

To: University Grants Committee

**Recurrent Funding for Knowledge Transfer  
in the 2009/10 to 2011/12 Triennium**

**ANNUAL REPORT 2009/10**

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## Table of Contents

Overview	1
1. Strategic Approach in the Use of the UGC KT Funding 2009/10	3
1.1. Capacity Building	3
1.2. Enhancement of the KE Processes in terms of Knowledge Access and Knowledge Engagement	3
1.3. Broadening KE Opportunities	4
2. Narration of Activities Undertaken with the Additional Funding in the Reporting Period	6
2.1. Capacity Building	6
2.1.1. Setting up of KE Infrastructure	6
2.1.2. Human Capital Development and Training	7
2.1.3. Networking Partnerships	9
2.2. Enhancement of Knowledge Access	10
2.2.1. The HKU Scholars Hub	10
2.2.2. Open Access	10
2.2.3. Development of KE Websites	11
2.2.4. Strengthening the Museums	12
2.3. Enhancement of Knowledge Engagement	13
2.3.1. Stakeholder Feedback Evaluations	13
2.3.2. Media Impact Study	13
2.3.3. Community Engagement	14
2.3.4. Cultural Engagement	16
2.4. Broadening KE Opportunities	16
2.4.1. Collaborative Partnership Projects	16
2.4.2. Front-line KE Projects	16
3. Brief Description of the Current Enabling Environment for KE in the Institution	18
3.1. Strong Leadership	18
3.2. Supportive institutional policies on KE being implemented	19
3.2.1. Intellectual Property Rights Policy	19
3.2.2. Improved Process for Contract Research	19
3.2.3. Recognition of KE in Budgetary Process	19
3.3. Incentives in place to bring about a genuine cultural and behavioural change among faculty to become more active in taking up KE	19
3.3.1. Funding Incentives	20
3.3.2. Recognition and Reward	20
3.3.3. Training	21
3.4. Arrangements for sharing of good practice	22
3.4.1. Internal Platform	22
3.4.2. External Links	22
3.4.3. Sharing with Other UGC-funded Institutions	22
3.5. Longer-term capacity-building measures on KE	23
3.6. Systems for monitoring, evaluation and outcome assessment of KE activities	24
4. Quantitative Indicators	25
5. An assessment of any foreseeable risks and exceptions which may lead to possible under-achievement of the proposals set forth in the institution's Initial Statement	30
6. Any change in strategy or management organisational structure in respect of KE	30
7. Concluding Remarks	30
Annex I: Memberships of the Knowledge Exchange Working Group	

## Overview

The University of Hong Kong (HKU) fully recognizes that higher education institutions have an important role to play in a modern knowledge society, contributing to social, cultural, economic and technological development and to international competitiveness.

The HKU Strategic Plan 2009-2014 gives explicit recognition to knowledge exchange as one of the three pillars underpinning all HKU activities, alongside teaching and research. The University uses the term Knowledge Exchange (KE) rather than Knowledge Transfer (KT) to emphasize the two-way flow of knowledge between the University and the community for mutual benefit. The University defines KE as engaging, for mutual benefit, with business, government or the public to generate, acquire, apply and make accessible the knowledge needed to enhance material, human, social, cultural and environmental well-being. It not only includes technology transfer (TT) but also encompasses all disciplines, including the arts and humanities and the social sciences, and is a two-way process. The University sees KE as being intrinsically interwoven with research and teaching, and as a core strategic element at the institutional and faculty levels.

While the University's KE capabilities cover a wide range of activities involving the community, in the past, dedicated funding support was provided mainly for TT activities, using contract research money and non-block grant funds. The University applauds the UGC's recognition of the importance of knowledge transfer and the allocation of recurrent funding for the institutions to build up their capacity and broaden their endeavour in knowledge transfer. We believe that systematic support to KE is important to enable KE activities to become fully embedded in the core missions of the University alongside teaching and research.

