall indicate the date of approval by the relevant committee. Revised documents will also indicate the date of review or changes made, as well as the date of approval for major changes by the relevant committees if applicable.

RA1.7 The relevant policy paper (*see Appendix 2-1*), along with the initial review schedule and the status of review of the three offices reported for information, was approved by the Senate at its meeting on 10 June 2025.

Recommendation 2 – RA2

The University to “strengthen its oversight of the awards it makes to assure itself of the academic standards and quality of the programmes delivered by the Schools/AIS, departments/divisions and other units” [para 1.23]

Communication of Issues of Broad Institutional Interests via Annual Reports

RA2.1 While the oversight and assurance of the academic standards and quality of the programs encompass a broad range of QA/QE policies/practices/procedures which are also addressed by other actions in the Action Plan (RA1 and 3 to 7), the University has received further guidance from QAC, encouraging the University to consider additional initiatives to “identify and address institution-wide thematic issues on academic quality and standards in a joint-up (sic) manner” and to “disseminate best practices to promote teaching excellence more widely and prominently”.

RA2.2 To address this specific guidance on inviting joined-up efforts of academic units to make institution-wide enhancements, the University has proposed incorporating this initiative into the Annual Report on Teaching and Learning Quality, which is the key institution-wide QA/QE exercise under the University quality assurance framework. In this annual exercise, academic departments submit Annual Reports to their respective Schools, while the Schools and academic support units—including the Center for Education Innovation (CEI), Library, Center for Language Education (CLE), Undergraduate Core Education team (UCE) and Dean of Students' Office—submit Annual Reports on their educational provision and support of teaching and learning to CTLQ. Reports, based on designated report templates, should be accompanied by Action Plans that identify targets, milestones, timelines and responsibilities and would allow the monitoring of implementation of future actions identified in Annual Reports. School Reports are based on those prepared by Departments/Divisions and on their own activities.

RA2.3 The proposal suggests that each year the University will identify specific thematic issues related to QA/QE and inform the participating units of these confirmed thematic issues at the start of the annual reporting exercise. Based on the themes established for that year, participating units will conduct a critical review of the themes and provide their responses, including the outcomes of the review and any planned actions for enhancement, in their Annual Reports.

RA2.4 While the thematic issues each year should reflect the University’s prioritized concerns that demand concerted efforts from both academic units and academic support units to enhance academic quality and standards, the proposal also suggests the formation of a

working group under the CTLQ. To ensure the effectiveness of identifying these thematic issues each year and their alignment with the University's planning and vision, the composition of the "Working Group on Thematic Issues of Broad Institutional Interests for Annual Report" was strategically designed to include the CTLQ Chair, the CTLQ Secretary (cum Associate Provost (Teaching and Learning)), and CTLQ Members from the Office of Institutional Data Research (OIDR), the Center for Education Innovation (CEI), and the Academic Registry. These members play key roles in the University's strategic planning, data research and analysis, academic policies formulation and monitoring, education innovation, and other aspects of central oversight related to teaching and learning quality. Each member is an essential resource person with a specific role in contributing to the identification of thematic issues: the CTLQ Chair is responsible for summarizing feedback and discussions collected from the Committee and outcomes of various QA exercises (both internal and external); the CTLQ Secretary (cum Associate Provost (Teaching and Learning)) is responsible for gathering the inputs and consultation outcomes from meetings with Deans and Associate Deans – who are also representing the voices of their affiliated academic departments; the Associate Provost (Institutional Data and Research) from OIDR provides insights from the latest institutional research findings, UAA PMs and KPIs, and strategic plans from PEP; the Director of CEI offers insights on the latest trends in education innovation and pedagogies, as well as experiences of teaching staff; and the Academic Registrar provides various data reflecting demographics of student populations, their learning experiences and compliance with student regulations.

RA2.5 The proposal was approved by the CTLQ at its meeting on 4 December 2024. Following the approval, the Annual Report templates (*see Appendix 2-2*) were revised to incorporate fields for thematic issues in both QA and QE, enabling all participating units to respond to the identified thematic issues within the Report template. These revisions took immediate effect and applied to the Annual Reporting exercise for 2023-24, which commenced in December 2024 and will continue thereafter.

RA2.6 The incorporation of thematic issues on Annual Reports on Teaching and Learning Quality will facilitate the University in developing an additional platform which facilitates central oversight and multi-level communication. This will include top-down announcements of thematic issues identified by CTLQ and calls for collaborative efforts; bottom-up reporting to provide outcomes of departmental reviews and inputs for further enhancement at the institutional level; and finally top-down communication with various units to share CTLQ feedback and disseminate the outcomes of the thematic issues review within the University community. By the end of each yearly cycle, the University will evaluate the outcomes through data analysis and/or desk-based research to determine whether additional specific aspects should be prioritized. The evaluation, coupled with the inputs collected from academic departments through the Reports, will also help the University assess whether additional resources should be allocated to specific action items to strengthen these efforts. Furthermore, the results will also be forwarded to the Working Group to facilitate their consideration of whether the same thematic issues should continue into the next annual reporting cycle for follow-up or further enhancements.

RA2.7 Following the approval, the first iteration of the Annual Reporting exercise commenced in December 2024, with the thematic issues for QA and QE identified by the Working Group announced to the participating units. The Annual Reports on Teaching and Learning Quality were then submitted and reviewed by CTLQ at its meeting in May 2025. The CTLQ had due deliberation on the thematic issues regarding QA and QE set for the University in 2023-24, which included adherence to Criterion-Referenced Assessment (CRA) for QA, and enhancement to students' outside-classroom learning experiences through internships and service-learning activities for QE, respectively. From the reports received, the Committee acknowledged the efforts of participating units in implementing the two thematic issues and discussed (i) how the effectiveness of these reported efforts could be measured and (ii) whether further actions should be taken to enhance the effectiveness. It was concluded that the results for question 1 of the revised Student Feedback Questionnaire (SFQ), to be implemented in Fall 2025-26, could serve as a performance indicator for monitoring adherence to CRA and guide decisions on whether further initiatives should be introduced to improve effectiveness. Regarding the thematic issue on internship and service-learning activities, the discussion agreed that encouraging Schools and Departments to develop department-based internship courses would incentivize more students to undertake internships, thereby applying what they have learned in classroom in the workplace and enhancing their competencies and employability. (*CTLQ comments on the CRA theme is given in paragraphs RA4.12 to RA4.14*)

RA2.8 As part of the exercise, CTLQ submitted a summary report of its comments and observations, including those related to the Thematic Issues, to the Senate for presentation and information. The summary report has also been disseminated to Schools, Departments and other academic support units to invite them to share the comments and good practices with all relevant staff via departmental meetings or town hall forums. Follow-up actions would be taken to monitor the performance indicators and other feedback and to monitor the number of students engaged in internship and service-learning activities after the introduction of more department-based internship courses.

Strengthened QA/QE Administrative Structure

RA2.9 To enhance cohesion and allocate resources effectively to the QA and QE mechanisms, the University has strengthened its administrative framework. In addition to the existing position of Assistant Academic Registrar in Quality Assurance and Enhancement (QAE), an Assistant Academic Registrar in Academic Quality Advancement (AQA) was appointed in June 2024. This role is specifically designed to initiate and oversee new projects that focus on promoting QE-related initiatives.

RA2.10 With an aim to advance academic quality and enhance the effectiveness of programs at HKUST, the Student Evaluation and Assessment team originally housed under the Office of Institutional Research was repositioned and migrated to the Academic Registry to take on an expanded scope. Under the leadership of the new Assistant Academic Registrar (AQA), the AQA team works to promote the University's teaching and learning endeavours, provide data-

driven findings and evidence-based recommendations to the Associate Provost (Teaching and Learning) (APTL), academic units and other supporting units through comprehensive data analysis, utilizing feedback gathered from various institutional student surveys, student advocacy activities, and focus group consultations.

RA2.11 While the QAE team continues its critical role in monitoring academic standards and implementing QA-related policies and guidelines, the AQA team will concentrate on QE initiatives. Both teams serve distinct functions within the QA and QE framework, facilitating communication and strategically engaging various units across the University.

Enhanced Communication and Dissemination Network

RA2.12 The University typically relies on mass email announcements to inform all academic units and academic support units, including heads of these units and all teaching staff, about updates to the University's Quality Assurance (QA) framework and the policies and practices related to teaching and learning quality. On the other hand, the *Academic Quality Manual* serves as a comprehensive information portal, housing all existing and updated policies, practices and guidelines related to teaching and learning quality. It is also a repository for Annual Reports on Teaching and Learning Quality, Program External Review Reports, and Good Practices derived from these exercises over the years. Although these two channels are practical in disseminating necessary information to the relevant university community, the University recognizes the value of developing an additional channel to reach out to specific staff members in these units who serve as resource persons, coordinating and communicating QA/QE matters with teaching staff for prompt follow-up and responses. In this context, each academic unit and academic support unit has been asked to designate one or two QA liaison persons as the departmental representatives to communicate on specific QA issues and to help disseminate relevant QA/QE information and best practices within their respective units. To support these efforts, a communication platform has been established. Compared to mass announcements and the website, this platform enables effective dissemination of essential information to the most relevant staff members, facilitating efficient follow-up and providing a comprehensive audit trail of past issues and actions taken for easy reference. This initiative fosters a collaborative environment for quality assurance and enhancement across the University.

RA2.13 By establishing a community of QA liaison persons, consultation sessions and focus group meetings will be arranged in the future to gather their input on specific QA/QE issues, comments regarding the University's QA framework and feedback on new or revised teaching and learning quality policies.

Recommendation 3 – RA3

The University to “ensure that its periodic review processes encompass all programmes of study, produce reports that evidence a full review of the programmes in question, in

line with the University’s requirements, and are brought into University oversight [para 2.18]

RA3.1 While the Audit Panel “found policies and/or guidelines are in place to guide T&L practice”, the University also noted the comments of the Panel that “While the self-reflection as documented in the Annual Reports includes T&L dimensions, internal periodic review processes that involve parties external to the units may not cover T&L matters in an explicit manner. The Audit Panel suggests that programme review should cover the domain of T&L explicitly.” (paragraph 3.5, *HKUST Audit Report*)

RA3.2 In considering the above suggestion, the CTLQ Secretariat has reviewed the Policy on Taught Postgraduate Program Review and associated documentation and evaluated the appropriateness of extending the policy to also apply to the external review of undergraduate major programs.

RA3.3 The documents for Taught Postgraduate Program Review, including the Self-Evaluation Report template and the External Reviewers Report, have been revised to explicitly spell the T&L aspects in relevant sections. The other fields have also been adjusted to further align with the template for Departmental Annual Report on Teaching and Learning Quality. The revisions were reviewed by the CTLQ and approved at its meeting on 22 April 2024, and the revised report template is available for use by program departments (*see Appendix 2-3a*).

RA3.4 Based on the revised documents, the Policy on the Review of Undergraduate Major Programs was developed. Under the proposed policy, all Undergraduate Major programs should undertake a review by a panel engaging external members every five years. The policy was endorsed by CTLQ and finally approved by the Senate at its meeting on 11 June 2024 (*see Appendix 2-3b*).

RA3.5 Following the Senate’s approval of the policy on Undergraduate Major Program Reviews, consultations have been conducted with Schools to develop an implementation plan with an aim to consolidate the schedule for the first cycle of institution-wide external reviews of undergraduate major programs. To facilitate better preparation, coordination, and resource planning, it is proposed that the first review cycle be spread over the years from 2024-25 to 2027-28, where the Schools may choose to conduct external reviews separately for each of their programs, or simultaneously within the same year for easier logistical management. The schedule would also take into account the suggestion of the CTLQ that the review schedule might be arranged in a way that best fit the operations of individual Schools/program units to achieve optimal efficiency and minimal redundant efforts.

RA3.6 Given the resources and effort required for a program review, which necessitates advance planning, it is proposed that programs which have just conducted their external reviews in 2024 (prior to the implementation of the University policy on Undergraduate Major Program Reviews effective from Fall 2024-25) may request special consideration from the CTLQ to recognize their 2024 review as compliant with the new policy. Subject to a favourable

outcome of the compliance check, these programs would be considered as having completed their first cycle review as mandated by the University policy, with the condition that their next review must be conducted no later than 2029-30. The compliance check would evaluate whether the most recent review conducted in 2024 meets the standards, procedures and documentation requirements outlined in the framework of the 2024 policy.

RA3.7 Incorporating the results of the special consideration as aforementioned, a schedule for the first cycle review under the University's Undergraduate Major Program Reviews policy is proposed and reported to the CTLQ at its meeting on 4 December 2024 (*see Appendix 2-3c*).

RA3.8 Subsequent reviews of programs after their first cycle review will generally follow a five-year cycle without the need for further approval of the schedule. However, in special circumstances that necessitate a change in the year of review for a specific program or School, approval from the CTLQ Chair must be obtained and the change will be reported to the Committee subsequently.

RA3.9 The relevant section in the University's Academic Quality Manual has been updated to include the Policy on the Review of Undergraduate Major Programs and relevant documents, with the review schedule provided for the first cycle (<https://registry.hkust.edu.hk/resource-library/program-monitoring-and-review>).

Recommendation 4 – RA4

The University to “address variability in marking practice and ensure there is adherence to its own guidance on criterion-referencing” [para 4.7]

RA4.1 In response to the recommendation, several actions have been taken which encompass three key areas: (i) communication and training to ensure understanding of Outcome-based Education (OBE) and CRA; (ii) measures to help clarify and monitor the adoption of CRA, and (iii) results analysis and feedback monitoring.

Communication and Training to Ensure Understanding of OBE & CRA

RA4.2 **Communication with Teaching Staff:** In addition to announcing updates to policies and procedures related to teaching and learning quality, the Associate Provost (Teaching and Learning) periodically sends reminders to teaching staff to share best T&L practices and highlight specific issues that need their attention including CRA. Furthermore, the resource and communication site for departmental quality assurance and enhancement (QAE) liaison officers (*see RA2.12*) serves as an important channel for disseminating reminders, providing records of policy updates and sharing good practices - where the QAE liaison officers will relay such information to relevant teaching staff in their affiliated units.

RA4.3 **Communication with Students:** Newly admitted students are informed about the University's OBE approach and the adoption of CRA in courses and programs through the

New Student Orientation website (<https://nso.hkust.edu.hk/academic-matters>) and the Undergraduate Student Guide (<https://registry.hkust.edu.hk/resource-library/obe-cilos-and-criterion-referencing>) (*see Appendix 2-4a*). The Schools introduce OBE and CRA concepts during orientation and/or induction sessions. A policy requiring all course syllabi to display the information on the adoption of CRA and clearly indicate Course Intended Learning Outcomes (CILOs) has been established (*see RA4.5*) to ensure accessibility of this information to students. Course Instructors are also reminded to communicate CILOs, assessment methods, and grading scheme with their classes in the first week of lectures.

RA4.4 Training Modules and Seminars: The Center for Education Innovation (CEI) continues to organize various training modules and seminars to support the professional development of all teaching staff. In addition to the foundational modules on the design of learning outcomes and assessment incorporated in the University Teaching and Learning Program which are mandatory for all new Assistant Professors and Lecturers, CEI also offers a variety of online micro-credential courses and in-person workshops for all teaching staff who wish to further enhance their course design and teaching skills. Successful completion of these courses will earn them AEE micro-credentials in the form of online badges issued by the Academy of Education Excellence (AEE), which is a key component for becoming AEE Fellow (*see FGPI*). Among the broad range of topics covered, several courses and workshops focus on assessment and feedback, helping participants deepen their understanding of criteria design and its relation to grading rubrics, supported by practical applications and examples of innovative design.

Measures to Help Clarify and Monitor the Adoption of CRA

RA4.5 Adoption of a Standardized Syllabus Template: The University recognizes the benefits of the adoption of a standardized syllabus template across all undergraduate courses offered at HKUST. It is expected that a template could provide a standardized yet flexible structure that enhances the clarity of the essential course information to be communicated with students, aligns with the university's quality assurance standards and fosters greater student engagement with learning outcomes. In light of this, the CTLQ approved the policy for adopting a course syllabus template (*see Appendix 2-4b*) for all undergraduate courses at its meeting on 22 April 2024. This also forms part of the revised Assessment Policies and Procedures (<https://registry.hkust.edu.hk/resource-library/assessment-policies-and-procedures>) which were then accepted by the Senate at its meeting on 11 June 2024.

RA4.6 With a clearly stated criterion-referenced model that includes the CILOs, assessment components and the rubrics displayed on the syllabus, misunderstandings about the assessment model are expected to be minimized, where both instructors and students may enjoy the transparency of the necessary course information.

RA4.7 Declaration of CRA Adoption before Grade Submission: Enhancements to the University's Grade Reporting System were made and implemented starting from Fall 2024-25. This includes the addition of a landing page that requires the Course Instructors to confirm the

adoption of CRA for their course before submitting grades for Head's approval. This serves a final check to ensure Instructors are aware of the CRA adoption policy and strict adherence to the policy.

Results Analysis and Feedback Monitoring

RA4.8 Analysing Grading Results: Starting from 2023-24 academic year, the Grade Reporting System introduced an additional field of "Assigned Marks" alongside the final student grades. Every regular term the grading results are reviewed and analysed to identify any grading pattern of a specific course or an instructor that may imply deviations from the normative criterion-referencing approach, or poorly designed assessments that are not sufficiently academically challenging to differentiate student performance. The Associate Provost (Teaching and Learning) will send a report on these cases to the Heads of Departments for follow-up with relevant teaching staff.

RA4.9 Starting from 2025, the institutional learning management system, CANVAS, has introduced a new analytics function that enables Course Instructors to analyze grading results by visualizing the correlation of assigned marks and final grades. This feature facilitates early detection of problematic grading patterns and promotes instructors' awareness of the normative criterion-referenced approach to grading. For example, the visualization can expose if students with similar marks receive different final grades, or if there is an unexpected spread. If two students get almost the same marks but different grades, it could mean subjective factors are influencing grades, rather than strict adherence to criteria.

RA4.10 Monitoring Student Feedback: The SFQ is the University's primary tool for evaluating student feedback on their courses and instructors. Among the survey questions, there are two specific questions related to OBE and CRA, notably:

- Q1: "The course materials and learning activities helped me achieve the course intended learning outcomes", and
- Q2: "Assessment tasks were designed to determine the extent to which I had achieved the course intended learning outcomes".