The new UGC funding has facilitated the University in embracing KE with a fresh impetus at the strategic level, and provided a timely matching boost to the University's diverse and broad KE activities by tapping into the huge potential for the full scope of KE in HKU beyond TT. The strategic objective in this early stage of systematic development of KE is to embed a culture and build up the capacity within the University that supports KE with business, industries and the broader community. The 2009/10 funding has been put to very fruitful use by the University for strategic KE development in a systematic manner, covering the major initiatives of capacity building, enhancement of KE processes in terms of knowledge access and knowledge engagement, as well as broadening of KE opportunities.

In this report, the term “Knowledge Transfer” (KT) is used when referring to the UGC’s new recurrent funding allocation for the 2009-12 triennium, whereas “Knowledge Exchange” (KE) is used when referring to HKU.

As set out in our Strategic Plan, the University firmly believes in the importance of maximizing the impact of research through KE, and will strive to build sustainable relationships with the government, professions, private sector, and the broader community to foster creativity and informed social awareness.

## 1. Strategic Approach in the Use of the UGC KT Funding 2009/10

The University is very grateful to the UGC for the KT funding allocation of \$11.84M for 2009/10. The use of the funding was guided by the HKU Strategic Plan 2009-14 and the internal allocation process was managed by the KE Executive Group, which is chaired by the Pro-Vice-Chancellor with oversight of KE in HKU, namely Professor Paul Tam, and comprises Professor John Malpas, Pro-Vice-Chancellor (Infrastructure), Professor John Bacon-Shone, Director of Social Sciences Research Centre and Associate Dean of the Faculty of Social Sciences, and Professor Paul Cheung, Director of the Technology Transfer Office.

In these initial years of systematic KE development, the main objective is to promote and raise awareness across the University of the breadth of KE and to embed KE in our culture. The overarching principle is that as a comprehensive research university, HKU will support and enhance KE activities across all disciplines and stakeholders. The new funding provided by the UGC has enabled the University not only to engage all ten Faculties but also to mobilize various non-Faculty units (such as Communications & Public Affairs Office, Development & Alumni Affairs Office, HKU Press, Stephen Hui Geological Museum, Social Sciences Research Centre, University Libraries, and the University Museum & Art Gallery) to build up a momentum in KE. The funding has been put to very fruitful use by the University for strategic KE development in a systematic manner. The major strategic initiatives are as follows:

### 1.1. Capacity Building –

Development of infrastructure, capabilities, and partnerships at both the institutional and faculty levels that will support, enable and drive forward KE effectively

### 1.2. Enhancement of the KE Processes in terms of Knowledge Access and Knowledge Engagement –

Our letter of November 14, 2008 to the UGC (in response to a request for supplementary information on KT strategy and activities) referred to the scope of knowledge transfer processes proposed by PhillipsKPA (2006)<sup>1</sup>, which was based on a framework adapted from Howard Partners (2005a). It includes four inter-connected and overlapping processes,

<sup>1</sup> PhillipsKPA Pty Ltd, *Knowledge Transfer and Australian Universities and Publicly Funded Research Agencies*, Report to the Department of Education, Science and Training, Australia. 2006

namely knowledge access, knowledge production, knowledge relationships, and knowledge engagement. Knowledge production and knowledge relationships refer to the more commonly understood forms of KE, i.e. selling of knowledge products and knowledge services respectively. Knowledge access and knowledge engagement, on the other hand, have much wider implication on the effectiveness of KE in terms of the broad definition adopted by HKU. We have therefore made strategic use of some of the first year's UGC funding to enhance these two processes:

- 1.2.1. Knowledge Access – To improve the mechanisms of making the University's knowledge base accessible to potential users and the public.
- 1.2.2. Knowledge Engagement – To strengthen community and cultural engagement which represents one key area where the University can achieve societal impact in the long term.

### **1.3. Broadening KE Opportunities**

In order to embed the KE culture within the University, we need to enable our faculty members to see that numerous KE opportunities are possible, given the inclusive definition of KE adopted by HKU, and that KE can maximize the impact of their research. Some KE funds have therefore been used as incentives to encourage academic staff to engage in meaningful KE projects. Such funding incentives are very useful in promoting collaborative pursuits with outside partners and pilot innovative approaches. This is in line with one of the objectives of the UGC's new recurrent funding for KT, i.e. to enable institutions to broaden their endeavours in KT.

We take a strategic perspective and consider these major initiatives as forming an inter-connected KE driving force. A schematic summary is shown in Figure 1 below.



Figure 1. Strategic support of HKU KE development with the UGC KT funding 2009/10

## 2. Narration of Activities Undertaken with the Additional Funding in the Reporting Period

Based on the strategic approach described above, the UGC KT funding for 2009/10 has been used to support purposeful initiatives as described below.

### 2.1. Capacity Building

#### 2.1.1. Setting up of KE Infrastructure

The UGC's new funding has enabled the University to set up infrastructural support for KE at both the institutional and faculty levels to take KE forward systematically and effectively. At the institutional level, an Executive Group as mentioned in section 1 above oversees strategic developments in KE. A KE Working Group comprising the Executive Group members and Faculty representatives at Associate Dean level or above has been formed to co-ordinate the implementation of strategic KE initiatives. The membership list of the KE Working Group is at [Annex I](#).

Given the inclusive definition of KE adopted by HKU, we consider staff engagement as a critical factor for developing a strong KE culture in the long term. As such, to effectively promote KE, we have initiated a KE Network, which is expected to grow over time to involve all colleagues interested in KE.

A new Knowledge Exchange Office (KEO) to provide administrative support has been set up, of which Pro-Vice-Chancellor Paul Tam also serves as Director, supported by Professor John Bacon-Shone and Professor Paul Cheung as Associate Directors. KEO works closely with the Technology Transfer Office (TTO) and the Research Services Section (RSS) to support the University's pursuit of maximizing the impact of research through KE. KEO is housed with TTO to achieve synergy.

Our Faculties are the powerhouses of our knowledge base, and given that it has been made clear in the University's strategy that KE is a strategic element at not only the institutional level but also the faculty level, it is important to enable Faculties to also build up their capacity in KE. Some Faculties such as Architecture, Arts, Dentistry, Education, and Science have recruited dedicated staff in order to set up the infrastructural support at the faculty level for KE development. Other Faculties have redeployed their existing manpower and resources to

support KE in 2009/10. All Faculties have been advised to complete the formal establishment of their Faculty KE Units in 2010/11. The organizational structure for KE is summarised in Figure 2 below.

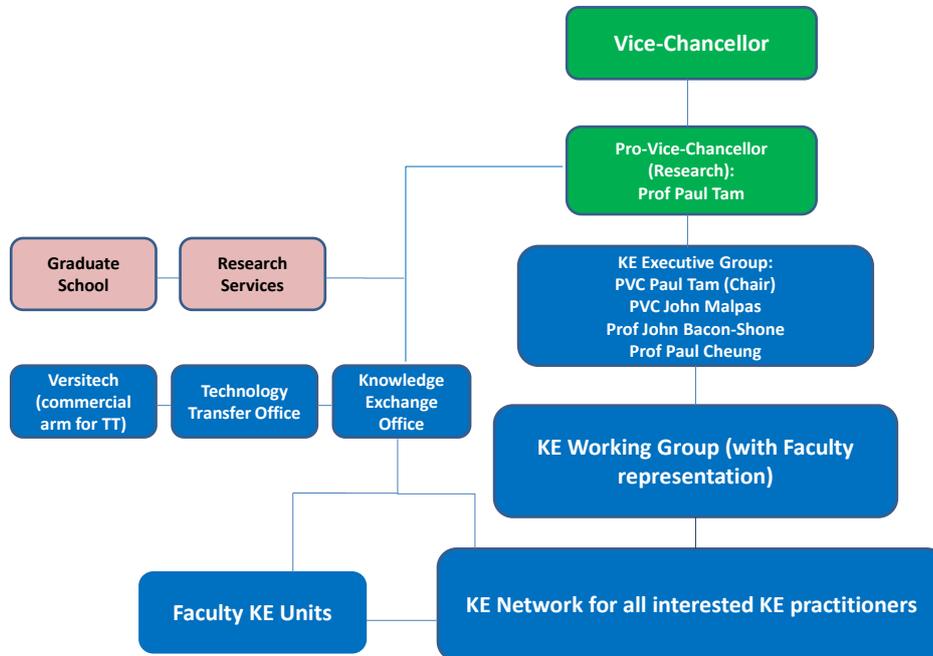


Figure 2. KE organizational structure of HKU

### 2.1.2. Human Capital Development and Training

We recognized that systematic and sustainable development of KE requires not only building up infrastructural support but also strengthening capabilities. Based on overseas experience, we have adopted a two-pronged approach to human capital development and training, i.e. best practice sharing and targeted skills training.