In an attempt to understand how students perceive their learning experience in relation to the CILOs and CRA, and in particular any improvements after the series of new/revised assessment policies and practices implemented from Fall 2024-25 (as described in *RA4.5* to *RA4.7*), the AQA team has conducted an analysis of the results for these two SFQ questions covering the past two regular terms (Spring 2023-24 and Fall 2024-25). The data shows a positive trend in student responses:

- The mean score for Q1 slightly increased from 4.26 (out of 5) in Spring 2023-24 to 4.29 in Fall 2024-25.
- The mean score for Q2 also increased from 4.24 to 4.28 in the same period.

RA4.11 While the above results may indicate that students feel increasingly supported in achieving learning outcomes through course materials and assessments, the questions

themselves may not totally reflect the actual implementation of CRA. The University saw a need to revise the questions so that the survey results may be more reliable to interpret the CRA adherence. Consequently, the University undertook a comprehensive review completed by December 2024. The review streamlined the questionnaire design to enhance the user-friendliness, in order to achieve higher response rates, while also enhancing the clarity of questions, in particular those related to CRA and CILOs, allowing students to better understand the scope of the questions. The revised questions will enable the University to monitor CRA implementation, including communication of CILOs to students and their perception of the alignment between CILOs and assessments. The revised SFQ will be implemented in the 2025-26 academic year. The AQA team will continue to monitor and analyse survey results each term to identify any issues that need special attention, including the CRA implementation at both course and department level. The revised Q1 of the SFQ, now reads as, “The course intended learning outcomes and grading criteria were clearly communicated at the start of the course, allowing me to understand how my work will be evaluated” -this, supplemented with open-ended student comments, will serve as a key indicator on adherence to the recommended practices. Following the current practices, departmental reports will be sent to course offering units highlighting observations that require special attention, including CRA-related issues. Student focus groups will also be organized as needed to gather feedback on specific themes.

RA4.12 Communication of Thematic Issues via Annual Reports: With the incorporation of Thematic Issues of Broad Institutional Interest in QA and QE into the Annual Report on Teaching and Learning Quality (*see RA2.2 – 2.5*), the University saw the opportunity to foster more effective communication with Departments and Schools on the issue on adherence to CRA, asking them to report back on the implementation at the Department or School level, along with any effective measures that could help promote or monitor the issue. In light of this, the “Working Group on Thematic Issues of Broad Institutional Interests for Annual Report” has agreed to the proposal of setting adherence to CRA as the theme on QA in the latest reporting exercise. Consequently, the Annual Reports submitted by Schools and Departments to the CTLQ have generally confirmed their efforts to promote the understanding of CRA and adherence to the University assessment policies. The CTLQ noted that all Schools have made their efforts in disseminating the assessment policies (including CRA) and the good practices to their teaching staff through various means:

- Induction and discussions at faculty meetings and forums
- Mentoring new teaching staff
- Consistency checks by Course Coordinators among different section instructors
- Regular check-ins to monitor the adoption of university syllabus template (which specifies all the essential information including the declaration of CRA adoption, CILOs, and grading rubrics)

RA4.13 CTLQ also acknowledged the efforts of Schools to enhance students’ understanding of CRA, including introducing the concepts of OBE and CRA during School-based orientation sessions and in their student handbooks. Instructors have been reminded by Schools and Departments to communicate CILOs and grading methods to students at the beginning of the

courses. CEI reaffirmed its important role in the professional development of teaching staff through various workshops themed on CRA and assessment design, as well as induction and orientation sessions for new staff on University assessment policies and practices. Overall, CTLQ appreciated the commitment demonstrated by various academic units and the CEI to ensure adherence to assessment policies by teaching staff.

RA4.14 As part of the exercise, CTLQ submitted a summary report of its comments and observations, including those related to the Thematic Issues, to the Senate for presentation and information. The summary report has also been disseminated to Schools, Departments and other academic support units to share good practices. Moving forward, the University will continue to monitor various dimensions of feedback and results to determine whether any specific aspect require further investigation in the next Annual Reports exercise.

Recommendation 5 – RA5

The University to “introduce a post assessment moderation system including the sampling of student work to confirm, or otherwise, that academic standards are consistently applied” [para 4.8]

RA5.1 The University has conducted a thorough review of the relevant assessment policies and procedures. As a result of the review, several enhancement measures related to assessment policies have been introduced, where the proposed revisions were approved by the CTLQ. The revised set of assessment policies published under the “Assessment of Students” section of the Academic Quality Manual was presented to the Senate at its meeting in June and was officially adopted.

Introduction of Post-Assessment Moderation System

RA5.2 One major enhancement is the implementation of a post-assessment moderation system, to ensure that marks or grades are awarded appropriately and consistently with adherence to the pre-designed rubrics and assessment criteria. For assessments that contribute 30% or more towards the final course grade of course and with a class sizes of at least 20, 2 items of students’ work rated in each of the following categories of standard of achievement of the assessment criteria should be reviewed by a second marker (8 samples in total): “Excellent Performance/Achievement”, “Good Performance/Achievement”, “Satisfactory Performance/Achievement” (or “Marginal Performance/Achievement” for postgraduate courses), and “Fail”.

RA5.3 Assessments marked initially by the Course TA should be second marked by the Course/Section Instructor or another faculty member nominated by the Course/Section Instructor. Assessments marked initially by the Course/Section Instructor should be second marked by another faculty member nominated by the Course/Section Instructor. In all cases, the Course/Section Instructor should agree on the final mark for the sampled assessments in consultation with the TA/other faculty member as appropriate. Detailed guidelines can be

found in the Academic Quality Manual ([https://registry.hkust.edu.hk/resource-library/grading-courses#Grade Moderation](https://registry.hkust.edu.hk/resource-library/grading-courses#Grade_Moderation)) (see also *Appendix 2-5*).

RA5.4 This policy on second marking has been implemented for graded courses for taught programs (1000- to 5000-level) starting from the 2024-25 academic year. Samples of students' work that have been second marked will be retained by the Department/Division for consideration by external reviewers during periodic program reviews. The name(s) of the second marker(s) of a course/section shall be recorded on the grade reporting system.

RA5.5 Heads of academic Departments/Divisions will be responsible for administering the above and ensuring adherence.

Recommendation 6 – RA6

The University to “revise promptly its approach to breaches of academic integrity by students by applying a common scheme for penalties, specifying under what circumstances cases are escalated to school level, and analysing patterns of infringements” [para 4.10]

RA6.1 Immediately following the QAC Audit Visit, HKUST reviewed its procedures relating to student misconduct and student academic integrity, resulting in the updated Regulations for Student Conduct and Regulations for Student Academic Integrity being approved by the Senate on 10 April 2024 and by the Council on 28 June 2024.

RA6.2 In both sets of updated Regulations the Academic Registrar has now been given a Quality Assurance oversight role to ensure the consistent application of penalties across the University.

RA6.3 The full details of the revisions made to the previously published Regulations are shown in the attached *Appendices 2-6a and 2-6b*, which include, inter alia, the following changes:

For Regulations for Student Academic Integrity:

- (i) The addition to paragraphs 15 and 18 that the Academic Registrar will monitor consistency of sanctions imposed across the Schools;
- (ii) The addition to paragraph 18 (v) of a clause noting that the sanction will normally be applied automatically where there have been 2 or more cases of established misconduct.

For both Regulations for Student Conduct and Regulations for Student Academic Integrity:

- (i) The addition of a new section on Quality Assurance (in paragraph 43 under Regulations for Student Academic Integrity and in paragraph 36 under Regulations for Student Conduct), charging the Academic Registrar with

overseeing the consistency of sanctions across the University via regular review and reporting.

RA6.4 To facilitate the handling of academic misconduct allegations by staff in Departments and Schools, a “Resources for Staff” webpage (see *Appendix 2-6c*) has been created to provide useful materials, including guidelines on sanctions, a form for reporting academic misconduct and a platform for authorized users in Departments and Schools to check any past records of academic misconduct of students concerned. The guidelines on sanctions have been developed to assist Heads, Deans, and other relevant staff members in determining appropriate sanctions for proven cases of student academic misconduct. These guidelines are based on common practices within the University and reference records of previous relevant cases. It is anticipated that these guidelines will help the University achieve greater consistency in sanctions across all Departments. The guidelines will be reviewed by the Academic Registrar periodically.

RA6.5 Departments and Schools have been asked to nominate two representatives responsible for handling academic misconduct cases involving undergraduate and/or postgraduate students. These representatives will serve as liaisons for their units, disseminating updated policies and guidelines on case handling and imposed sanctions. They will also be authorized to access the database of proven cases to determine whether the alleged students have a history of proven academic misconduct, which may result in more severe sanctions. In special circumstances where departments believe a sanction deviating from the guidelines is more appropriate, these representatives will consult with the Academic Registrar for further advice to ensure consistency is maintained across the University as much as possible.

RA6.6 A briefing session was held on 9 October 2024 to introduce to the relevant staff, particularly the aforementioned departmental representatives, about the revised regulations, updated procedures and arrangements, and guidelines on sanctions. This session aimed to ensure the staff understand the changes that have been made and the goal of achieving consistency in sanctions. Presentation materials of the session have also been posted on the Resources webpage for reference of staff.

Recommendation 7 – RA7

The University to “take steps to significantly reduce the number of inappropriate assessment decisions made and hence the number of appeals by students” [para 4.12]

Post-Assessment Moderation System

RA7.1 The University has implemented a post-assessment moderation system (see RA5) starting from the 2024-25 academic year. By inviting a second marker to review the grading for sampled assessment works for each eligible course, it is anticipated the second markers will help assess whether the marks/grades awarded to the samples are appropriate and consistent

with the grading rubrics, as well as whether the samples demonstrate a clear differentiation in student performance.

Enhancements of Grade Reporting System

RA7.2 Several enhancements have been made to the grade reporting system. A new field labelled “Assigned Marks” has been added to require Course Instructors to input the “Assigned Marks” along with the final grades. This could facilitate second markers and Heads of Departments to detect any abnormal grading pattern that should warrant further attention and review. (For instance, students receive high marks but are awarded low grades may indicate a tendency to grade on a curve, or that the assessments were not sufficiently challenging to differentiate student performance that necessitate a post-course review of the assessment design for future offerings). The Associate Provost (Teaching and Learning) office also performs periodic checks for abnormal grading patterns and alerts the relevant Heads of Departments to follow up with Course Instructors regarding these observations.

RA7.3 A further enhancement involves the addition of a landing declaration page asking the Course Instructor or Course Coordinator to confirm the following aspects under their responsibility:

- Grading is based on criterion-referencing and not using a curve.
- All weighted assessment components included in the calculation of the final course grade
- Data input has been confirmed by the Course Instructor and double-checked to ensure the reported marks and grades are free of clerical or administrative errors.
- Sampled assessment works have been reviewed by a second marker if the class size is 20 or more and a single component contributes 30% or more to the final course grade

RA7.4 This serves as the final check-in with Course Instructors and Coordinators who bear the responsibility of ensuring compliance with the University assessment policies and the accuracy of data input, which should be free of clerical and administrative errors.

Policy on Releasing Marks and Feedback through CANVAS

RA7.5 The University has introduced a policy outlining the procedures for communicating individual summative assessments. This includes:

- Releasing all individual assessment marks via CANVAS within two weeks of submission.
- Requiring faculty to use the CANVAS gradebook to record and communicate the feedback and marks for individual assessment can enhance transparency and accessibility for students.

RA7.6 The policy aims to standardize the procedures for returning marks and disseminating results, which helps to ensure all students receive consistent and constructive feedback throughout their academic journey at HKUST. By fostering transparent communication of assessment marks and feedback, students can manage expectations and teachers can identify students who may need additional support. It allows students to gauge their progress, identify areas for improvement and seek further assistance when needed.

RA7.7 The policy was approved by the CTLQ at its meeting on 22 April 2024 and was fully implemented starting from the 2024-25 academic year. The policy document (*see Appendix 2-7*) forms part of the “Assessment Policies and Procedures” section under the Academic Quality Manual (<https://registry.hkust.edu.hk/resource-library/assessment-policies-and-procedures>) .

Reminders and Warnings

RA7.8 In addition to the measures outlined in RA7.1 to RA7.7, the University periodically sends email reminders to all teaching staff, updating them on the current assessment policies and preventive measures/tools in place to help reduce the likelihood of grade changes due to clerical or administrative errors or inappropriate grading decisions. Each term, a summary of the number of grade changes made by Departments is sent to individual Schools for further follow up with their Departments, allowing opportunities to review whether additional School-specific measures should be devised and implemented across all departments within the Schools to address the problems identified.

Short-term Outcomes

RA7.9 During the conduct of the Third Cycle Audit for HKUST, the University was asked by the Panel to provide the figures of successful grade appeals since 2020-21 academic year (up to Fall 2023-24). In the latest report that captures the data up to Spring 2024-25, the figures per term have reduced by around 50%. Notwithstanding the decrease in numbers, the University remains committed to continuous improvement by monitoring these figures and the implementation of new policies and practices, in order to respond to any observations that require further review.

3 Further Developments of the Features of Good Practice (FGP)

Features of Good Practice 1 - FGP1

The University regularly developed eLearning Strategies and Policies [para 3.7]

[AS OF FEB 2024]

The University has developed a policy on Generative Artificial Intelligence for Teaching and Learning at HKUST. Given the evolving landscape of GenAI tools, the policy provides faculty members the flexibility to set their own course-level policies, with faculty required to communicate one of four policy options to students in writing for their courses starting from Fall 2023-24. The Center for Education Innovation collects evidence of good practice of utilising GenAI for teaching and learning, with the aim of disseminating these practices and insights to enhance the educational experience and promote innovative pedagogies across the University.

HKUST was also a founding member of two global alliances with top institutions: the Digital Education Council (DEC) and the Cyber-Physical Learning Alliance (CPLA). The goal of these partnerships is to collaborate on data collection and learning analytics, as well as to share best practices in digital education. The outcomes of these alliances will further inform HKUST's e-Learning Strategy and policies, ensuring that they are not only adaptable to changing circumstances but also aligned with global standards.

[UPDATED AS OF MAY 2025]

FGP1.1 A further review of the e-Learning Strategy was conducted in 2025. This review considered several developments, including advances in artificial intelligence that have progressed beyond large language models to encompass multimodal systems that integrate various data types, enhancing adaptive feedback, simulations, and learning analytics while raising issues of transparency, privacy, and academic integrity. Additionally, HKUST's plan to expand its Medical Science programs emphasizes the need for technology in effective learning, particularly through immersive simulations that enable students to practice clinical reasoning. In light of these developments, it has been recommended that HKUST adopts a "Digital Education Strategy 2025-2028" to replace the existing e-Learning Strategy, which reflects a comprehensive approach that positions digital capability as foundational. This strategy retains the guiding principles of learner-centred design, evidence-informed pedagogy, rigorous assessment, inclusive access and staff development specified in the existing e-Learning Strategy, while also highlighting the importance of metacognitive and ethical AI literacy, data-informed support, immersive learning, and personalized education. The revised strategy (*see Appendix 3-1*) aims to utilize the full range of digital technologies to enhance learning and promote student success, and build the cognitive, metacognitive, ethical, and technical capabilities that students and staff need to thrive in data-rich, AI-mediated learning environments.

FGP1.2 Based on the Digital Education Council AI Literacy Framework, it is planned that the University will conduct an institution-wide AI-Readiness self-assessment and publish a report. The outcomes of the assessment will inform the University in establishing further KPIs

to measure whether faculty are utilizing technology-enabled pedagogies and whether these practices support specific, valued pedagogic goals such as active learning, higher-order thinking, and career-ready competencies. Digital education training will be provided through New Faculty Orientation, Professional Development Workshops, and Communities of Practice to support the development of faculty members and teaching staff. Schools will also be invited to draft their own digital education strategies aligned with the University framework.

Features of Good Practice 2 – FGP2

The University established education-based titles of Assistant and Associate Professor that recognises and promotes good teaching practice [para 3.9]

[AS OF FEB 2024]

The University has secured endowment funding to support annual teaching awards for Teaching-track Faculty.

Some Departments reported in their Annual Reports that they established departmental teaching awards to recognize good performance in course teaching by Teaching Assistants and Instructional Assistants.

The University is planning for the establishment of the Academy of Education Excellence (AEE). The Academy, to be facilitated by the Center for Education Innovation (CEI), will help the University further promote and recognize the good teaching practices and faculty's commitment to continuous improvement of teaching skills. A fellowship scheme would be developed under which faculty members with evidence of an excellent teaching track record can apply to become a Junior Fellow, Fellow, or Senior Fellow of the AEE. Functions of the AEE include:

- Professional Development: Enhance your teaching skills through tailored opportunities
- Recognition: Earn and promote teaching awards and institutional acknowledgment
- Community Building: Exchange ideas and best practices in regular meetings and workshops

[UPDATED AS OF MAY 2025]

FGP2.1 The Academy of Education Excellence (AEE) was established in 2025. Faculty members with evidence of an excellent teaching track record can apply to become a Junior Fellow, Fellow, or Senior Fellow of the AEE. Applications for AEE membership will be reviewed by a committee and decisions will be based on the qualifications, scholarship, and teaching record, as well as other relevant factors of the applicant.

FGP2.2 Following a rigorous assessment of all applications based on six dimensions of teaching excellence (*see Appendix 3-2*), the AEE has chosen 21 faculty members who have shown an outstanding dedication to enhancing their teaching methods and advancing effective educational practices at HKUST. Through the AEE, they will also participate in scholarly activities aimed at fostering continuous professional growth for academics.

FGP2.3 AEE Fellowships are awarded for a three-year term. Fellows will be invited to provide ongoing evidence of teaching excellence to maintain their titles, ensuring that commitment to innovative pedagogy remains a core focus throughout their tenure.

FGP2.4 In addition, earning micro-credentials will be a key component for faculty members to become an AEE Fellow. By completing courses offered by CEI, faculty members can earn micro-credentials in the form of online badges.

FGP2.5 Further to the establishment of the education-based titles of Assistant/ Associate Professor of [Business/ Engineering/ Science/ Humanities/ Social Science/ Language/ Interdisciplinary] Education, the University recently approved the introduction of a new professorial title of “Professor of [] Education” for the teaching track faculty (TTF) to encourage future advancement of TTF who have been granted Associate Professor of Education, and to formally recognize the role of TTF for the University’s teaching and learning mission.