For the purposes of raising awareness among staff members and sharing of best practices, monthly KE lunch seminars are organized for the KE Network and any colleagues interested in KE. The topics covered in the past few months could already reflect the breath of KE activities at HKU:

February: “Knowledge Exchange – Nothing New or Something New?”  
by Professor John Bacon-Shone, KEO

March: “The HKU Scholars Hub - Making Your Research and Expertise Highly Visible” by Mr David Palmer, University Libraries

- April: “Fish and Bear Paw – A Reflection on the Role of Technology Transfer in University” by Professor Paul Cheung, TTO
- May: “How can Academics get their Research covered by the Media? Explain it to your Mom!” by Ms Katherine Ma, Communications & Public Affairs Office
- June: “Learn to Serve; Serve to Learn - Knowledge Exchange through Reconstruction Projects in Sichuan” by Dr Wilton Fok, Department of Electrical & Electronic Engineering

These seminars provided a platform for lively discussions of the many aspects of KE, and central to the discussions has been the shared aspirations and enthusiasm to do more and better KE. The increasing rate of participation is also encouraging – from around 30 participants at the first seminar, the number was almost double at the subsequent seminars.

In respect of targeted skills training, we have started with strengthening professional capabilities in technology transfer (TT), as stated in our Initial Statement. Two intensive training courses were organized in the past year as follows:

- The Joint HKU/Oxford Isis Technology Transfer Training Workshop was jointly organized by our TTO with Oxford Isis, the technology transfer arm of the University of Oxford. In addition to our own colleagues, this 4-day intensive workshop was open to sister institutions and other organizations. It was over-subscribed, with a total of 37 participants who are TT professionals or KE related staff in universities, R&D centres, government departments, public sector agencies, industry and law firms, coming from Hong Kong, the Mainland, Macau, Malaysia and Italy.
- We have also partnered with The Federation of Internationale des Conseils en Propriete Industrielle (FICPI) (in English – The International Federation of Industrial Property Attorneys) to run a training course on patent drafting for the first time in Hong Kong. Taught by 6 internationally renowned practicing patent attorneys, the course attracted 37 participants with legal, technology transfer, industry, or research backgrounds, coming from Hong Kong, the Mainland, Taiwan, Singapore, India, Indonesia, Malaysia and Thailand.

Both training courses emphasized practical skills and provided guidance to avoid common pitfalls in managing TT activities, contract research

and consultancies, etc., which participants find most valuable.

### 2.1.3. Networking Partnerships

The University fully recognizes that broader KE is still new to higher education in Hong Kong, so there is much to learn from overseas institutions that are well known in KE. Two members of the KE Executive Group, namely Pro-Vice-Chancellor John Malpas and Professor John Bacon-Shone, attended the Round Table Conference on “Strategic Partnerships and Impact in the Arts and Humanities” at the University of Leeds in September 2009 to learn best practices from one of the leading UK universities in KE and to strengthen the link with Leeds.

As set out in our Initial Statement, to extend our networking with TT professionals in Greater China and to share best practices in TT, we have published the quarterly Chinese Technology Transfer Tactics (CTTT) (技術轉讓策略季刊; <http://tto.hku.hk/cttt>) and distributed free copies to technology transfer offices of institutions in the Mainland, Taiwan, Hong Kong and Macau as well as to relevant government departments and patent attorneys in Hong Kong, around 700 addresses per issue. CTTT is largely a Chinese translation of the English version of Technology Transfer Tactics (TTT) published in the U.S. The goal of CTTT is to share with TT professionals in Greater China best practices in technology transfer, research commercialization, knowledge transfer and practical “how to” strategies, without the language barrier. We also invite readers to contribute to the further development of CTTT by sharing of their approaches, experience and commercialization success stories.

Within the UGC sector, HKU not only participates in the Knowledge Transfer Conference 2010, entitled “Partnering for Success: Mastering Innovation, Leveraging Opportunities, Engaging Community”, to be held in November 2010, as one of the organizers, but Professor Bacon-Shone also chairs the sub-group of the organizing committee to organize the programme of the non-technology related sessions. Our KEO has been working closely with the Hong Kong Polytechnic University, (PolyU, which serves as the secretariat) for this Conference.

## 2.2. Enhancement of Knowledge Access

### 2.2.1. The HKU Scholars Hub

The University Libraries created “The HKU Scholars Hub” (<http://hub.hku.hk/>) to serve as the visible expertise directory of HKU and a unique online platform for searching our experts. In this KE project, individualized ResearcherPage is created for each of our professoriate staff. These pages make visible and highlight contact details, research interests, publication data, and areas of expertise on which the researcher is prepared to speak to the media. We used indexing and exposure techniques to make these pages highly visible in many search engines; a relevant search on HKU researchers in Google will produce a hit list with an entry for The Hub at, or near the top of the list. HKU researchers are now much easier to find by searchers in Government, industry, academia and the media, when they are searching for experts for contract research, collaboration, supervision of graduate students, or media comment.

### 2.2.2. Open Access

The University has joined a one-year open access pilot project with Springer which allows our researchers to publish their research in Springer journals using Springer Open Choice. Apart from publication in Springer print journals, accepted HKU articles will be published electronically using open access on SpringerLink, The HKU Scholars Hub, and if relevant, PubMed Central. The increased access to our research is in line with the international trend that publicly funded universities should return the results of their research to the community that funded them.

Another open access project is being conducted by the Asia Case Research Centre (ACRC) of the Faculty of Business and Economics. The ACRC is Asia’s premier developer and publisher of business case studies, which are mostly used for management training purposes at graduate level business education courses, forming an effective and direct channel for KE between academia and the business community. The ACRC’s case depository counts a total of 439 published business case studies and research notes in English, 157 of which are also available in Chinese, with another 13 cases available in other languages, mostly Spanish. With KE funding support, the ACRC is making adjustments to its website to provide free downloads of the business

cases for registered Hong Kong companies. Free availability of this resource to Hong Kong's business community combined with an awareness campaign is expected to significantly increase the number of cases downloaded by Hong Kong's business community.

### 2.2.3. Development of KE Websites

To raise the visibility of KE, the University's KE website (<http://www.ke.hku.hk/>) has been launched and added to the main banner of the HKU main website (<http://www.hku.hk/>), alongside teaching and research. The KE website serves to illustrate the breadth of the University's KE activities, raise internal awareness on the University's efforts to embed KE as a core strategic element, highlight good KE cases, and share good practices. As the University moves ahead in KE, efforts will be made to upgrade this website in future to become HKU's KE portal to link up the University community and potential users, beneficiaries and partners of HKU knowledge in the broader community.

Some Faculties have also enhanced ready access to their wealth of knowledge through website development. As an example, the Faculty of Education has expanded its existing home pages to include a KE website, and will also make use of "RISAL", an existing knowledge sharing system using Web 2.0 technology already developed within the Faculty, to expand on it with a view to enhancing public access by enabling members of the public to create their own accounts, providing them a space for KE on education matters, and allowing them to view and tag the knowledge objects produced by faculty members.

The Faculty of Law has developed several significant websites for KE purpose, notably the "Hong Kong Legal Information Institute" (HKLII) at [www.hklii.hk](http://www.hklii.hk), and the "Community Legal Information Centre" (CLIC) at [www.hkcllic.org](http://www.hkcllic.org). HKLII is a free online legal database for public access of primary legal information relating to Hong Kong (including legislation, regulations, case law, practice directions and law reform reports). Given that such information is usually only provided by commercial publishers to their subscribers at a fee, HKLII with its free access seeks to enhance public knowledge of the laws of Hong Kong. CLIC is a free online portal of basic legal information for lay persons, providing basic information in the form of FAQs on over 20 legal topics most relevant to the daily lives of the citizens in Hong Kong (such as employment disputes, landlord and tenant, personal injuries, bankruptcy and matrimonial matters, etc.). With KE funding support, the Faculty has appointed content editing and computer staff to upgrade the websites

and enrich their contents by developing more topics such as racial discrimination. Now on average, HKLII is accessed for about 2,000 times per day, and CLIC for about 700 times per day.