Summary of Implementation of Action Plan

Recommended Action	Goals / Objectives	Planned Actions	Status of Implementation	Indicator(s) of Successful Outcome(s)
<p>R41 The University to develop policies and procedures to ensure systematic and regular review and enhancement of the University's quality operations" [para 1.18]</p>	<p>To enhance the centralised aspects of Quality assurance review, and enhancement, without negatively impacting on the existing and successful decentralised culture of the University.</p>	<p>➤ Develop a centralised system of regular review of policies/procedures/ guidelines related to QA/QE by Q1/Q2 2025</p> <p>➤ Devise a schedule for reviewing all existing QA/QE documents on a 5- year cycle, to be overseen by the CTLQ</p>	<p>Completed – Policy established and approved by Senate</p> <hr/> <p>Completed – Schedule confirmed by CTLQ and first cycle of review completed</p> <p>Ongoing – Review of QA/QE documents will continue according to the established schedule</p>	<p>✓ Regular review of identified policies is taking place.</p>
<p>R42 The University to strengthen its oversight of the awards it makes to assure itself of the academic standards and quality of the programmes delivered by the Schools/AIS, departments/divisions and other units" [para 1.23]</p>	<p>To further strengthen initiatives for the oversight of academic quality, in terms of strategic priorities, institutional platforms and dedicated resources.</p>	<p>➤ Establish a mechanism to identify, monitor, and address "thematic issues" through the Annual Reports, thereby strengthening central's oversight of prioritized issues related to academic quality by the end of 2024/25</p>	<p>Completed – Mechanism of identifying/ monitoring/ addressing "thematic issues" incorporated into the Annual Reports exercise established. First iteration of identifying and reporting thematic issues completed.</p> <p>Ongoing – Monitoring outcomes related to the thematic issues to inform decision on any further follow-up actions needed.</p>	<p>✓ Mechanism of regular review of the institution-wide thematic issues on academic quality and a strengthened central monitoring mechanism on departmental follow-up via annual reports to CTLQ in place.</p>

<p>R43 The University to “ensure that its periodic review processes encompass all programmes of study, produce reports that evidence a full review of the programmes in question, in line with the University’s requirements, and are brought into University oversight [para 2.18]</p>		<p>➤ Strengthen the administrative structure for QA/QE</p> <p>➤ Enhance the communication and dissemination network</p>	<p>Completed – Allocated additional resources and manpower following the repositioning of AQA team</p> <p>Completed – Designated QAE liaison person(s) in each academic and functional units. Developed an additional communication channel.</p> <p>Ongoing – Dissemination of information and best practices via the new channel will continue, including regular updates and consultation sessions for exchanging views</p>	
	<p>To impose a uniform periodic review mechanism across all UG and TPG programs.</p>	<p>➤ Establish a policy mandating all UG major programs to conduct external review on a 5-year cycle by end of 2024-25 academic year</p>	<p>Completed – Relevant policy and guidelines were approved by Senate. Schedule of the first cycle of UG programs review confirmed.</p> <p>Ongoing – Review of all taught degree programs will be conducted according to the established schedule.</p>	<p>✓ Uniform and centralised periodic review process across all UG and TPG programs are taking place.</p>

<p>R44 The University to “address variability in marking practice and ensure there is adherence to its own guidance on criterion-referencing” [para 4.7]</p>	<p>To address the perceptions of variability and further ensure faculty understanding.</p>	<p>➤ Strengthen communication and training to ensure understanding of OBE and CRA through:</p> <ul style="list-style-type: none"> - Continuing to send periodic reminders and updates to teaching staff to share best T&L practices and highlight specific issues regarding CRA - Introducing additional channel for dissemination of good practices - Continuing to provide professional development training for teaching staff, particularly through more workshops on CRA and assessment design 	<p>Completed – Introduced a new channel for dissemination of good practices and policy updates; offered more workshops on CRA and assessment design. On-going – Sending periodic reminders and update</p>	<p>✓ Message on adoption of, and adherence to, CRA reached out to all teaching staff and all students. ✓ Mechanism of monitoring implementation of CRA established.</p>
<p>➤ Impose measures to clarify and monitor the adoption of CRA:</p> <ul style="list-style-type: none"> - Establish a policy requiring the adoption of a standardized syllabus template that includes a declaration of CRA and information about the CILOs - Grade reporting requires declaration from instructors regarding the adoption of CRA. 	<p>Completed – Policy of adopting standardized syllabus template established; grade reporting system enhanced</p>			

		<p>➤ Analyze feedback and results to monitor adherence to CRA by faculty members</p>	<p>Ongoing – Continuous monitoring of SFQ feedback, and grading patterns in individual courses to ensure adherence to CRA</p>	
<p>RA5 The University to “introduce a post-assessment moderation system including the sampling of student work to confirm, or otherwise, that academic standards are consistently applied” [para 4.8]</p>	<p>To further enhance the approach to assessment.</p>	<p>➤ Formulate a policy by end of Q2 2024 mandating all Course Instructors to retain certain samples of marked exam scripts and/or assignments for each course, where such samples would be second marked; and be retained by the Departments for consideration by external reviewers during periodic program review.</p>	<p>Completed and Ongoing – Policy established. Second marking of sampled assessment works being practiced.</p>	<p>✓ New assessment practices accepted and undertaken by Schools and Departments.</p>
<p>RA6 The University to “revise promptly its approach to breaches of academic integrity by students by applying a common scheme for penalties, specifying under what circumstances cases are escalated to school level, and analysing patterns of infringements” [para 4.10]</p>	<p>To ensure consistency of sanctions imposed.</p>	<p>➤ Review and revise existing regulations related to academic integrity, and establish a mechanism to ensure consistency across different units.</p>	<p>Completed – Revised regulations approved by the Senate and Council, guidelines on sanctions have been established based on common practices within the University for reference by Departments and Schools. Ongoing – Academic Registrar oversees and monitors the consistency of sanctions</p>	<p>✓ Sanctions imposed by Departments/Schools adhere to the guidelines, while those exceptional cases have provided sound justifications for deviation from the guidelines</p>

<p>RA7 The University to “take steps to significantly reduce the number of inappropriate assessment decisions made and hence the number of appeals by students” [para 4.12]</p>	<p>To significantly reduce the number of appeals.</p>	<ul style="list-style-type: none"> ➤ Formulate a policy on second-marking (<i>PIs refer to RA5</i>) ➤ Enhance the grade reporting system to request the input of both marks and grades, as well as a declaration from instructors regarding the adoption of CRA. ➤ Establish a policy to guide teaching staff in using CANVAS to release individual marks for each assessment component within two weeks of submission ➤ Continue sending periodic email reminders to all teaching staff regarding current assessment policies and preventive measures/tools in place to help reduce the likelihood of grade changes; and sending summary reports on the successful grade appeal cases to individual Schools for further follow-up and review 	<p>Completed – Policy established</p> <hr/> <p>Completed – Enhancements made to the grade reporting system</p> <hr/> <p>Completed – Policy established</p> <hr/> <p>Ongoing – Sending email reminders to all teaching staff and summary reports to Schools for review</p>	<p>✓ The number of successful grade appeals gradually reduced by half.</p>
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REDACTED

Proposed Policy on Periodic Review of Quality Assurance & Enhancement Documents Related to Teaching and Learning

BACKGROUND

2. HKUST policies, procedures, regulations and guidelines related to the quality assurance and enhancement of teaching and learning, as well as the student experience (hereinafter referred to as “QA/QE documents”), are encompassed within the *Academic Quality Manual* and the HKUST Fok Ying Tung Graduate School (FYTGS) website; while those related to faculty are brought together in the *Academic Personnel Policy and Procedure Manual*.

3. In the Audit Report published by the Quality Assurance Council (QAC) in February 2024, the Audit Panel recommended the University “develop policies and procedures to ensure systematic and regular review and enhancement of the University’s quality operations”. This recommendation was based on the Panel’s understanding that the University’s “policies and other quality documents are reviewed and enhanced in response to internal or external changes, rather than reviewed on a set cycle”. Although the University informed the Panel that the policies had undergone review but that no amendment had been deemed necessary, the Panel suggested that “it would be helpful in such situations to record the date of review even if no alterations are made. Furthermore, a systematic measured approach is likely to be more comprehensive than an approach to updating policy as needs arise”.

PROPOSED POLICY

4. In response to this Recommended Action (RA) raised in the Audit Report, the Action Plan, approved by the CTLQ at its 52nd meeting on 22 April 2024, outlines the proposed development of a policy for the periodic review of all QA/QE documents every five years. The periodic review will be overseen by CTLQ to ensure systematic approach and effective university monitoring.

5. As mentioned in paragraph 2, the HKUST policies, procedures, regulations and guidelines encompassed within the *Academic Quality Manual* and the HKUST FYTGS website, which relate to the quality assurance and enhancement of teaching and learning as well as the student experience; along with those related to faculty as stipulated in the *Academic Personnel Policy and Procedure Manual*, will fall under the scope of the review policy.

6. The Academic Registry, FYTGS Office and the Academic Personnel Administration branch of the Provost's Office, which are the owners of the *Academic Quality Manual*, the FYTGS website, and the *Academic Personnel Policy and Procedure Manual* respectively, will be accountable for the periodic review of the relevant QA/QE documents as part of their standing procedures. Depending on the outcomes of the initial review by these Offices, updates or revisions to the relevant QA/QE documents may be proposed for further consideration by Senate and/or relevant Committees.

REPORTING & SCHEDULE OF REVIEW

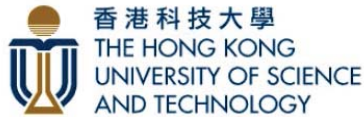
7. The periodic review of QA/QE documents, which will be part of the University's quality assurance framework, will be overseen by CTLQ. While new QA/QE documents may be developed over time, and the review of specific existing QA/QE documents may need to be expedited as deemed appropriate (e.g., in light of experience, new initiatives, external review outcomes, or developments in higher education), the three Offices shall be responsible for devising and maintaining their own review schedule to ensure timely updates and systemic reviews. They shall report to CTLQ annually on their updated review schedules and

8. As a good practice for tracking the review status of the QA/QE documents, each new QA/QE document shall indicate the date of approval by the relevant committee. Revised documents will also indicate the date of review or changes made, as well as the date of approval for major changes by the relevant committees if applicable.

9. An initial review schedule and the status of review of the three Offices are provided --- in Appendices 1, 2 and 3 respectively.

10. CTLQ considered the proposed policy at its meeting on 29 May 2025 and endorsed the proposal.

(The proposed policy was considered and approved by the Senate at its meeting on 10 June 2025).



School Annual Report on Undergraduate and Taught Postgraduate Education: 2023-2024

Report Submitted by	
School*	

*[*refers to both Schools and Academy of Interdisciplinary Studies (AIS)]*

Prepared by	
Name of Committee/Authors	

School's Review of the Report	
<p>Has the Annual Report been considered by faculty members in a formal meeting at School level, with representatives from each Department/Division? Yes/No <i>[If Yes, please indicate at which meeting the Annual Report has been presented; if No, please briefly explain how the report was reviewed in the School.]</i></p> <p>_____</p> <p>_____</p>	
Endorsed by:	<p>_____ (Dean/Director) _____ (Signature)</p>
Date:	_____

Important Information on Submission
<p>i) Submission Timeline:</p> <ul style="list-style-type: none"> ➤ <u>Departments</u> submit reports to Schools on or before 14 February 2025 (Friday). ➤ <u>Schools</u> submit reports, including their respective Departmental/Divisional, School-based Ug, and TPg program reports, to CTLQ on or before 10 April 2025 (Thursday). <p>ii) Please read the appended "NOTES" before completing Parts A and B of this Report.</p> <p>iii) Data sets for Annual Reporting are available at:</p> <ul style="list-style-type: none"> ➤ (T&L Data Warehouse) https://registry.hkust.edu.hk/resource-library/teaching-and-learning-data-warehouse ➤ (PAIR Portal) https://pair.hkust.edu.hk/

School Annual Report on
Undergraduate and Taught Postgraduate Education: 2023-2024

Part A: Quality Assurance of Education Programs

(The School may make reference to the *Academic Quality Manual* available at <https://registry.hkust.edu.hk/resource-library/academic-quality-manual>.)

A1. Follow-up Action Items

A1.1 List completed action items from last year's Action Plan as at November 2024. Include outstanding action items in the School Action Plan (see B3).

<i>Completed action items</i>	<i>Commentary, as appropriate</i>

A1.2 Was there any difficulty in adopting the CTLQ's comments/suggestions on last year's report? **Yes/No?** [If Yes, please give details.]

A2. Annual Reports on Undergraduate and Taught Postgraduate Education

A2.1 Have Departments'/Programs' Annual Reports provided an adequate basis for the School's/Office's report to the University? **Yes/No?** [If No, please give reasons.]

A2.2 Is the School/Office satisfied with the Departments'/Programs' arrangements for maintaining and improving educational quality? **Yes/No?** [If No, please provide details and indicate the actions to be taken to ensure that quality is maintained.]

A2.3 Have all the TPg Programs/Departments provided Action Plans indicating timelines, tasks and responsibilities to carry forward action items? **Yes/No?** If action items have not been completed, have outstanding items been incorporated in this year's Action Plan? **Yes/No?**

A3. Issues of Broad Institutional Interests on Quality Assurance

In regard to the identified issues of Broad Institutional Interests on Quality Assurance listed under the University T&L Data Warehouse (<https://registry.hkust.edu.hk/resource-library/teaching-and-learning-data-warehouse>), indicate any area of improvement or action to be taken that can address the issue. Include these action items in this year's Action Plan (see B4).

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A4. Stakeholder Feedback

A4.1 Identify (maximum 5) major areas for improvement or of concern arising from stakeholder feedback (SF) during the reporting period (e.g. student questionnaires, other student feedback such as Student Staff Liaison Committee (SSLC), or focus group meetings, alumni/employer surveys, triggered course reviews or other external reviews **at School level**, taking into account, where appropriate, area(s) of concern raised in Department/Division/Program's Reports). Indicate those items to be included in this year's Action Plan (see B4).

Area for improvement or of concern SF #1:	Source (e.g. FYES, 2023-24):	In Action Plan? Y/N
Explain the area and indicate outcome(s) of School/Office discussion:		
Area for improvement or of concern SF #2:	Source (e.g. SSLC, 2023-24):	In Action Plan? Y/N
Explain the area and indicate outcome(s) of School/Office discussion:		
Area for improvement or of concern SF #3:	Source (e.g. SESQ/TPg Exit Survey 2023-24):	In Action Plan? Y/N
Explain the area and indicate outcome(s) of School/Office discussion:		

Add additional boxes, if necessary.

A4.2 Briefly comment on any area for improvement or of concern listed in last year's A4.1 that are not covered in this year's report.

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A5. External Review/Accreditation

A5.1 Summarise the progress as at November 2024 in addressing **School/Office level** recommendations from the most recent accreditation/external review and/or Advisory Committee/Board meeting.

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A5.2 Indicate any good practice identified in the most recent accreditation/external review and/or Advisory Committee/Board meeting.

A6. Good Practice in Quality Assurance

Indicate any **particularly innovative** and/or **successful** good practices or changes in quality assurance arrangements by the **School/Office/Departments/Programs (maximum 10)** to maintain or improve educational quality and indicate how the School has/will disseminate these for wider consideration and possible adoption within the School. Please differentiate any new practices from recurrent practices. (A list of good practice in teaching and learning by year/by category is available for reference at <https://registry.hkust.edu.hk/resource-library/good-practice-teaching-and-learning-year/> ; [https://registry.hkust.edu.hk/resource-library/good-practice-teaching-and-learning-category.](https://registry.hkust.edu.hk/resource-library/good-practice-teaching-and-learning-category/))

Part B: Teaching, Learning and Assessment [see Note 2]

B1. Issues of Broad Institutional Interests on Quality Enhancement

In regard to the identified issues of Broad Institutional Interests on Quality Enhancement listed under the University T&L Data Warehouse (<https://registry.hkust.edu.hk/resource-library/teaching-and-learning-data-warehouse>), indicate any area of improvement or action to be taken that can address the issue. Include these action items in this year's Action Plan (see B4).

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B2. Self-Reflection

B2.1 List no more than 3 areas for improvement or of concern identified through self-reflection (SR) **at School level** (i.e. other than those listed in A3, A4 and B1), taking into account the Areas listed under Note 3.

#	Area for improvement or of concern	School discussion/decision
SR1		
SR2		
SR3		

B2.2 Briefly comment on any area for improvement or of concern listed in last year's B2.1 that are not covered in this year's report.

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B2.3 Provide brief details of any **significant** changes made to/planned for the undergraduate/postgraduate curriculum and/or co-curriculum.

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B3. Quality Enhancement and Good Practice

B3.1 Briefly describe good practices in **teaching, learning and/or assessment** which have had a positive impact on the student learning experience and/or success of specified programs **during the reporting period**. Please differentiate any new practices from recurrent practices. (A list of good practice in teaching and learning by year/by category is available for reference at <https://registry.hkust.edu.hk/resource-library/good-practice-teaching-and-learning-year/>; <https://registry.hkust.edu.hk/resource-library/good-practice-teaching-and-learning-category/>.)

B3.2 Indicate how items in B3.1 have been disseminated within the School/Office and critically evaluate their success. Include any good practice from last year's CTLQ Report to the Senate (see <https://registry.hkust.edu.hk/resource-library/good-practice-teaching-and-learning-year/>) that has been adopted by the School/Office and/or its Departments/Programs.

B4. Action Plan

Based on the above review and discussion in A3, A4, B1 and B2, determine **3-5 priority action items at School level** and include them in an Action Plan indicating tasks, timelines and responsibilities for each action item and the area(s) of concern being addressed. Attach the Action Plan to this Report. (An example Action Plan template is available at <https://registry.hkust.edu.hk/resource-library/quality-assurance-annual-reporting-exercise> for reference.)

B5. Other Information and Comments

B5.1 List any new initiatives in teaching, learning and/or assessment **over the reporting period**, including those that support the University's strategic endeavours, where appropriate.

B5.2 Indicate any data not currently available centrally that the School would find helpful.

B5.3 List below any statistical observations, special events or activities, or **significant achievements at School level** relating to teaching, learning and/or assessment **over the reporting period**.