The Hong Kong Jockey Club Centre for Suicide Research and Prevention (CSRP) is developing an interactive website called “Mindmap” to provide a platform for professional gatekeeper of information sharing and exchange, and to increase public awareness about suicide and mental health issues with a view to minimizing stigma of the problem. The website will convey mental health and well-being messages to the public online through creative writings and interactive features. Topics covered include real-life cases such as “Helping Families in face of Deliberate Self Harm in Eastern District” and “What’s behind Foxconn”.

This KE funded project is a good example of the multi-dimensional nature of KE – it is not only a Knowledge Access project, but also a Collaborative Partnership project as the Hong Kong Federation of Youth Group will provide online support services via this website for individual young people who are identified with emotional crisis so that timely services can be rendered. It was also extended to form the basis of a contract research project in health awareness with a company based in Jiangsu.

#### 2.2.4. Strengthening the Museums

We have learned from overseas experience that museums are key knowledge organs which have an indispensable role to play in KE with the public. In addition to the University Museum and Art Gallery, the University has established the Stephen Hui Geological Museum which is the first and only geological museum in Hong Kong. The present trend for 21<sup>st</sup> Century museums is to be an audience and content driven institution with a combined usage of tangible and online digital display objects in order to provide open access to museum collections by a boarder community. With this aspiration, the Geological Museum is developing a new “Virtual Museum Visit” component and an online-community (Facebook) link to enhance the museum’s KE impact on the Hong Kong community and schools.

## **2.3. Enhancement of Knowledge Engagement**

### **2.3.1. Stakeholder Feedback Evaluations**

The University believes in the importance of a two-way process to ensure that there is an effective interface between our research base and the users and beneficiaries of our knowledge, and that we receive the feedback needed to help us create quality KE. We have therefore taken the opportunity afforded by the new UGC funding to review our engagement with the community so that we could better understand the knowledge needs of our stakeholders, how successful we have been in meeting them, and how best to meet their needs in future. The results will also enable us to look into potential demand-driven KE activities. All ten Faculties are involved and have started the discussions of their stakeholder feedback evaluation processes with the Social Sciences Research Centre (SSRC) which will conduct the evaluations for the Faculties. The target stakeholder groups and precise forms of the engagement events were selected by Faculties, for example, the Faculty of Education held focus groups for three distinct groups of stakeholders, in initial teacher education, in information management, and in speech and hearing sciences.

Apart from the above-mentioned stakeholder feedback evaluation processes, all Faculties are encouraged to obtain feedback on their public KE events, for which they could also seek the assistance of SSRC.

### **2.3.2. Media Impact Study**

The media increasingly plays an instrumental role as a channel for dissemination of knowledge to the public. The University sees the need to assess the effectiveness of our efforts in publicizing our knowledge through the media and the impact made on the community. The Communications and Public Affairs Office (CPAO) has therefore been engaged to conduct a media impact study relating to KE coverage. An online platform has been created to pool daily news reports concerning HKU captured from local print media, a representative number of local websites and major broadcasters. The news items are then classified into KE and non-KE related, and the impact of the KE related news on the audience/readers are further categorized and analyzed in monthly reports. The findings of the project are expected to provide insights on areas of strength as well as aspects for improvement or further development.

### 2.3.3. Community Engagement

Apart from capacity building, community engagement is another major emphasis in the University's internal KE funding allocation exercise. There is now a growing enthusiasm within the University that we want to engage the public with our knowledge, so that our society can share the benefits of the knowledge we create and possess, for growth and well-being. This would in turn ensure that our excellent research could achieve maximum impact.