NOTES

1. In completing **Part A** Schools may make reference to the *Academic Quality Manual* available at <https://registry.hkust.edu.hk/resource-library/academic-quality-manual>. Schools should establish arrangements to:
 - Monitor departmental processes for assuring the quality of educational delivery and the maintenance of academic standards and support departments in establishing effective processes
 - Work with departments to implement arrangements for the periodic review of educational programs, including external peer review, in line with university policy
 - Allocate resources and provide incentives to encourage faculty and students to maintain and improve educational quality
 - Promote and share good practices

2. The major requirements of Department/Division/Program are:
 - The Department/Division/Program has in place committees or equivalent forums to review: admissions (to majors in the case of Ug students) and induction of students; academic programs, courses and the co-curriculum delivered by the department/division/program; mentoring and advising; student assessment and academic progress; student feedback (e.g. from SFQ/SESQ/TPg Exit survey or other forums including Student Staff Liaison Committees or focus group meetings).
 - The role of individuals and committees is clearly assigned within a system that is designed to maintain and improve the quality of teaching and learning.
 - These committees: provide for a range of views to be expressed; consider evidence relevant for evaluating performance; share good practice; determine an agenda for action; and follow up on planned action. In particular:
 - The Department/Division/Program has taken advantage of external peer review and input from employers, professional bodies and others to benchmark academic standards and the quality of educational provision and the preparation of graduates for employment or graduate studies.
 - There are regular opportunities for students/student representatives to meet with faculty responsible for courses and programs and to freely express their views.
 - Students are informed of changes made as a consequence of their feedback.
 - The relevant committees have met regularly and have documented their work.

3. In completing **Part B** Schools may wish to consider the following checklist of areas but reports are **NOT** expected to cover all areas:

Areas
<u>Admissions, orientation, induction and advising of students</u> <ul style="list-style-type: none"> • Recruitment and selection • Admissions data and quality of admissions • Orientation and induction activities for new students • Advising and mentoring of new students
<u>Curriculum, co-curriculum, teaching, learning and assessment</u> <ul style="list-style-type: none"> • Development of program/course objectives and outcomes • Difficulties and issues in developing/delivering the curriculum and/or co-curriculum • Innovation in delivery of teaching and learning • Support for professional development of faculty, instructors and teaching assistants • Incentives and recognition for good performance • Teaching effectiveness and student feedback • Facilities, including: laboratories, study space, classrooms • Learning resources, including: Library, on-line resources • Availability of elective courses requested by students • Class size, access to faculty, student campus engagement • Review of assessment results, including course grade distributions and degree classifications • Application of Senate policy for grading, plagiarism and academic integrity
<u>Graduation and placement</u> <ul style="list-style-type: none"> • Opportunities and preparation for graduate employment or further study



Departmental Annual Report on Undergraduate Education: 2023-24

Report Submitted by	
Department/Division	(Corresponding School: _____)

Program(s) [#] Covered

[[#] Indicate "CC" if a Department/Division contributes significantly to the University Common Core Program.]

Prepared by	
Name of Committee/Authors	

Departmental Review of the Report
<p>Has the Annual Report been considered by faculty members in a formal meeting at Departmental level? Yes/No <i>[[If Yes, please indicate at which meeting the Annual Report has been presented; if No, please briefly explain how the report was reviewed in the Department.]</i></p> <p>_____</p> <p>Endorsed by: _____ (Department Head) _____ (Signature)</p> <p>Date: _____</p>

Important Information on Submission
<p>i) Submission Timeline:</p> <ul style="list-style-type: none"> ➤ <u>Departments</u> submit reports to Schools on or before 14 February 2025 (Friday). ➤ <u>Schools</u> submit reports, including their respective Departmental/Divisional, School-based Ug, and TPg program reports, to CTLQ on or before 10 April 2025 (Thursday). <p>ii) Please read the appended "NOTES" before completing Parts A and B of this Report.</p> <p>iii) Data sets for Annual Reporting are available at:</p> <ul style="list-style-type: none"> ➤ (T&L Data Warehouse) https://registry.hkust.edu.hk/resource-library/teaching-and-learning-data-warehouse ➤ (PAIR Portal) https://pair.hkust.edu.hk/

Departmental Annual Report on Undergraduate Education: 2023-2024

Part A: Quality Assurance of Undergraduate Education

A1. Follow-up Action Items from Last Year's Report

List completed action items from last year's Action Plan as at November 2024. Include outstanding action items in the Department's Action Plan (see B4).

Completed action items	Commentary, as appropriate

A2. Implementation of Quality Assurance Framework [see Note 1]

A2.1 Indicate if the Department/Division has in place committees, equivalent forums or designated personnel to consider the following issues.

Quality assurance issues	Name of committee/ responsible personnel
• Student Admissions	
• Student Induction and Orientation	
• Academic and Student Progress	
• Management of the Program, Courses, and Co-curriculum	
• Criterion-Referenced Assessment and the Maintenance of Academic Standards	
• Academic Integrity and Student Misconduct	
• Student Welfare and Support	
• Student Feedback	
• Student Careers Guidance	

A2.2 Briefly evaluate the effectiveness of the above structures. Where appropriate, indicate **any changes made** during the reporting period **or any proposed changes** to enhance their effectiveness in (i) assuring the quality of the student learning experience and (ii) maintaining the academic standards of undergraduate programs and awards.

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A3. Issues of Broad Institutional Interests on Quality Assurance

In regard to the identified issues of Broad Institutional Interests on Quality Assurance listed under the University T&L Data Warehouse (<https://registry.hkust.edu.hk/resource-library/teaching-and-learning-data-warehouse>), indicate any area of improvement or action to be taken that can address the issues. Include these action items in this year's Action Plan (see B4).

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A4. Stakeholder Feedback

A4.1 Identify (maximum 5) areas for improvement or of concern arising from stakeholder feedback (SF) during the reporting period (e.g. student questionnaires, other student feedback such as Student Staff Liaison Committee or focus group meetings, alumni/employer surveys, or other external reviews related to the Department/Division). Indicate those items to be included in this year’s Action Plan (see B4).

Area for improvement or of concern SF #1:	Source (e.g. SESQ, 2023-24):	In Action Plan? Y/N
Explain the area and indicate outcome(s) of Departmental discussion:		
Area for improvement or of concern SF #2:	Source (e.g. SFQ, 2023-24):	In Action Plan? Y/N
Explain the area and indicate outcome(s) of Departmental discussion:		
Area for improvement or of concern SF #3:	Source (e.g. SSLC, 2023-24):	In Action Plan? Y/N
Explain the area and indicate outcome(s) of Departmental discussion:		

Add additional boxes, if necessary.

A4.2 Briefly comment on any area of concern listed in last year’s A4.1 that are not covered in this year’s report.

A5. External Review/Accreditation

Summarise the progress as at November 2024 in addressing recommendations from the most recent accreditation/external review and/or Advisory Committee/Board meeting related to the Department/Division.

A6. Good Practice in Quality Assurance

Summarise any **particularly innovative** and/or **successful** good practices or changes in quality assurance arrangements to maintain or improve educational quality and indicate how these will be disseminated for wider consideration and possible adoption. Please differentiate any new practices from recurrent practices. (A list of good practice in teaching and learning by year / by category is available at <https://registry.hkust.edu.hk/resource-library/good-practice-teaching-and-learning-year/>; <https://registry.hkust.edu.hk/resource-library/good-practice-teaching-and-learning-category> for reference.)

Part B: Teaching, Learning and Assessment [see Note 2]

B1. Issues of Broad Institutional Interests on Quality Enhancement

In regard to the identified issues of Broad Institutional Interests on Quality Enhancement listed under the University T&L Data Warehouse (<https://registry.hkust.edu.hk/resource-library/teaching-and-learning-data-warehouse>), indicate any area of improvement or action to be taken that can address the issues. Include these action items in this year's Action Plan (see B4).

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B2. Self-Reflection

B2.1 List no more than 3 areas for improvement or of concern identified through self-reflection (SR) (i.e. other than those listed in A3, A4 and B1), taking into account the Areas listed under Note 2.

#	Area for improvement or of concern	Departmental discussion/decision
SR1		
SR2		
SR3		

B2.2 Briefly comment on any area for improvement or of concern listed in last year's B2.1 that are not covered in this year's report.

--

B2.3 Provide brief details of any significant changes made to/planned for the curriculum and/or co-curriculum.

--

B3. Quality Enhancement and Good Practice

*B3.1 Summarise any particularly successful aspects of specified programs and indicate the **evidence** of success. (The relevant information would include **data available at** <https://registry.hkust.edu.hk/resource-library/teaching-and-learning-data-warehouse>)*

--

*B3.2 Briefly describe good practices in **teaching, learning and/or assessment** which have had a positive impact on the student learning experience and/or success of specified programs **during the reporting period**. Please differentiate any new practices from recurrent*

practices. (A list of good practice in teaching and learning by year / by category is available at <https://registry.hkust.edu.hk/resource-library/good-practice-teaching-and-learning-year/> ; <https://registry.hkust.edu.hk/resource-library/good-practice-teaching-and-learning-category> for reference.)

B3.3 Indicate how items in B3.2 have been disseminated within the Department. Provide details of any good practice from last year's CTLQ Report to the Senate (see <https://registry.hkust.edu.hk/resource-library/good-practice-teaching-and-learning-year/>) that has been adopted by the Department.

B4. Action Plan

Based on the above review and discussion in A3, A4, B1 and B2, determine **3-5 priority action items** and include them in an Action Plan indicating tasks, timelines and responsibilities for each action item and the area(s) of concern being addressed. Attach the Action Plan to this Report. (An example Action Plan template is available at <https://registry.hkust.edu.hk/resource-library/quality-assurance-annual-reporting-exercise> for reference.)

B5. Other Information and Comments

B5.1 List any **new** initiatives in teaching, learning and/or assessment **over the reporting period**, including those that support the School's/University's strategic endeavours, where appropriate.

B5.2 Indicate any data not currently available centrally that the Department would find helpful.

B5.3 List below any statistical observations, special events or activities, or **significant** achievements relating to teaching, learning and/or assessment **over the reporting period**.

NOTES

1. In completing **Part A** Departments/Divisions/Programs may make reference to the *Academic Quality Manual* available at <https://registry.hkust.edu.hk/resource-library/academic-quality-manual>. The major requirements are:
 - The Department/Division/Program has in place committees or equivalent forums to review: admissions (to majors in the case of Ug students) and induction of students; academic programs, courses and the co-curriculum delivered by the department/division/program; mentoring and advising; student assessment and academic progress; student feedback (e.g. from SFQ/SESQ/TPg Exit survey or other forums including Student Staff Liaison Committees or focus group meetings).
 - The role of individuals and committees is clearly assigned within a system that is designed to maintain and improve the quality of teaching and learning.
 - These committees: provide for a range of views to be expressed; consider evidence relevant for evaluating performance; share good practice; determine an agenda for action; and follow up on planned action. In particular:
 - The Department/Division/Program has taken advantage of external peer review and input from employers, professional bodies and others to benchmark academic standards and the quality of educational provision and the preparation of graduates for employment or graduate studies.
 - There are regular opportunities for students/student representatives to meet with faculty responsible for courses and programs and to freely express their views.
 - Students are informed of changes made as a consequence of their feedback.
 - The relevant committees have met regularly and have documented their work.

2. In completing **Part B** Departments/Divisions/Programs may wish to consider the following checklist of areas but reports are **NOT** expected to cover all areas:

Areas
<u>Admissions, orientation, induction and advising of students</u> <ul style="list-style-type: none"> • Recruitment and selection • Admissions data and quality of admissions • Orientation and induction activities for new students • Advising and mentoring of new students
<u>Curriculum, co-curriculum, teaching, learning and assessment</u> <ul style="list-style-type: none"> • Development of program/course objectives and outcomes • Difficulties and issues in developing/delivering the curriculum and/or co-curriculum • Innovation in delivery of teaching and learning • Support for professional development of faculty, instructors and teaching assistants • Incentives and recognition for good performance • Teaching effectiveness and student feedback • Facilities, including: laboratories, study space, classrooms • Learning resources, including: Library, on-line resources • Availability of elective courses requested by students • Class size, access to faculty, student campus engagement • Review of assessment results, including course grade distributions and degree classifications • Application of Senate policy for grading, plagiarism and academic integrity
<u>Graduation and placement</u> <ul style="list-style-type: none"> • Opportunities and preparation for graduate employment or further study

Program Review Report

Responsible Academic Unit and Review Period	
Department/Division	
School	
Review Period (Ac. Years)	

Author Details	
Name	
Position	
Email	

Program Reviewed	
Award	
Title	

External Review
<p>Please indicate below the names and positions of the External Review Panel members who reviewed the program and the date of the Panel Visit</p>

Authorisation
<p>The External Review Panel indicated above has submitted the attached report and their comments and feedback have been incorporated into this Program Review Report, where considered appropriate.</p>
<p>Endorsed by:</p> <p style="text-align: center;"> (Program Director) (Signature) (Date) </p>
<p>Received by:</p> <p style="text-align: center;"> (Head of Dept./Division) (Signature) (Date) </p>
<p>Received by:</p> <p style="text-align: center;"> (Dean) (Signature) (Date) </p>

Review Outcomes/Overall Evaluation/Action Plan

[To be completed after receiving the External Reviewers' Report]

1. Review Outcomes

1.1 Summarise the findings of the External Review Panel, with particular reference to:

- the quality of the student intake;
- the curriculum and course syllabi;
- the appropriateness of student assessments and grade/award distributions;
- student support;
- the standards of student achievement relative to international benchmarking.

1.2 List any suggested improvements/concerns identified by the External Review Panel:

2. Overall Evaluation

2.1 Taking account of the Self-Evaluation Report and the External Reviewer' Report, provide a **critical commentary** on the relative success of the program, with specific reference **to strengths and areas for improvement**:

2.2 Indicate why any of the Panel's suggested improvements and/or concerns would **NOT** be taken forward, if applicable:

3. Action Plan

3.1 Append an Action Plan to indicate:

- suggested improvements that will be taken forward, with timescales;
- milestones to allow monitoring of implementation;
- those responsible for each task.

Copies of the Program Review Report, Action Plan and External Reviewers' Report should be submitted as below within four weeks of receiving the External Reviewers' Report:

- **To the relevant Dean, via the relevant Head of Department/Division;**
- **To the CTLQ Secretariat* via Quality Assurance and Enhancement, Academic Registry.**

** In accordance with the Policy on Taught Postgraduate Program Review, the report will be forwarded to the CPS (for comment and subsequent monitoring, as deemed appropriate) and to the Provost (for information).*

Notes on template version:

- Template first developed for the approved policy in December 2013.
- Last reviewed and updated in April 2024.

Policy on Review of Undergraduate Major Programs

Overview

1. As part of the University's quality assurance framework, Deans shall request those responsible for Undergraduate Major programs to undertake a review of their programs **every five years** according to the procedures below.
2. Programs may be reviewed individually or by cognate group. Special arrangements may apply to some programs, e.g., those that are professionally accredited, subject to approval by the Committee on Teaching and Learning Quality (CTLQ).
3. A review schedule shall be approved by the CTLQ in consultation with the Committee on Undergraduate Studies (CUS) and Deans.
4. There shall be four stages to the review process:
 - Stage 1: Production of a Self-Evaluation Report
 - Stage 2: Review of the program by an External Panel and submission of an External Reviewers' Report
 - Stage 3: Production of an Undergraduate Major Program Review Report and Action Plan
 - Stage 4: Consideration of the Undergraduate Major Program Review Report and Action Plan

Stage 1: Self-Evaluation Report

5. A Self-Evaluation Report (SER) shall be completed in accordance with a standard template, to address the following core areas:
 - a) Program Delivery
 - b) The Curriculum and Benchmarking
 - c) Quality Assurance
 - d) Quality Enhancement and Good Practices in Teaching and Learning
 - e) Assessment
 - f) Student Intake and Performance
 - g) Stakeholder Feedback
 - h) Resources and Risk
 - i) Plans for Development
6. The SER template shall include guidance in regard to the items to be covered under each core area, and may be customised to include aspects of review specific to individual programs.
7. Program Coordinators (or Program Directors where applicable) shall collate relevant documentation and data (for which guidance shall be provided), for discussion and analysis with the faculty and instructors who deliver a program's constituent courses (i.e., the program teaching team) and the program administrator. This may take place over a period of up to two months and involve several meetings prior to a visit by an External Review Panel.

Stage 2: Review by External Panel

8. An External Review Panel, approved by the CTLQ Chair and Associate Provost (Teaching and Learning) on the recommendation of the relevant Dean, shall be appointed for each review. Panels normally¹ shall comprise the following members:
 - An academic/subject specialist from a peer institution outside Hong Kong (Panel Chair)
 - An academic/subject specialist from a peer institution in Hong Kong
 - A local stakeholder (e.g., employer, alumnus or member of a professional/statutory body).
9. External Review Panels shall serve as “critical friends”. They shall be asked to comment on the quality assurance of a program, the appropriateness and international comparability of a program’s curriculum and academic standards, and the quality of the student learning experience; and to provide constructive feedback and advice to the Program Coordinator, as deemed appropriate.
10. External Review Panels shall visit the University to review the SER and other documentation, including course and program documents and a range of assessments, student work, mark profiles and grade distributions. They shall observe the program’s teaching and learning facilities and resources, and discuss the program with the Dean, the relevant Head of Department/Division, the Program Coordinator, staff involved with the delivery and quality assurance of the program, students, graduates/alumni, and employers.
11. The documentation to be reviewed and the visit program shall be agreed between the Program Coordinator and the External Panel Chair, in consultation with the Dean. Guidance shall be provided.
12. Chairs of External Review Panels shall draft External Panel Reports, based on an agreed template, for approval by the other Panel members and send Reports to Program Coordinators **within two weeks** of visiting the University.

Stage 3: Program Review Report and Action Plan

13. Program Coordinators shall prepare Undergraduate Major Program Review Reports in accordance with a standard template and guidance. Reports shall be agreed by program teams and incorporate the feedback provided in External Reviewers’ Reports (which shall be appended to Program Review Reports).
14. Action Plans shall be annexed to Undergraduate Major Program Review Reports, to indicate how a Report’s recommendations would be taken forward, the timescales for implementation, milestones to allow monitoring, and identifying those responsible for each action.

Stage 4: Consideration of the Review Report and Action Plan

15. Undergraduate Major Program Review Reports shall be submitted to the relevant Dean *via* the relevant Head of Department/Division; to the CTLQ and CUS (for comment and

¹ Exceptionally, the CTLQ may approve alternative memberships for individual programs on submission of appropriate cases.

subsequent monitoring, as deemed appropriate), **within four weeks** of receipt of External Reviewers' Reports.