KE funding support was provided to the Faculty of Architecture to establish the Community Project Workshop (CPW). The CPW provides design and consultancy services to Government and non-Government organizations, and undertakes other non-commercial projects requiring interdisciplinary expertise drawn from all the disciplines of the Faculty, including Architecture, Landscape Architecture, Real Estate and Construction, and Urban Planning and Design. All community projects undertaken by the CPW aim to generate sensitive and practical design ideas to cope with the pressing and changing needs of our society. The project teams comprise not only our faculty members and students, but also outside professionals and community representatives. The District Aspiration Studies for Tsuen Wan and Kwun Tong undertaken by the CPW in the past year have established an important framework for the further urban renewal and development of the districts. The reports made significant contributions in shaping the urban strategies of the districts and in setting a direction for further communications with the residents in the areas. The public consultations conducted by CPW a few months ago were well attended by local citizens and were considered very useful in allowing opinions to be raised publicly. The Development Bureau will review our design proposals with the district councils to determine the future implementations of projects.

The CPW extends KE beyond Hong Kong with a view to achieving benefits for the Mainland. The rural China projects undertaken by CPW in the past year have a huge impact in the development of school prototype in rural parts of China. The projects involved multi-disciplinary collaboration with Engineering and Sociology faculties. The projects are also integrated with teaching and learning to provide experiential learning opportunities for students.

Another important form of community engagement is our partnership with the school sector. Faculties are encouraged to strengthen school

engagement through KE activities to enrich students' experiences with a view to improving the supply of talents to the research base of Hong Kong and in turn the supply of skilled manpower to the economy. The Faculty of Science using the KE funding support has launched the HKU Junior Science Institute (JSI) to offer a variety of inspiring science workshops, laboratory exercise and field trips for senior secondary school students with the aim of enhancing their science knowledge outside classroom. A total of 13 JSI programmes in the areas of Physics, Chemistry, Mathematics, Biological Sciences, Statistics and Earth Sciences were offered in the past year. Over 350 students in SS1, Forms 5 and 6 from 100 secondary schools completed the programmes successfully. The students were given the opportunities, through hands-on training workshop, to expose to different science disciplines under interesting topics such as "Colourful Food", "The Magic of Polymers", and "Molecular Analysis of Genetically Modified Plants", etc.

The Medical Faculty has made remarkable contributions to health promotion in Hong Kong over the years. The KE funding has enabled the Faculty to extend the impact of its highly successful public lecture series "Explore the World of Medicine" 《育醫造才：探索醫學世界》 through the production of a booklet with the same title, which features a total of 27 topics by over 40 faculty members (including prominent researchers such as our Vice-Chancellor Professor Lap-Chee Tsui, Professor S.T. Fan and Professor K.Y. Yuen), ranging from preventive medicine to treatment of common diseases, from basic research offering hopes of improved healthcare to the latest clinical applications. Copies were widely distributed to members of the public through secondary schools, public libraries, out-patient clinics and patient groups. As commented by a popular radio programme host, the booklet is a powerful and convenient tool for members of the public to understand various aspects of medicine and health.

Our successful mentorship programme and strong alumni network provide excellent avenues for us to learn from the society. We are keen to share our experience gained in mentorship programme with organizations which may be interested to start their own mentorship programmes. To extend knowledge to the Mainland, the Development and Alumni Affairs Office has arranged to publish a simplified Chinese version of its publication entitled "HKU Mentorship 300,000 Hours" to share the concept and methodology of mentorship with parents, educators, students and interested organizations, and to promote the idea of "social learning" and "social capital" to Mainland readers.

#### 2.3.4. Cultural Engagement

The University has a fine tradition of contributing to the cultural enrichment of society through a vast array of arts and culture activities including exhibitions and displays, concerts, workshops, live performances, public lectures, and publications for non-academic audiences.

The Arts Faculty has made use of the KE funding to build up capacity by employing a dedicated staff member to organise KE events, predominantly for cultural enrichment, examples of which include the HKU Concert Series, which feature outstanding musicians and performers from Hong Kong and abroad such as the internationally acclaimed Metropolitan Opera singer Hao Jiang Tian, as well as the University Artist Scheme, which engages prominent visual and performing artists such as Mr Peter Ho-sun Chan (film) and Dr Lung Heung-wing (music) to interact with our faculty members, students as well as practitioners, and give talks and performances which are open to the public.