16. Deans shall comment on Undergraduate Major Program Review Reports in their Annual Reports on Undergraduate and Postgraduate Education to the CTLQ as part of the University's quality assurance framework. Deans and Heads also may choose to submit Program Review Reports to School/AIS Advisory Committees and to Department/Division Advisory Committees as part of those committees' general remits to provide advice, *inter alia*, on teaching and learning at School/AIS and Department/Division levels.
17. Departmental Annual Reports on Undergraduate Education shall not be required to cover the Major program in the years in which Undergraduate Major Program Review was undertaken.
18. Departmental Annual Reports on Undergraduate Education in the years following Undergraduate Major Program Reviews shall include progress reports on implementation of Undergraduate Major Program Review Action Plans, indicating reasons for any delay in implementation, where appropriate.

(first approved by the Senate in June 2024)
(last reviewed and updated in March 2025)

The Hong Kong University of Science and Technology

Schedule of First Cycle Undergraduate Program Review

School	Program	Year					
		2024-25	2025-26	2026-27	2027-28	2028-29	2029-30
SSCI	BSc in Biochemistry and Cell Biology	√ ⁽¹⁾				√	
	BSc in Biotechnology	√ ⁽¹⁾				√	
	BSc in Biotechnology and Business	√ ⁽¹⁾				√	
	BSc in Biomedical and Health Sciences		#			√	
	BSc in Chemistry	√ ⁽¹⁾				√	
	BSc in Data Analytics in Science			√			
	BSc in Data Science and Technology	√ ⁽¹⁾				√	
	BSc in Mathematics	√ ⁽¹⁾				√	
	BSc in Mathematics and Economics	√ ⁽¹⁾				√	
	BSc in Ocean Science and Technology	√ ⁽¹⁾				√	
	BSc in Physics	√ ⁽¹⁾				√	
SENG	BEng in Aerospace Engineering			√			
	BEng in Artificial Intelligence		#				
	BEng in Bioengineering			√			
	BEng in Chemical Engineering			√			
	BEng in Civil Engineering			√			

	BEng in Civil and Environmental Engineering			√			
	BEng in Computer Engineering			√			
	BEng in Computer Science			√			
	BSc in Computer Science			√			
	BEng in Decision Analytics			√			
	BEng in Electronic Engineering			√			
	BEng in Industrial Engineering and Engineering Management			√			
	BEng in Mechanical Engineering			√			
	BEng in Microelectronics and Integrated Circuits		#				
	BEng in Sustainable Energy Engineering			√			
SBM	BBA in Economics	√ ⁽²⁾					√
	BBA in Finance	√ ⁽²⁾					√
	BBA in General Business Management	√ ⁽²⁾					√
	BBA in Global Business	√ ⁽²⁾					√
	BBA in Information Systems	√ ⁽²⁾					√
	BBA in Professional Accounting	√ ⁽²⁾					√
	BSc in Economics and Finance	√ ⁽²⁾					√
	BBA in Management	√ ⁽²⁾					√
	BBA in Marketing	√ ⁽²⁾					√
	BBA in Operations Management	√ ⁽²⁾					√

	BSc in Quantitative Finance	√ ⁽²⁾					√
	BSc in Risk Management and Business Intelligence	√ ⁽²⁾					√
	BSc in Sustainable and Green Finance	√ ⁽²⁾					√
SHSS	BSc in Global China Studies	√					
	BSc in Quantitative Social Analysis		√				√
AIS	BSc in Environmental Management and Technology				√		
	BSc in Integrative Systems and Design		√				

Launch Year √ Year of Review

Remarks:

(1) The CTLQ confirmed UGEA (External Undergraduate Education Advising) undertaken by the School of Science in 2024 as compatible to having completed the University-wide Undergraduate Major Program External Review for the First Review Cycle, after a thorough compliance check.

(2) The CTLQ confirmed AACSB accreditation as compatible to having completed the University-wide Undergraduate Major Program External Review for the First Review Cycle as an interim measure during transition period, after a thorough compliance check.

A section on the *New Student Orientation* website that provides a brief picture of OBE and CRA to students

THE HONG KONG UNIVERSITY OF SCIENCE AND TECHNOLOGY | NEW STUDENT ORIENTATION 2025

Orientation Student Guide

On Campus **Academic Matters** Student Life Getting Help Resources

Academic Matters

At HKUST, we equip our students with **the skills and mindset required outside the classroom**

On this Page

- Undergraduate Student Guide
- Common Core
- Language Studies
- Scholarships
- Library
- Bad Weather Arrangement

UNDERGRADUATE STUDENT GUIDE

Everything you need to know about academics

The Academic Registry publishes an Undergraduate Student Guide to give you an overview of the academic aspects of your undergraduate studies.

[READ THE FULL GUIDE >](#)

Outcome-Based Education

HKUST implements Outcome-Based Education (OBE) in its programs and courses, utilizing criterion-referenced assessments. In this approach, student performance is evaluated based on the achievement of Course Intended Learning Outcomes (CILOs). Unlike norm-referenced assessments, which foster competition among students, criterion-referenced assessments promote a collaborative learning environment. By understanding CILOs, students can better grasp the expectations and objectives of their courses, enabling them to focus their efforts on achieving these goals.

[LEARN HOW TO UTILIZE CILOS TO ENHANCE YOUR LEARNING EXPERIENCE >](#)

CALENDAR DATES

The academic year has two regular terms (Fall and Spring) and two non-regular terms (Winter and Summer). Each regular term normally has 13 weeks for scheduled classes. Immediately after the 13th week there is a short study break, followed by an examination period. There is a break in the Spring Term around Easter. The Winter Term is scheduled between the two regular terms for special academic programs, research symposiums and other activities. The Summer Term bridges the end of the Spring Term and the beginning of the next Fall Term. Most students do not need to attend the Winter and Summer terms. For the dates of term classes, study breaks, examination periods, public holidays, etc., please see our Academic Calendar for the latest updates:

[ACADEMIC CALENDAR >](#)

A section introducing OBE and CRA in the *Undergraduate Student Guide* for newly admitted students



< Undergraduate Student Guide

OBE, CILOs and Criterion-Referencing

14 MAY 2025 • ALL

With the introduction of Outcome-Based Education (OBE), universities in Hong Kong have transitioned from norm-referencing (often referred to as “grading on a curve”, where students are graded with reference to their peers) to criterion-referencing, where student performance is evaluated against the achievement of Course Intended Learning Outcomes (CILOs) and which encourages a collaborative, rather than a competitive, learning environment.

Under OBE, courses and programs are designed with a student-centered approach that emphasizes what students achieve rather than what instructors cover. While the course outline provides a general overview of the topics and contents covered by a course, CILOs describe the expected performance levels upon successful completion of a course. These outcomes are specified in each course entry in the Course Catalog and in the syllabus of each course. By understanding CILOs, students can better grasp the expectations and objectives of their courses, allowing them to focus their efforts on achieving these goals.

Here are some tips for utilizing CILOs to enhance your learning strategy:

- **Review CILOs at the start of the course:** Familiarize yourself with the expectations and set specific goals for your learning.
- **Utilize the “Mapping of CILOs to Assessment Tasks” and “Grading Rubrics”:** Refer to the relevant sections in the course syllabus to understand the expected performance levels and skills for specific assessments, and concentrate on mastering them.
- **Check your progress against the CILOs during exam preparation:** Ensure you can demonstrate the required knowledge and skills during exams, and identify areas where you need improvement.

By actively engaging with the CILOs, you can enhance your learning outcomes and achieve greater success in your academic journey.

The Hong Kong University of Science and Technology

UG Course Syllabus Template

[Course Title]

[Course Code]

[No. of Credits]

[Any pre-/co-requisites]

Name: [Instructor(s) Name]

Email: [Your Email Address]

Office Hours: [Specify Office Hours and Location]

Course Description

[Briefly describe the course content, key topics or themes, objectives, methods of instruction, e.g., lectures, discussions, projects].

Intended Learning Outcomes (ILOs)

By the end of this course, students should be able to:

1. [intended learning outcome 1]
2. [intended learning outcome 2]
3. ...

Assessment and Grading

This course will be assessed using criterion-referencing and grades will not be assigned using a curve. Detailed rubrics for each assignment are provided below, outlining the criteria used for evaluation.

Assessments:

[List specific assessed tasks, exams, quizzes, their weightage, and due dates; perhaps, add a summary table as below, to precede the details for each assessment.]

Assessment Task	Contribution to Overall Course grade (%)	Due date
Mid-Term	20%	dd/mm/yyyy *
In-course essay	10%	dd/mm/yyyy *
Group Project	10%	dd/mm/yyyy *
Final examination	60%	dd/mm/yyyy

* Assessment marks for individual assessed tasks will be released within two weeks of the due date.

Mapping of Course ILOs to Assessment Tasks

[add to/delete table as appropriate]

Assessed Task	Mapped ILOs	Explanation
[Assessed Task 1]	[e.g. ILO1, ILO2, ILO3. ILO4]	[Example: This task assesses students' ability to explain and apply XX concepts (ILO 1), evaluate their implications (ILO 2), critically analyze their role in society (ILO 3), and synthesize a well-argued solution (ILO 4).]
[Assessed Task 1]	[e.g. ILO3. ILO4]	[Example: The presentation and reflection assess students' ability to critically evaluate XX (ILO 3) and analyze XX (ILO 4), demonstrating higher-order thinking skills of analysis and evaluation.]

Grading Rubrics

[Detailed rubrics for each assignment will be provided. These rubrics clearly outline the criteria used for evaluation. Students can refer to these rubrics to understand how their work will be assessed.]

Final Grade Descriptors:

[As appropriate to the course and aligned with university standards]

Grades	Short Description	Elaboration on subject grading description
A	Excellent Performance	[Example: Demonstrates a comprehensive grasp of subject matter, expertise in problem-solving, and significant creativity in thinking. Exhibits a high capacity for scholarship and collaboration, going beyond core requirements to achieve learning goals.]
B	Good Performance	[Example: Shows good knowledge and understanding of the main subject matter, competence in problem-solving, and the ability to analyze and evaluate issues. Displays high motivation to learn and the ability to work effectively with others.]
C	Satisfactory Performance	[Example: Possesses adequate knowledge of core subject matter, competence in dealing with familiar problems, and some capacity for analysis and critical thinking. Shows persistence and effort to achieve broadly defined learning goals.]
D	Marginal Pass	[Example: Has threshold knowledge of core subject matter, potential to achieve key professional skills, and the ability to make basic judgments. Benefits from the course and has the potential to develop in the discipline.]

F	Fail	[Example: Demonstrates insufficient understanding of the subject matter and lacks the necessary problem-solving skills. Shows limited ability to think critically or analytically and exhibits minimal effort towards achieving learning goals. Does not meet the threshold requirements for professional practice or development in the discipline.]
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Course AI Policy

[State the course policy on the use of generative artificial intelligence tools to complete assessment tasks.]

Communication and Feedback

Assessment marks for individual assessed tasks will be communicated via Canvas within two weeks of submission. Feedback on assignments will include [specific details, e.g., strengths, areas for improvement]. Students who have further questions about the feedback including marks should consult the instructor within five working days after the feedback is received.

Resubmission Policy

[If applicable, explain the policy for resubmitting work or reassessment opportunities, including conditions and deadlines.]

Required Texts and Materials

[List required textbooks, readings, and any other materials]

Academic Integrity

Students are expected to adhere to the university's academic integrity policy. Students are expected to uphold HKUST's Academic Honor Code and to maintain the highest standards of academic integrity. The University has zero tolerance of academic misconduct. Please refer to [Academic Integrity | HKUST – Academic Registry](#) for the University's definition of plagiarism and ways to avoid cheating and plagiarism.

[Optional] Additional Resources

[List any additional resources, such as online platforms, library resources, etc.]

The Hong Kong University of Science and Technology

UG Course Syllabus **Sample 1**

AI and Society: Ethics, Cognition, and Critical Analysis

CTDL 1902

3 Credits

Name: Sean McMinn

Email: smcminn@ust.hk

Office Hours: Mondays 3-4pm

Course Description

This course explores how artificial intelligence (AI) will impact society and the economy. It covers key topics such as ethics, social justice, and the benefits and existential risks of AI. Throughout the course, students will learn about AI through by using AI to complete various tasks. The course is designed around active learning exercises encouraging students to develop hybrid critical thinking skills, which leverage generative AI to extend their natural human capabilities. Students will be expected to learn how to maximize the benefits gained from AI assistance while avoiding potential pitfalls. The course employs a range of assessment methods, including group projects and individual reflection journals, to foster both collaborative learning and personal growth.

Intended Learning Outcomes (ILOs)

By the end of this course, students should be able to:

1. Explain the fundamental concepts of AI, its capabilities and limitations, and its potential impact on the society and economy.
2. Explain how AI differs from human cognition, and how AI may complement and/or disrupt human cognition.
3. Apply critical thinking skills to evaluate AI technologies, particularly in the context of cognitive science theories and human-machine relationships.
4. Analyze the role of AI in society using network theory, complexity theory, ethical theories, and other relevant theoretical frameworks.
5. Demonstrate the ability to communicate effectively about AI, its role in society, and its social, economic, and ethical implications.

Assessment and Grading

Group Proposal and Essay (45%):

- Brainstorming Phase (5%): Written submission.
- First Draft Paper (10%)
- Group Presentation and reflection (15%)
- Final Draft Paper (15%).

Reflections (30%): Because the use of Generative Artificial Intelligence is required in this course, students will need to reflect on how they use GenAI tools to assist completing group work. Students will write reflection memos on their use of generative AI in the project, their insights about the AI tool's contributions and limitations, and their role in the group project. This will be broken down into reflections corresponding to each phase of the project:

1. Reflection on Brainstorming Phase (10%)
2. Reflection on First Draft Phase (10%)
3. Reflection on Final Draft Phase (10%)

Peer Evaluation (16%): Participate in peer assessments to evaluate team members after each group project phase. This cultivates accountability and teamwork.

3x Quizzes (9%): These small stakes quizzes will measure individual learning outcomes on key concepts and theories in the course and provide feedback to students.

Summary Table

Assessment Task	Contribution to Overall Course grade (%)	Due date
Group Proposal and Essay	45%	dd/mm/yyyy *
Reflections	30%	dd/mm/yyyy *
Peer Evaluation	16%	dd/mm/yyyy *
Quiz 1	3%	dd/mm/yyyy *
Quiz 2	3%	dd/mm/yyyy *
Quiz 3	3%	dd/mm/yyyy *

* Assessment marks for individual assessed tasks will be released within two weeks of the due date.

Mapping of Course ILOs to Assessment Tasks

Assessed Task	Mapped ILOs	Explanation
Group Proposal and Essay	ILO1, ILO2, ILO3, ILO4	This task assesses students' ability to understand and apply AI concepts (ILO 1), evaluate their implications (ILO 2), critically analyze their role in society (ILO 3), and synthesize a well-argued solution (ILO 4)
Reflection	ILO3, ILO4, ILO5	The reflection assesses students' ability to critically evaluate AI technologies (ILO 3), analyze their societal role (ILO 4), and communicate effectively about AI (ILO 5), demonstrating higher-order thinking skills of analysis, evaluation, and communication.
Peer Evaluation	ILO 3, ILO 4, ILO 5	Peer evaluation fosters critical evaluation of group members' contributions to the project, aligning with ILO 3, ILO 4, and ILO 5, and promoting the development of evaluative and communicative skills
Quizzes	ILO 1, ILO 2	Quizzes are designed to assess students' foundational understanding of AI concepts (ILO 1) and their ability to differentiate AI from human cognition (ILO 2), aligning with the lower-order thinking skills of remembering and understanding

Final Grade Descriptors:

Grades	Short Description	Elaboration on subject grading description
A	Excellent Performance	Demonstrates a deep understanding of AI's fundamental concepts, its societal and economic impact, and its relationship with human cognition. Exhibits exceptional critical thinking skills in evaluating AI technologies and analyzing their role in society using relevant theoretical frameworks. Effectively communicates complex ideas about AI's implications and consistently applies AI to enhance learning and problem-solving.
B	Good Performance	Shows a solid grasp of AI's basics, its potential effects on society and the economy, and its interaction with human cognition. Demonstrates good critical thinking skills in assessing AI technologies and their societal role.

		Communicates effectively about AI's social, economic, and ethical implications and applies AI tools to support learning and problem-solving.
C	Satisfactory Performance	Possesses an adequate understanding of AI's principles, its societal impact, and its relationship with human cognition. Displays satisfactory critical thinking skills in evaluating AI technologies and their role in society. Communicates about AI's implications and uses AI tools to aid learning and problem-solving, but may lack depth in analysis and application.
D	Marginal Pass	Has basic knowledge of AI concepts, its potential societal impact, and its relationship with human cognition. Shows limited critical thinking skills in evaluating AI technologies and analyzing their societal role. Communicates about AI's implications at a basic level and uses AI tools for learning and problem-solving, but with minimal effectiveness.
F	Fail	Demonstrates insufficient understanding of AI and its impact on society and the economy. Lacks critical thinking skills in evaluating AI technologies and fails to effectively analyze their role in society. Struggles to communicate about AI's social, economic, and ethical implications and does not effectively use AI tools to aid learning and problem-solving.

Student Rubrics

Use the following rubrics to guide you for the assessment tasks that you submit in this course.

Group Proposal and Essay: Brainstorming Phase Student Rubric

Criteria	Excellent	Good	Satisfactory	Marginal	Fail	Mapping to Course ILOs
Problem Definition	Clearly defines the problem, its context, and its significance. Demonstrates a strong understanding of the chosen topic.	Defines the problem adequately but may lack some detail or context.	Defines the problem but lacks clarity or significance.	Problem definition is vague or inaccurate.	Problem is not defined or misunderstood.	ILO 1, ILO 4
Overall Quality	Submission is well-organized, concise, and free of grammatical errors. Demonstrates a strong understanding of the task.	Submission is mostly organized and clear, with few grammatical errors. Shows adequate understanding of the task.	Submission may be disorganized or unclear, with some grammatical errors. Understanding of the task.	Submission is poorly organized, unclear, or contains significant grammatical errors. Shows weak understanding of the task.	Submission is incomplete or not submitted.	ILO 5

Individual Reflection Student Rubric

Criteria	Excellent	Good	Satisfactory	Marginal	Fail	Mapping to Course ILOs
Integration and Analysis	Demonstrates insightful analysis of the use of generative AI, its contributions and limitations, ethical considerations, and broader societal impacts. Connects these elements to relevant course concepts and theories, showcasing a strong understanding of the material.	Provides a clear and detailed reflection on the use of generative AI, analyzing its impact on the project, considering limitations, and engaging with ethical implications. Makes connections to course material.	Offers some reflection on the use of generative AI and personal learning, but analysis may lack depth or critical thinking. Connections to course material may be limited.	Lacks in-depth analysis or critical thinking regarding AI use, ethical considerations, or connections to course material. Reflection may be superficial or focused solely on factual information.	Demonstrates no understanding or analysis of AI use, ethical considerations, or connections to course material. Reflection is absent or irrelevant.	ILO 3, ILO 4, ILO 5
Personal and Group Learning	Discusses their learning journey, skills acquired, and how their views on AI and its societal implications have evolved. Analyzes their role and contributions within the group, including challenges faced, strategies used, and how collaboration impacted the project. Demonstrates self-awareness and reflection on personal and group growth.	Reflects on personal learning and development throughout the project phase, mentioning specific skills gained or areas of improvement. Discusses their participation in group activities, contributions made, and any challenges encountered. May mention strategies used to address issues.	Briefly mentions personal learning or growth, but reflection lacks detail or specific examples. Mentions their role in the group but lacks analysis of challenges, collaboration, or impact.	Lacks reflection on personal learning, skill development, or changes in views on AI. Fails to mention their role or contributions within the group.	Demonstrates no reflection on personal learning or group collaboration. Fails to acknowledge any role or contribution within the group.	ILO1, ILO5, ILO2

Group Essay and Presentation Student Rubric

Criteria	Excellent	Good	Satisfactory	Marginal	Fail	Mapping to Course ILOs
Content Mastery	Demonstrates exceptional comprehension (Analysis level) by accurately explaining advanced AI concepts and their implications, building on the real-world application identified in the brainstorming phase with comprehensive examples and insightful connections.	Shows a strong comprehension (Application level) by correctly explaining key AI concepts and their implications, expanding on the real-world application identified in the brainstorming phase with clear examples and relevant connections.	Displays a satisfactory comprehension (Comprehension level) by explaining basic AI concepts and their implications, relating to the real-world application identified in the brainstorming phase with some examples and connections.	Demonstrates a basic comprehension (Knowledge level) by explaining fundamental AI concepts, referencing the real-world application identified in the brainstorming phase with limited examples and connections.	Shows minimal comprehension of the topic, with little to no connections to relevant AI theories and concepts, and a lack of explanation.	ILO 1, ILO 4
Critical Thinking and Analysis	Provides an in-depth analysis (Evaluation level) with a well-developed argument, critical evaluation of evidence, and synthesis of new ideas.	Offers a clear analysis (Analysis level) with a coherent argument and evaluation of evidence, showing an understanding of relationships.	Presents a basic analysis (Application level) with a simple argument and some evaluation of evidence, demonstrating the ability to apply concepts.	Demonstrates limited analysis (Comprehension level) with a weak argument and minimal evaluation of evidence, showing basic understanding.	Lacks analysis (Knowledge level), with no clear argument or evaluation of evidence, and a lack of understanding.	ILO 3, ILO 4

Communication and Feedback

Assessment marks for individual assessed tasks will be communicated via Canvas within two weeks of submission. Feedback on assignments will include comments on strengths and areas for improvement. Students who have further questions about the feedback including marks should consult the instructor within five working days after the feedback is received.

Course AI Policy

The use of Generative AI is permitted and requested to assist students with brainstorming, drafting, and writing their papers.

Academic Integrity

Students are expected to adhere to the university's academic integrity policy. Students are expected to uphold HKUST's Academic Honor Code and to maintain the highest standards of academic integrity. The University has zero tolerance of academic misconduct. Please refer to [Academic Integrity | HKUST - Academic Registry](#) for the University's definition of plagiarism and ways to avoid cheating and plagiarism.

Grade Moderation

Sampling of assessed work for review

To ensure that marks or grades are awarded appropriately and consistently with adherence to the pre-designed rubrics and assessment criteria, a post-assessment moderation system is introduced.

1. For assessments that contribute 30% or more towards the final course grade of course with class sizes of at least 20:
 - Two items of students' work rated in each of the following categories of standard of achievement of the assessment criteria should be second marked (maximum 8 samples): "Excellent Performance/Achievement", "Good Performance/Achievement", "Satisfactory Performance/Achievement" (or "Marginal Performance/Achievement" for postgraduate courses), and "Fail".
 - Assessments marked initially by the Course TA should be second marked by the Course/Section Instructor or another faculty member nominated by the Course/Section Instructor.
 - Assessments marked initially by the Course/Section Instructor should be second marked by another faculty member nominated by the Course/Section Instructor.
 - In all cases, the Course/Section Instructor should agree the final mark for the sampled assessments in consultation with the TA/other faculty member as appropriate.
2. For samples of assessments marked initially by the Course TA and where the marks differed significantly from those awarded by the second marker, the Course/Section Instructor should second-mark all students' work for the assessments concerned and award the final marks.
3. For samples of assessments marked initially by the Course/Section Instructor and where the marks differed significantly from those awarded by the second marker, the Course/Section Instructor should ask the Head of Department/Division to identify another faculty member to second-mark all students' work for the assessments concerned and agree on the final marks to be awarded with the Course/Section Instructor.
4. Samples of students' work that had been second marked would be retained by the Department/Division for consideration by external reviewers during periodic program review.
5. The name(s) of the second marker(s) of a Course/Section shall be recorded on the grade reporting system.
6. Heads of academic Departments/Divisions will be responsible for administering the above and ensuring adherence.

(Major revisions are highlighted in yellow)

Regulations for Student Conduct

Student Conduct

1. The University expects good conduct from its students and may take disciplinary action under these *Regulations for Student Conduct* (**Regulations**) against students, current or former, who are found, either individually or in aggregate with others, to have committed misconduct including, but not limited to:
 - (i) Any action which threatens, harms, or causes distress to a member of the University Community on or off campus; or any action which threatens, harms, or causes distress to a member of the public while on University premises, or during activities that are conducted on or off campus under the name of the University or one of its registered organisations. Examples of such actions include, but are not limited to, assault (physical or verbal) or battery, conduct calculated to subject others to humiliation, ridicule or shame, defamation or bullying (including cyber bullying);
 - (ii) Theft, misappropriation or misuse of the funds or property (including computer systems and their contents, and IT accounts) of the University or its members;
 - (iii) Wilful damage to or defacement of the property of the University or of a member of the University community;
 - (iv) Falsification or misuse of University documents or records, including breaches of the privacy of members of the University community;
 - (v) Fraud, forgery or other fraudulent conduct, including submission of forged documents or statements, for non-academic purposes (academic related matters will be handled under the Regulations for Student Academic Integrity);
 - (vi) Failure to accept rightful or legitimate instructions of authorised persons or bodies responsible for ensuring good conduct, safety or security on campus;
 - (vii) Breaches of “Hall Rules”¹ that a Residence Master considers warranting disciplinary investigation under these Regulations;
 - (viii) An offence for which the student has been convicted in any court of laws, and considered by the University to be serious and/or is of an immoral, scandalous or disgraceful nature;
 - (ix) Any conduct which brings, or is likely to bring, disrepute to the University.
2. Discrimination and harassment (including sexual harassment) which fall within the scope of the *Equal Opportunities and Anti-Discrimination Policy*² shall be considered and handled in accordance with the said Policy, within which upheld cases shall be referred back to these procedures for sanctions to be imposed at either Stage 1 or Stage 3.

Report of Student Misconduct

3. In applying these Regulations, the Academic Registrar, the Provost or the President, as case-reviewing officers may nominate delegates to review cases and/or meet with the relevant students and/or relevant witnesses on their behalf. However, decision-making (for example to dismiss a case, to impose sanctions, to refer cases to the Senate Student Disciplinary Committee, or to uphold or reject an appeal) is the sole responsibility of case-reviewing officer and not his/her delegates.
4. Members of the University community who consider that a student or group of students has or may have committed misconduct could submit a *Report on Student Misconduct* to

¹ <http://shrl.ust.hk/eng/detail.php?catid=2&sid=13&tid=32>

² <https://deo.hkust.edu.hk/policy-and-procedures>

the Academic Registrar, including any supporting materials. Where a *Report on Student Misconduct* is ambiguous and may relate to potential breaches of both these Regulations and the *Regulations for Student Academic Integrity*, the Academic Registrar shall decide under which Regulations the case should be reviewed in the first instance.

5. Anonymous report will not normally be considered.
6. Reports on Student Misconduct that are considered to be frivolous, vexatious or malicious, or found to be based on false or inaccurate information, shall be dismissed and the person making such a report may be subject to disciplinary action under these Regulations.
7. **In the event a *Report on Student Misconduct* relates to the Academic Registry or the Academic Registrar, or there is a conflict of interest for the Academic Registrar to handle the case, the Provost shall appoint an officer to exercise the powers and duties of the Academic Registrar in implementing these Regulations.**

Stage 1: Review by Academic Registrar

8. **Where the Academic Registrar considers that a *Report on Student Misconduct* entails matters that could pose an immediate and serious risk to any member of the University community and that it is necessary for the protection of the members or the proper functioning of the University, the Academic Registrar shall consult the Provost, who may require the student against whom the report of student misconduct has been made to temporarily suspend his/her studies and/or temporarily be denied access to University facilities and resources, including access to specified buildings or the campus, until the completion of these processes or as the Provost shall direct otherwise.**
9. **The Academic Registrar, in reviewing *Reports on Student Misconduct*, shall consult relevant parties as deemed appropriate and determination shall be made jointly with a senior officer of the University (normally the Associate Provost (Teaching and Learning) or an Associate Dean).**
10. A student shall be informed of the report on misconduct made against him/her and provided with an opportunity to respond and submit any relevant statement or evidence. Students may be asked to meet the Academic Registrar to present their response. If a student refuses, or is unable, to submit a response or to attend the meeting, the Academic Registrar shall review the case based on the evidence available to him/her.
11. **Where the Academic Registrar, in liaison with the senior officer (see paragraph 9), determines that a student has committed misconduct, either individually or in aggregate with others,** the Academic Registrar may either:
 - (a) impose one or more of the following sanctions:
 - (i) A verbal reprimand;
 - (ii) A written reprimand, to be noted in the student's record until graduation or for a specified period of time;
 - (iii) University community service;
 - (iv) A requirement that the student makes good any loss or damage to property;
 - (v) Withdrawal or suspension of academic or other University rights, privileges or benefits, except the withdrawal or suspension of the right to continue with the student's academic studies;
 - (vi) A requirement that the student attends a specified training/awareness course

related to the misconduct;

or

(b) refer the case to the Senate Student Disciplinary Committee (**Senate SDC**) for consideration under Stage 3 where:

- (i) the Academic Registrar considers the sanctions available in paragraph 11(a) are insufficient with respect to the nature of the misconduct, and/or
- (ii) a student already has a proven case or cases of misconduct on his/her record.

12. Where the Academic Registrar refers a case to the Senate SDC under paragraph 11(b) above, the *Report on Student Misconduct* shall include details of the investigation process and the reasons why the Academic Registrar considers that the sanctions available in paragraph 11(a) are insufficient. The student shall be informed that the case has been referred to the Senate SDC for review and decision.
13. Where a student is considered to have committed misconduct and sanction imposed, the Academic Registry shall retain the *Report on Student Misconduct*, along with a copy of any written reprimand, if any.

Stage 2: Appeal to the Provost

14. Students desiring to appeal against sanctions imposed by the Academic Registrar may submit a written appeal to the Provost within fourteen calendar days of the date of the written communication informing the student of the Academic Registrar's decision, stating the grounds for the appeal. The Academic Registrar's decision remains effective pending outcome of the appeal, unless the Provost directs otherwise.
15. Normally, appeals shall be considered only on the basis of procedural irregularity and/or new evidence. **The Provost may accept any evidence or documentation not previously submitted in support of an appeal only if good reason is provided for the failure to submit the evidence/documentation to the Academic Registrar at the initial consideration of the case.**
16. The *Report on Student Misconduct* and the student's written appeal will be reviewed by the Provost. Students may be asked to meet the Provost, to explain the grounds for the appeal and to present any relevant evidence. Students attending such a meeting may be accompanied by a family member or a member of the University community, who shall act only in a supportive role and shall not make any submission or participate in the meeting in any way. If a student refuses, or is unable, to attend the meeting with the Provost, the Provost shall review the appeal based on the evidence available to him/her.
17. Upon considering the appeal, **the Provost may either confirm or quash the Academic Registrar's decision, or modify it by imposing lesser or additional or other sanction(s) from those listed in paragraph 11(a) above, or refer the case to the Senate SDC for review pursuant to paragraph 11(b) above.**
18. The decision of the Provost on student appeals shall be final.
19. The outcome of the appeal process shall be recorded in the *Report on Student Misconduct* and sent to the Academic Registrar for retention.

Stage 3: Referral of Cases to the Senate Student Disciplinary Committee

20. Where a *Report on Student Misconduct* has been referred to the Senate SDC in accordance with paragraph 11(b) above, the Senate SDC shall review the case and ask the student to attend a meeting with the committee. Students attending Senate SDC meetings may be accompanied by a family member or a member of the University Community, who shall act only in a supportive role and shall not make any submission or participate in the meeting in any way. If a student refuses, or is unable, to attend the meeting with the Senate SDC, the Senate SDC shall review the case based on the evidence available to it. A written report of the review process shall be made and sent to the Academic Registrar, together with the *Report on Student Academic Misconduct*, for retention.
21. The Senate SDC may impose any of the sanctions available to the Academic Registrar in paragraph 11(a) above and/or one or more of the following sanctions:
 - (i) Withdrawal or suspension of academic or other University rights, privileges or benefits, including the withdrawal or suspension of the right to continue with the student's academic studies;
 - (ii) Discontinuation of studies and suspension from the University for a set period, with re-admission being subject to satisfactory fulfilment of conditions where specified;
 - (iii) Termination of studies at the University;
 - (iv) Any other sanction(s) deemed appropriate by the Senate SDC.

Where appropriate, the Senate SDC can direct that a permanent notation be placed on the student's academic transcript or their student record with details of the misconduct committed and the sanction imposed.

22. A sanction of termination of studies shall result in automatic de-registration as a student.
23. In appropriate cases, the Senate SDC may also report a student misconduct case to the Senate and the Council, with a recommendation that the degree or other academic award previously conferred or granted to the student by the University be revoked.

Stage 4: Appeal to the President

24. Students desiring to appeal against decisions of the Senate SDC may submit a written appeal to the President within fourteen calendar days of the date of the written communication informing the student of the Senate SDC's decision, stating the grounds for the appeal. The Senate SDC's decision shall remain effective pending outcome of the appeal, unless the President directs otherwise.
25. Normally, appeals shall be considered only on the basis of procedural irregularity and/or new evidence. The President may accept any evidence or documentation not previously submitted in support of an appeal only if good reason is provided for the failure to submit the evidence/documentation to the Senate SDC at the initial consideration of the case.
26. The *Report on Student Misconduct*, along with the Senate SDC's written report and the student's written appeal, shall be considered by the President. The student may be asked to attend a meeting with the President to explain the grounds for the appeal and to present any relevant evidence. Students attending appeal meetings may be accompanied by a family member or a member of the University community, who shall act only in a supportive role and shall not make any submission or participate in the meeting in any way. If a student refuses, or is unable, to attend the meeting with the President, the President shall review

the appeal based on the evidence available to him/her.

27. Upon considering the appeal, the President may either confirm or quash the Senate SDC's decision, or modify it by imposing lesser or additional or other sanction(s) from those set out in paragraph 21 above.
28. The decision of the President on student appeals shall be final.
29. The outcome of the appeal process shall be recorded in the *Report on Student Misconduct* and sent to the Academic Registrar for retention.

General Provisions

30. Papers and records in relation to processes conducted under these Regulations shall be retained by the Academic Registry until, normally, the graduation of the subject student, after which, such papers and records shall be destroyed unless they are retained under paragraph 36 below.
31. All information gathered or received during the processes under these Regulations, as well as information presented or discussed in the course of meetings or deliberations of the cases, shall be kept in strict confidence and shall not be divulged to parties not involved in the process.
32. The processes under these Regulations shall be conducted in an informal manner. The strict rules of procedure and evidence of a court of law do not apply to these disciplinary process. The case-reviewing officers and the Senate SDC may receive any material which is considered relevant and attach such weight to the material as the case-reviewing officers and/or Senate SDC consider appropriate.
33. The commencement or non-commencement of civil or criminal proceedings, or investigation by a law-enforcement agency, against a student shall not preclude or in any way restrict the commencement or continuation of the disciplinary proceeding herein, although the University has the full right and discretion (but not obligation) to withhold commencing, suspending or discontinuing with the procedures should the circumstances so justify.
34. Whilst the University shall take all reasonable measures to comply with the procedures under these Regulations, in the event of non-compliance, for example, accidental non- or late-delivery of documents, unavailability of a witness or the case-reviewing officer and/or Senate SDC member causing delay in the process, will not in itself render the process void or voidable or constitute procedural irregularities if no material prejudice is caused.
35. The University reserves the right to publish the findings and outcome of any case considered under these Regulations including, amongst others, the nature of the student misconduct, salient facts and the sanctions imposed, provided that the publication shall be strictly on a no- name basis and shall not include the name of the party or parties or details which might render the identity of parties involved ascertainable.

Quality Assurance

36. Throughout these procedures, the outcome of all confirmed cases of student misconduct shall be retained by the Academic Registrar, whose office will undertake periodic review (at least once annually) of the forms of misconduct being reported and the sanctions

imposed, in order to ensure the consistency of sanctions imposed. Where discrepancies were to be found, the Academic Registrar shall report this to the Provost and/or the Senate SDC as appropriate for remedial action.

Regulations for Student Academic Integrity

Academic Integrity

1. Academic honesty and integrity are central to HKUST. The University Senate adopted an *Academic Honor Code*¹ for students in June 2005. All HKUST students are committed to this Code.
2. The University's approach to academic misconduct, involving breaches of the *Academic Honor Code* and academic integrity, is fundamentally educational, striving to foster a strong ethical foundation among its students. The process for dealing with academic misconduct is designed to enable students to better understand the nature of academic misconduct and the high standards of academic integrity that are expected of them. The sanctions applied in confirmed cases of academic misconduct are intended to communicate to the University community that the University has zero tolerance towards academic integrity.
3. Academic misconduct includes, but is not limited to:
 - 3.1 Cheating:** conduct designed to mislead those responsible for making an assessment on a student's academic performance or standing, including:

- (i) Unauthorized access to, conveyance of or receipt of examination or test questions;
- (ii) Offer, receipt or use of unauthorized information or assistance in completing an assignment, test or examination;
- (iii) Breaches of the *Rules for the Conduct of Examinations* set out in the **Annex**;
- (iv) Impersonating another student or allowing oneself to be impersonated by another person in participating in a test or examination;
- (v) Submission of academic work containing purported statements of fact or references to sources and/or data that have been fabricated or falsified;
- (vi) Presentation for credit work that has already been accepted for credit in another course;
- (vii) **Fraud, forgery or other fraudulent conduct, including submission of forged documents or information, in relation to a student's academic performance or standing, in any application (including admission application) to, or otherwise in connection with, the University (e.g. fraudulent medical certificates to support requests to be excused from attendance or to be granted a make-up examination; fraudulent certificates or transcripts in support of applications for credit transfer or course exemption; or false pretences or personation of others during admission application).**

3.2 Plagiarism: the presentation of work which originates from other sources, including the work of other students, as the student's own work, without appropriate attribution to the source.

Report Academic Misconduct

4. **In applying these *Regulations for Academic Integrity* (Regulations), Heads of Department/Division, Deans, the Provost or the President, as case-reviewing officers, may nominate delegates to review cases and/or meet with the relevant student and/or relevant witnesses on their behalf. However, decision-making (for example to dismiss a case, to impose sanctions, to refer cases to the Senate Student Disciplinary Committee (**Senate SDC**), or to uphold or reject an appeal) is the sole responsibility of case-reviewing officer and not his/her delegate.**

¹ <https://registry.hkust.edu.hk/resource-library/academic-honor-code-and-academic-integrity>

5. Reports of misconduct which are ambiguous in nature and do not fall clearly under these Regulations and may instead fall under the *Regulations for Student Conduct*, or may fall under both Regulations, shall be referred to the Academic Registrar, who shall decide under which Regulations the case should be reviewed in the first instance. In such cases, where the Academic Registrar determines that a report relates to both student misconduct and student academic misconduct, the Academic Registrar may refer the case to the relevant Head of Department/Division, for initial investigation of the alleged student academic misconduct under these Regulations, prior to investigation of the alleged student misconduct under the *Regulations for Student Conduct*.
6. Anonymous report will not normally be considered.
7. Invigilators who consider that a student has breached the *Rules for the Conduct of Examinations* and have taken action as set out in the **Annex** should submit a *Report on Student Academic Misconduct* to the Head of the Department/Division responsible for the course in question, via the Course Instructor where applicable, indicating the circumstances of the case. The Head of Department/Division shall then handle the matter in accordance with these Regulations.
8. Instructors, students' supervisors or other members of the University community who consider that a student or group of students has or may have committed cheating or plagiarism as defined in paragraph 3 above, or other academic misconduct in the submission of assignments or other student work that may contribute to an award of the University (including alleged fabrication, falsification or plagiarism of a student's research proposal, project report, laboratory report, essay, dissertation or thesis) should submit a *Report on Student Academic Misconduct* to the Head of the Department/Division responsible for the course or program in question, (in the case of undergraduate and taught postgraduate students) or to the relevant Dean (in the case of research postgraduate students). Reports should indicate the circumstances of cases and include any relevant evidence (e.g. copies of original texts and the student's work highlighting any alleged plagiarism).
9. Report of research misconduct not related to the award of the University shall be referred and dealt with under the *'Policy on Research Conduct and Integrity'*².
10. Report of academic misconduct as defined in paragraph 3 above against former students and graduates with respect to their studies while being students of the University shall be investigated by either an *ad hoc* committee established by the Provost which shall devise its own procedures, taking into account the spirit and, where applicable, the requirements under these Regulations, or by the Committee on Academic Integrity in the case of research postgraduate students.

Stage 1: Review by Head of Department/Division

11. Heads of Department/Division, in reviewing cases referred in accordance with paragraphs 7 or 8 above, shall consult relevant parties as deemed appropriate.
12. Heads should refer cases to the relevant Dean(s) for review where:

² <https://vprd.hkust.edu.hk/policies-compliance/policies-guidelines/research-conduct-and-integrity>

- (i) a case involves a group of students with one or more who are not enrolled on a course or program under the Head of Department/Division;
 - (ii) a Head considers there may be a possible conflict of interest for the Head;
 - (iii) the case involves persons who are not members of the University community.
13. A student shall be informed of the report on academic misconduct made against him/her, and asked to attend a meeting with the Head of Department/Division, to respond to the case and present relevant evidence if any. If a student refuses, or is unable, to attend the meeting, the Head of Department/Division shall review the case based on the evidence available to him/her.
14. Where a Head of Department/Division determines that a student has committed academic misconduct, the Head of Department/Division may either:
- (a) impose one or more of the following sanctions, the details of which shall be confirmed in writing:
 - (i) A verbal reprimand;
 - (ii) A written reprimand, to be noted in the student's record until graduation or for a specified period of time;
 - (iii) A make-up assignment or test/examination;
 - (iv) A requirement to resubmit work contributing to an award;
 - (v) A reduced grade for the component of the course assessment in question or a reduced grade for the course, including a failed grade;
 - (vi) Require the student to undertake a period of mentoring or instruction, to enhance the student's ability to make good ethical choices;
 - or
 - (b) submit a *Report on Student Academic Misconduct* to the relevant Dean for further review **where the sanctions available to the Head of Department/Division as set out in (a) above are considered to be insufficient with respect to the nature of the academic misconduct.**
15. Where a student is found to have committed academic misconduct and a sanction is imposed, the Head of Department/Division shall complete the *Report on Student Academic Misconduct* and forward it to the Dean responsible for the student's program for information, with a copy of the written reprimand, if any. **Copies of these documents and records shall also be sent to the Academic Registrar, for retention and monitoring of consistency across Schools.**
16. **Where the Academic Registrar receives a *Report on Student Academic Misconduct* for a student who already has a prior *Report on Student Academic Misconduct* on their record, all such cases shall be referred to the Dean responsible for the student's program, for consideration under Regulation 17 below.**

Stage 2: Referral of Cases to the Dean

17. Where a *Report on Student Academic Misconduct* has been referred to the relevant Dean in accordance with paragraphs 8, 12, 14 or 16 above, the Dean shall review the matter (including previous misconduct Reports, if any), and ask the student to attend a meeting to respond to the case and present relevant evidence, if any. If a student refuses, or is unable, to attend the meeting with the Dean, the Dean shall review the matter based on evidence available to him/her.

18. Where a Dean determines that a student has committed academic misconduct, the Dean shall either:
- (a) impose any of the sanctions available to the Head of Department/Division in Regulation 14 above and/or one or more of the following sanctions, details of which shall be recorded in the *Report on Student Academic Misconduct* and submitted to the Academic Registrar for retention and monitoring of consistency across the Schools:
 - (i) University community service;
 - (ii) Withdrawal or suspension of academic or other University rights, privileges or benefits;
 - (iii) Reduction in maximum credit load;
 - (iv) Suspension from studies for a maximum of one Regular Term;
 - (v) Notation by the Academic Registrar of academic misconduct on the student's transcript, to be removed at a specified time, or upon graduation, or to retain as a permanent record (this sanction will normally be applied automatically in cases of 2 or more confirmed cases of academic misconduct, notwithstanding any additional sanctions that may also be applied);

or

- (b) refer the matter (and all previous misconduct Reports, where applicable) to the Senate SDC for further review and decision where the sanctions available to the Dean under (a) above are considered to be insufficient with respect to the nature of the misconduct.
19. Where a *Report on Student Academic Misconduct* is referred to a Dean or to the Senate SDC under paragraphs 14(b) or 18(b) above, respectively, the *Report on Student Academic Misconduct* shall summarise the investigation process and include the reasons why the case-reviewing officer considers the sanctions available to the case-reviewing officer to be insufficient. The student shall be informed that the case has been referred to the Dean or the Senate SDC, as appropriate, for review and decision.

Stage 3: Referral to Academic Registrar

20. Where a report of student academic misconduct has been found proven by a Head of Department/Division or Dean, as appropriate, but it also includes a separate report of non-academic student misconduct (as defined in the *Regulations for Student Conduct*), the Head/Dean shall refer their academic misconduct decision and the additional report to the Academic Registrar, for investigation of the student misconduct under the *Regulations for Student Conduct*. Where such a case has been referred to the Academic Registrar and a Dean has also referred the case of academic misconduct to the Senate SDC in accordance with paragraph 18(b) above, the Senate SDC shall await the decision of the Academic Registrar with respect to the additional report of student misconduct before considering the report of academic misconduct.

Stage 4: Appeal to the Provost

21. Students desiring to appeal against the sanction imposed by the Head of Department/Division or Dean may submit a written appeal to the Provost within fourteen calendar days of the date of the written communication informing the student of the Head of Department/Division/Dean's decision, stating the grounds for the appeal. The Head of Department/Division/Dean's decision remains effective pending outcome of the appeal.

22. Normally, appeals shall be considered only on the basis of procedural irregularity and/or new evidence. The Provost may accept any evidence or documentation not previously submitted in support of an appeal **only** if good reason is provided for the failure to submit the evidence/documentation to the Head of Department/Division or Dean at the initial consideration of the case.
23. The *Report on Student Academic Misconduct* and the student's written appeal shall be reviewed by the Provost. Students may be asked to meet the Provost, to explain the grounds for the appeal and to present relevant evidence, if any. Students attending such a meeting may be accompanied by a family member or a member of the University Community, who shall act only in a supportive role and shall not make any submission or participate in the meeting in any way. If a student refuses, or is unable, to attend the meeting with the Provost, the Provost shall review the appeal based on the evidence available to him/her.
24. Upon considering the appeal, **the Provost may either confirm or quash the decision of the Head of Department/Division/Dean, modify it by imposing lesser or additional or other sanction(s) from those listed in paragraphs 14(a) and 18(a) above, or refer the case to the Senate SDC for review in accordance with paragraph 18(b).**
25. The decision of the Provost on student appeals shall be final.
26. The outcome of the appeal process shall be recorded in the *Report on Student Academic Misconduct* and sent to the Academic Registrar for retention.

Stage 5: Referral of Cases to the Senate SDC

27. Where a case has been referred to the Senate SDC in accordance with paragraph 18(b) above, the Senate SDC shall review the case and ask the student to attend a meeting of the committee. Students attending Senate SDC meetings may be accompanied by a family member or a member of the University community, who shall act only in a supportive role and shall not make any submission or participate in the meeting in any way. If a student refuses, or is unable, to attend the meeting with the Senate SDC, the Senate SDC shall review the allegation based on the evidence available to it. A written report of the review process shall be made and sent to the Academic Registrar, together with the *Report on Student Academic Misconduct*, for retention.
28. The Senate SDC may impose any of the sanctions available from those listed in paragraphs 14(a) and 18(a) above and/or one or more of the following sanctions:
 - (i) Cancellation of academic credits already earned;
 - (ii) Ineligibility for honors on graduation;
 - (iii) Discontinuation of studies and suspension from the University for a set period, with re-admission being subject to satisfactory fulfilment of conditions where specified;
 - (iv) Termination of studies;
 - (v) Any other sanction(s) deemed appropriate by the Senate SDC.
29. A sanction of termination of studies shall result in automatic de-registration as a student.
30. In appropriate cases, the Senate SDC also may report a student academic misconduct case to the Senate and the Council, with a recommendation that the degree or other academic award previously conferred or granted by the University to the student be revoked.

Stage 6: Appeal to the President

31. Students desiring to appeal against decisions of the Senate SDC may submit a written appeal to the President within fourteen calendar days of the date of the written communication informing the student of the Senate SDC's decision, stating the grounds for the appeal. The Senate SDC's decision shall remain effective pending outcome of the appeal, unless the President directs otherwise.
32. Normally, appeals shall be considered only on the basis of procedural irregularity and/or new evidence. The President may accept any evidence or documentation not previously submitted in support of an appeal only if good reason is provided for the failure to submit the evidence/documentation to the SDC at the initial consideration of the case.
33. The *Report on Student Academic Misconduct*, along with the Senate SDC's written report and the student's written appeal, shall be considered by the President. The student may be asked to attend a meeting with the President to explain the grounds for the appeal and to present relevant evidence, if any. Students attending appeal meetings may be accompanied by a family member or a member of the University community, who shall act only in a supportive role and shall not make any submission or participate in the meeting in any way. If a student refuses, or is unable, to attend the meeting with the President, the President shall review the appeal based on the evidence available to him/her.
34. Upon considering the appeal, the President may either confirm or quash the Senate SDC's decision or, where appropriate, modify it by imposing lesser or additional or other sanction(s) from those set out in paragraphs 14 (a), 18(a) and 28 above.
35. The decision of the President on student appeals shall be final.
36. The outcome of the appeal process shall be recorded in the *Report on Student Academic Misconduct* and sent to the Academic Registrar for retention.

General Provisions

37. Papers and records in relation to processes conducted under these Regulations shall be retained by the Academic Registry until, normally, the graduation of the subject student, after which, such papers and records shall be destroyed unless they are retained under paragraph 43 below.
38. All information gathered or received during the processes under these Regulations, as well as information presented or discussed in the course of meetings or deliberations of the cases, shall be kept in strict confidence and shall not be divulged to parties not involved in the process.
39. The processes under these Regulations shall be conducted in an informal manner. The strict rules of procedure and evidence of a court of law do not apply to these disciplinary process. The case-reviewing officers and the Senate SDC may receive any material which is considered relevant and attach such weight to the material as the case-reviewing officers and/or Senate SDC consider appropriate.
40. The commencement or non-commencement of civil or criminal proceedings, or investigation by a law-enforcement agency, against a student shall not preclude or in any

way restrict the commencement or continuation of the disciplinary proceeding herein, although the University has the full right and discretion (but not obligation) to withhold commencing, suspending or discontinuing with the procedures should the circumstances so justify.

41. Whilst the University shall take all reasonable measures to comply with the procedures under these Regulations, in the event of non-compliance, for example, accidental non- or late-delivery of documents, unavailability of a witness or the case-reviewing officer and/or Senate SDC member causing delay in the process, will not in itself render the process void or voidable or constitute procedural irregularities if no material prejudice is caused.
42. The University reserves the right to publish the findings and outcome of any case considered under these Regulations including, amongst others, the nature of the academic misconduct, salient facts and the sanctions imposed, provided that the publication shall be strictly on a no-name basis and shall not include the name of the party(ies) or details which might render the identity of parties involved ascertainable.

Quality Assurance

43. Throughout these procedures, the outcome of all confirmed cases of academic misconduct shall be reported to the Academic Registrar, whose office will undertake periodic review (at least once annually) of the forms of academic misconduct being reported and the sanctions imposed, in order to ensure consistency of sanction across the University. Where discrepancies were to be found, the Academic Registrar shall report this to the relevant Dean(s) and the Provost for remedial action, and to the Committee on Teaching and Learning Quality for information.

Web resources for staff who are responsible for handling academic misconduct allegations



Quality Assurance & Enhancement

Academic Quality Manual

Resources for Staff Handling Academic Misconduct Cases

28 AUG 2024 •  STAFF

DOWNLOAD FILE(S)



Report on Student Academic Misconduct
Form EX17



Enquire Student Academic Misconduct Record



Sanctions for Proven Academic Misconduct: A Guide for Heads of Department/Division and Deans



Summary on the Revised Regulations and FAQs: Presentation at the Briefing Session

Procedures for Returning Marks and Disseminating Results

(approved by CTLQ in April 2024)

This document provides procedures for staff to follow in developing a consistent approach to the handling of marks for individual summative assessments and for total course marks. It outlines how marks should be recorded and released to students.

Definition

For clarity, the following terminology is used throughout this procedure:

- **Individual assessment mark:** the mark achieved by a single piece of assessment as determined by the course instructor(s). For example: essay, midterm exam, quiz.

Recording marks from summative assessments

All individual assessment marks should be recorded within the Canvas gradebook. This includes marks for assessments that are not practical to submit online to Canvas, such as marks for presentations, oral assessments, practical demonstrations, closed book exams, etc.

Releasing assessment marks and feedback to students

1. All individual assessment marks shall be released to students via Canvas.
2. Where possible, feedback on individual assessments should be returned to students online via Canvas.
3. Feedback on individual assessment should be released to students within 14 days of assessment submission.

Feedback on individual assessments should be **constructive, specific, and actionable**. It should **highlight strengths, identify areas for improvement, and provide guidance on how students can enhance their performance** in future assessments. Feedback should be directly linked to the assessment criteria and learning outcomes of the course, enabling students to understand how their performance aligns with the expected standards. Instructors are encouraged to use a variety of feedback methods, including written comments, rubrics, and one-on-one discussions, to cater to different learning styles and preferences.

(major changes or additions are marked in red)



The Hong Kong University of Science and Technology Digital Education Strategy 2025-28

Background

HKUST last revised its e-Learning Strategy in 2022 to strengthen technology-enhanced teaching, align practice with global standards, and encourage early experimentation with generative-AI tools.

Three years on, the context has shifted materially. The immediate operational pressures created by the COVID-19 pandemic have eased, yet an expectation of flexible, technology-enabled study is emerging. At the same time, advances in artificial intelligence have expanded well beyond large language models (LLMs). Multimodal systems capable of integrating text, image, speech and sensor data now support adaptive feedback, high-fidelity simulation and advanced learning analytics, while also creating new imperatives for transparency, privacy and academic integrity. HKUST's plan to expand programmes in Medical Science further shapes the strategic context. Effective learning in this field increasingly relies on technology, particularly immersive, haptic and virtual simulations that let students practise clinical reasoning before they work with real patients.

Considering these developments, the term *e-Learning Strategy* no longer captures the breadth of activity or ambition required. Therefore, it is recommended that the University adopts a **Digital Education Strategy 2025-2028**, signalling an integrated approach that treats digital capability as foundational rather than supplementary. The guiding principles endorsed in 2022 remain valid: learner-centred design, evidence-informed pedagogy, rigorous and authentic assessment, inclusive access, and sustained staff development. They are, however, reframed to emphasise the importance of emerging competencies in metacognitive and ethical AI literacy, data-informed student support, immersive and simulation-based learning, and personalised learning. The revised strategy outlines how HKUST will leverage the full spectrum of digital technologies to enhance learning and advance student success.

The updated Strategy is designed to encourage the digital transformation of teaching and learning that:

- is innovative and pedagogically sound;
- sustains current best-practices in approaches to digital education;
- assures the maintenance of HKUST's academic standards;
- upholds the "Unified HKUST-Complementary Campuses umbrella" by enabling cross-campus teaching and learning opportunities, with faculty being encouraged and supported to collaborate and co-supervise students, and students having opportunities to pursue courses offered at HKUST and HKUST(Guangzhou).

The Digital Education Vision

To integrate, evaluate and continuously refine digital and AI-enabled practices that sustain high-quality, learner-centred design and flexible access to learning.

To build the cognitive, metacognitive, ethical, and technical capabilities that students and staff need to thrive in data-rich, AI-mediated learning environments.

To ensure inclusive, sustainable and well-being-focused learning experiences by embedding accessibility, academic-integrity and environmental stewardship principles in every digital initiative.

To encourage and enable cross-campus (CWB and GZ) teaching and learning experiences and collaboration.

Delivery of the curriculum through digital education should take advantage of suitable technology and pedagogy that is evidence-based in order to achieve accessible, effective, and flexible learning experiences for all HKUST students. The University shall continue to encourage the development of active learning components in courses through the use of digital technologies, and the expansion of the following approaches to digital education:

- (i) Blended Learning (including flipped classroom);
- (ii) Fully online learning (asynchronous, synchronous, or a combination of both) or self-paced online courses with integrated MOOC components;
- (iii) **Personalised and self-paced learning pathways**, and
- (iv) Mixed-mode teaching **that combines on-site and remote cohorts**.

Guiding Principles

- Use technology effectively and innovatively to enhance and develop pedagogy.
- Maintain quality and control, evaluating and disseminating to support future development.
- Encourage faculty engagement and ownership.
- Ensure consistency across the university Learning Management Systems (LMS); for example, common templates, naming conventions.
- Ensure coherence with the Teaching and Learning Strategy.
- Incorporate flexibility in delivery of curriculum where appropriate.
- Uphold the Unified HKUST-Complementary Campuses umbrella.
- Ensure online materials comply with accessibility guidance and any national legislation. For example, intellectual property rights and data privacy.
- **Foster ethical, transparent and metacognitively informed AI use.**

Strategic Priorities

Learning Environments: **Enhance on-campus and online spaces by combining mixed-mode classrooms, an upgraded LMS, and AI chatbots so that students can study flexibly and receive just-in-time guidance wherever they are.**

Student Success and Learning Agency: **Monitor the influence of AI tools on self-regulation and metacognition, then use analytics to initiate timely supports that keep learners in control of their goals and strategies.**

Innovative Pedagogy: **Expand blended learning, XR or VR simulations, learning analytics, AI, and game-based methods; give students safe, repeatable practice for complex tasks, deliver adaptive feedback, and heighten motivation through narrative and challenge.**

Assessment Design and Practices: Redesign assessments for the AI era by aligning tasks with outcomes, safeguarding integrity, requiring transparent citation of AI contributions, and leveraging AI for rapid formative feedback when appropriate.

Quality Assurance: Apply learning analytics, course reviews, and periodic bias audits to maintain accuracy, ethics, security, and inclusion in digital education, while teaching students to critically appraise AI-generated content.

Faculty Development: Empower and support academic staff to build and continuously refine competencies in designing, delivering and evaluating digitally enhanced learning, including ethical use of AI, data-informed pedagogy, immersive and simulation-based experiences, and inclusive, accessible practice.

Strategic Goals

To support the above priorities, the University is committed to a strategy that achieves excellence in education through the implementation of digital education that:

- (i) ensures students are offered learner-centred, active, and experiential learning experiences;
- (ii) provides students with accessible, flexible and personalised learning experiences and opportunities appropriate to their needs;
- (iii) supports learning experiences that simulate real-world situations;
- (iv) enables adoption and extends areas of innovative pedagogies, multimodal content delivery, and student engagement in physical and online, or appropriate combination of the two, learning environments;
- (v) fosters best practices for online assessments that measure learning outcomes;
- (vi) involves the provision of a stimulating, participatory learning experience to cater to the learning needs of students anywhere;
- (vii) addresses learning and well-being needs of students, including their range of content knowledge, critical thinking skills, literacies, special education needs, and increasingly diverse cultural backgrounds; and
- (viii) are evidenced-based in design and implementation.

Specifically, the University will develop and deliver a suitable and sustainable collection of face-to-face, blended-learning, fully online, and mixed-mode courses to meet the needs of HKUST(CWB) and HKUST(GZ) students.

The University will implement digital technologies and pedagogies that focus on increasing the engagement of students in hands-on problem-solving skills, knowledge construction, communication skills and teamwork. For example, project-based learning is often supplemented and made possible by online asynchronous modules, with students learning at their own pace. Flipped classroom pedagogy, made possible by online modules, creates room for in-class problem-based learning, project discussions and presentations. Encouraging students to work on projects in teams can also be highly motivating to students, especially when the projects are interesting and impactful or when the projects can enter competitions either locally, regionally, or even globally.

Self-paced online courses, which may be integrated with MOOC components, should remain to serve as a niche area of curriculum development to support the University's vision on education innovation. MicroMasters or MasterTrack via EdX and Coursera will be encouraged to enhance student outreach for HKUST

The University will maintain and invest in digital technologies that:

- Encourage active learning
- Enhance and encourage individual feedback on formative and summative assessments
- Provide support for students with special educational needs (SEN)
- Provide visualization of learning analytics to improve monitoring of students learning outcomes and early intervention

- Enable data-based decision making: the systematic collection, analysis, examination, and interpretation of data to inform practice and policy in educational settings.
- Support flexible study patterns to meet the needs of students who are physically on HKUST(CWB) and HKUST(GZ) campuses or globally distributed.

The University will encourage design practices where courses develop some digital components which may lead to them being blended, and, ultimately, include digital artefacts such as:

- lecture recordings for asynchronous viewing with in-video quizzes so students can check their understanding and receive in-time formative feedback to prepare them for the in-class knowledge application-based activities
- supplementary materials such as additional readings or explainer videos hosted on LMS (these may be used to support flipped, problem-based, and other related pedagogies)
- formative assessment activities such as quizzes, online polls, or engagement activities to enable students' checking of understanding of content and reflection
- online discussion spaces for instructor-peer and peer-peer asynchronous discussions to enable flexibility of student engagement and encourage social presence, knowledge construction, and reflection of content.

This is not an exhaustive list, and it is meant to illustrate how digital education can provide high quality course design, student-centred pedagogy, and flexibility of delivery and access to learning.

Key Enablers

Achievement of the University's strategic priorities will be possible with the following series of key enablers:

1. The University provides training, resources, support, and a community of practice so faculty have substantial and flexible access to professional development to develop their knowledge of digital education. For example, the Academy of Education Excellence (AEE), New Faculty Orientation (NFO) and University Teaching Learning (UTL) programs, and the offering of self-paced courses with micro-credentials.
2. Faculty members will have financial support for developing teaching and learning innovations. For example, through the University's Teaching and Learning Innovation Project (TLIP) funding scheme.
3. The University adopts policies and mechanisms to evaluate the effectiveness of digital education. Evaluation should be evidenced-based and include both the uptake and effectiveness of innovative approaches.

Possible KPIs

- Extent to which courses integrate technology-enabled pedagogies to support active learning, higher-order thinking, and career-ready competencies. The revised KPI measures whether faculty use technology-enabled pedagogies, and whether these practices support specific, valued pedagogic goals like active learning, higher-order thinking, and career-ready competencies.
- Number of courses that are blended-learning, fully online, and mixed-mode courses, and the percentage of students gone through these courses.
- Student satisfaction ratings on blended-learning, fully online, and mixed-mode courses
- Completion rates of blended-learning, fully online, and mixed-mode courses
- Students' performance on blended-learning, fully online, and mixed-mode courses
- Number of Teaching and Learning Innovation Projects (TLIP) related to digital education completions
- Evaluation of Teaching and Learning Innovation Projects (TLIP) related to digital education
- Faculty attendance of digital education training sessions per year
- Extent of compliance with university guidance on consistency, availability, workload quantification and accessibility.

Planned activities and goals

Ongoing

- Organise professional-development workshops and seminars on innovative active-learning pedagogies.
- Operate and iterate the Digital Education Living Lab (showcase / test-bed with haptic and XR equipment) to support forthcoming Medical School courses.
- Run the New Faculty Orientation programme and oversee the self-paced University Teaching and Learning (UTL) course.
- Maintain the Academy of Education Excellence (AEE) and its micro-credentialled self-paced courses.
- Develop four self-paced online courses on assessment and feedback for the AEE micro-credential track.
- Host the 2nd Cyber-Physical Learning Alliance Summit (CPLAS 2025).
- Host the 2nd Digital Education Council (Summit) Summit
- Administer the Teaching and Learning Innovation Project (TLIP) scheme and support AR/VR, gamification, and game-based learning projects.
- Manage the EDGE-AI Fund: issue calls, provide pedagogical advice and technical support, and evaluate projects.
- Curate Teaching and Learning events that showcase practices fostering student engagement and success.
- Support MOOC development across the University.
- Support design and evaluation of blended-learning courses for on-campus students.
- Maintain a comprehensive Teaching & Learning resource hub (best-practice guides, interviews, deep dives, recordings, micro-credentials).
- Design and develop a Course Design Assistant powered by large-language models.
- Pilot and evaluate FeedbackFruits Group-Member Evaluation as the successor to iPeer and publish an adoption guide.
- Monitor and support the Interactive Document tool for reading assignments.
- Create a Professional Development completion and credential-uptake analytics dashboard linked to AEE.
- Publish the CEI newsletter and podcast to inform and support faculty in digital education.

Short-Term Plan (1-3 Years)

- Conduct an institution-wide AI-Readiness self-assessment (Digital Education Council AI Literacy Framework) and publish a report.
- Publish at least ten Times Higher Ed Campus pieces featuring innovative pedagogy case studies.
- Co-host a GEN-AI Hackathon for undergraduate and postgraduate students with partner institutions.
- Issue an updated definition of digital education with exemplary cases to Schools and academic units.
- Expand the CEI newsletter to include narrative and story-driven elements.
- Provide digital-education training through New Faculty Orientation, Professional Development Workshops, and Communities of Practice.
- Invite Schools to draft their own digital-education strategies aligned with the University framework.
- Analyse stakeholder feedback to surface common issues and effective practices in digital education.
- Support and encourage MOOC development that feeds into blended or credit-bearing self-paced courses.
- Pilot learning-analytics dashboards to support data-informed decision-making.
- Embed digital-education delivery in UG Common Core courses; encourage every student to complete at least one blended-learning Common Core course beyond Habits, Mindsets & Wellness.
- Sustain participation in global partnerships, including the Digital Education Council and Cyber-Physical Learning Alliance.

Longer-Term Goals

- Increase flexibility of students' choice of course delivery. For example, UG programs will offer choices of face-to-face or fully online courses to meet students' needs and accessibility.
- **Enable courses to incorporate adaptive or AI-generated formative feedback by 2029.**
- Provide cross-campus courses either through mixed-mode or fully online delivery.
- Ensure courses will include some digital artefacts such as:
 - Lecture recordings for asynchronous viewing with in-video quizzes so students can check their understanding and receive in-time formative feedback
 - Supplementary materials such as additional readings or explainer videos hosted on LMS (these may be used to support flipped, problem-based, and other related pedagogies)
 - Formative assessment activities such as quizzes, online polls, or engagement activities to enable students' checking of understanding of content and reflection
 - Online discussion spaces for instructor-peer and peer-peer asynchronous discussions to enable flexibility of student engagement and encourage social presence, knowledge construction, and reflection of content.
- Establish a community of practice on scholarship of teaching and learning (SoTL) through the Academy of Education Excellence and develop mechanisms for applied educational research to inform teaching and learning strategies.
- Establish tools for learning analytics and data-based decision-making for the systematic collection, analysis, examination, and interpretation of data to inform practice and policy in educational settings.
- Build a comprehensive catalogue self-paced courses with micro-credentials for faculty development of digital education
- Pilot use of AR, VR, AI, and gamification in digital education courses.

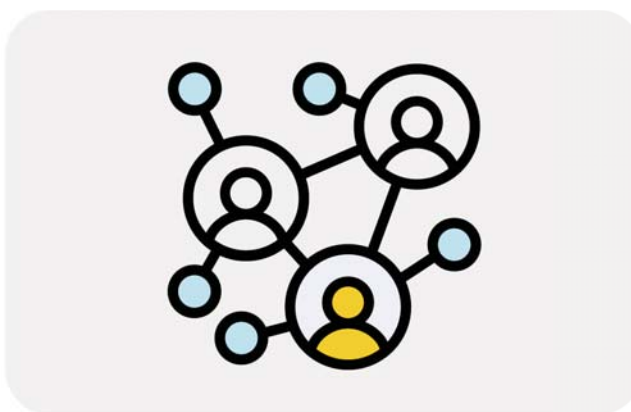
The AEE Fellowship Scheme

The Academy of Education Excellence (AEE) fellowship scheme is currently under development to foster teaching excellence at HKUST. Once the AEE is fully functional, faculty members with evidence of an excellent teaching track record can apply to become a **Junior Fellow**, **Fellow**, or **Senior Fellow** of the AEE.

Awarded based on evidence provided by faculty members, which will be evaluated on **six** dimensions of **Teaching Excellence** by AEE Committee.

Dimensions of Teaching Excellence					
Pedagogy (P)	Curriculum Planning and Design (C)	Assessment Design and Practice (A)	Student Support (SS)	Service to communities (SC)	Professional Development (PD)
P1 Adopt innovative technology or innovative pedagogical approaches to create dynamic, engaging learning experiences.	C1 Regularly update curriculum with relevant and latest advancements in domain content knowledge / competency skills.	A1 Develop and implement innovative assessment methods that foster critical thinking, problem-solving skills, and independent inquiry. Ensure these methods include timely feedback to guide and support students' learning progress.	SS1 Implement innovative support for student success and well-being.	SC1 Initiate and implement strategies to proactively influence teaching practices across academic communities.	PD1 Enhance pedagogical practices through ongoing professional development and training.
P2 Develop and implement highly effective, cross-disciplinary teaching approaches.	C2 Foster leadership and innovation in curriculum development, with potential for across-curricular adoption.	A2 Design proven assessment methods that directly improve and measure student learning outcomes effectively.	SS2 Measure success through examinations, internships, and employment for improvement.	SC2 Enhance teaching quality through mentoring, sharing, and training in academic communities.	PD2 Keep pace with latest developments, advancing knowledge through research and engagement.
P3 Foster inclusive, equitable learning environment for diverse perspectives and access.	C3 Enrich the curriculum by including diverse learning materials to represent varied perspectives.	A3 Incorporate assessment methods for diverse learning needs and equal opportunities.	SS3 Ensure accessible support for all students respecting individual needs.	SC3 Advance the scholarship of teaching and learning by sharing scholarly insights with teaching communities. The focus is not on empirical educational research, but on disseminating knowledge of best practices of teaching and learning.	PD3 Lead ongoing professional development by providing opportunities for skill advancement.
P4 Incorporate up-to-date research and evidence-based knowledge into teaching strategies.	C4 Employ data-informed approaches for evidence-based, effective curriculum design.	A4 Integrate current knowledge into assessments for relevant, advanced information.	SS4 Develop services reflecting mastery and responsiveness to changing needs.		
P5 Utilize active learning strategies to enhance student engagement, critical thinking, and problem-solving.	C5 Design curriculum with student-centered approach for effective learning outcomes.	A5 Design assessments that evaluate transferable skills and provide timely feedback to prepare students for future success.	SS5 Prioritize student success and well-being in all support activities.		

What level of recognition is right for me?



Junior Fellow

Faculty members who have demonstrated potential for teaching excellence, such as by receiving positive student evaluations, implementing innovative teaching practices, or participating in teaching development initiatives.

Key Assessment Criteria

- Reflects the initial stage of demonstrating potential in teaching excellence.
- Required to demonstrate evidence in 2 dimensions for most aspects, except for Service to Communities, which

requires evidence in 1 dimension.

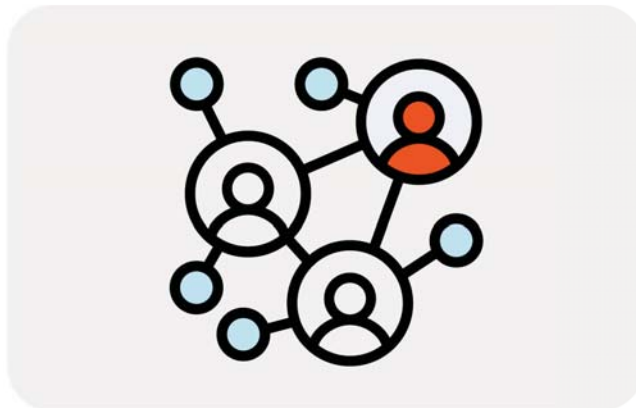


Fellow

Faculty members who have consistently demonstrated exceptional teaching skills and have made significant contributions to the AEE, such as presenting at conferences or publishing articles on teaching and learning.

Key Assessment Criteria

- Represents a deeper engagement and higher proficiency in teaching and assessment practices.
- Required to demonstrate evidence in 4 dimensions for Pedagogy and Assessment Design and Practice, indicating a higher level of expertise and contribution in these areas.
- Required to demonstrate evidence in 3 dimensions for Curriculum Planning and Design, Student Support, and Professional Development.
- Required to demonstrate evidence in 2 dimensions for Service to Communities.



Senior Fellow

Faculty members who have consistently demonstrated exceptional teaching skills and have made significant contributions to the AEE, such as serving as mentors for junior colleagues or leading initiatives to promote good teaching practices at HKUST.

Key Assessment Criteria

- Reflects a comprehensive mastery in all areas of teaching excellence.

- Required to demonstrate evidence across all 5 dimensions for most aspects, except for Service to Communities and Professional Development, which requires evidence in 3 dimensions