### 2.4. **Broadening KE Opportunities**

#### 2.4.1. Collaborative Partnership Projects

The development of collaborative KE projects is one of the most effective means to broaden opportunities in KE. The HKU Press has conducted a collaborative KE project with the Hong Kong Education City (HKEdCity) to provide a range of free digital resources for students and teachers of Liberal Studies under the New Hong Kong Senior Secondary School Curriculum. The Press has converted 32 English-language books into digital resources, on subjects ranging from politics and sociology to public health, education and social work. The copyright-free contents are available at a new portal jointly developed by the Press and HKEdCity ([www.hkedcity.net/hkupress](http://www.hkedcity.net/hkupress)).

#### 2.4.2. Front-line KE Projects

Through support for front-line KE projects, faculty members were encouraged to explore various ways to impact on society with their expertise and knowledge. Some examples are given below.

Led by an academic colleague of the Department of Electrical and Electronic Engineering, a multidisciplinary group of faculty members and students from Engineering, Architecture, Business and Economics, Law, Medicine, and Social Sciences brought their knowledge and expertise to Sichuan to build a solar-powered multimedia satellite e-learning system at the Yuanjia Primary School in 2009, which was reconstructed from rubble after the 5.12 Earthquake. KE funding was provided to support further KE activities to be done in 2009/10 to maximize the value of this worthwhile project. In particular, a public conference was held and a book published to share the knowledge gained in this Sichuan reconstruction project with the general public. The book, also accessible via the project website at <http://www.eee.hku.hk/~sichuan/>, was widely distributed to over 50 public libraries and some university libraries in Hong Kong and the Mainland, and to overseas universities and organizations in the US, Singapore, France, Cameroon, Shanghai, Wuhan, Sichuan, Taiwan. Another significant activity is the Sichuan-HK On-line Class conducted between students of three primary schools of Hong Kong and the Yuanjia primary students in Sichuan on May 12, 2010. The event enabled Hong Kong primary students to experience e-learning, and widened their exposure and deepened their understanding of the Mainland. This KE project was the subject of one of the KE lunch seminars, during which enthusiastic colleagues across the University were eager to share the project team's experience.

With KE funding support, the Centre for the Civil Society and Governance of the Faculty of Social Sciences has conducted a study of the social service sector as part of a project on the mapping of Hong Kong's civil society, which aimed to enhance the self-understanding of civil society actors and the knowledge of the various stakeholders toward the state of development of civil society in Hong Kong. A report entitled "Serving Alone: The Social Service Report in 2009" is in press, and will be disseminated to the civil society organizations in Hong Kong as well as relevant government departments, public officials and politicians. A workshop will be held with the members of around 30 social service NGOs next month to discuss the findings of the report and exchange views on the issues arising from the findings and possible follow-up actions. Dissemination to the public will be done via a press conference and a project website.

### **3. Brief Description of the Current Enabling Environment for KE in the Institution**

The University is committed to developing a comprehensive enabling environment to foster sustainable development of KE.

#### **3.1. Strong Leadership**

Strong leadership provided by senior management is of critical importance in the process of cultural change to embrace KE as one of the three missions of higher education. HKU has appointed the Pro-Vice-Chancellor (Research), Professor Paul Tam, to have overall responsibility for KE, and he also serves as Director of the new KEO. The KE Executive Group has another Pro-Vice-Chancellor, Professor John Malpas, so the senior management of the University is fully engaged with KE. The other two members of the KE Executive Group, Professor John Bacon-Shone and Professor Paul Cheung, were former deans, and they also serve as Associate Directors of KEO. The Associate Directors each take care of five Faculties: Professor Bacon-Shone the non-technology related Faculties (Arts, Business and Economics, Education, Law, and Social Sciences), and Professor Cheung the technology related Faculties (Architecture, Dentistry, Engineering, Medicine, and Science). Professor Bacon-Shone's portfolio also covers the non-Faculty units. The strong leadership ensures that KE is given a sufficiently high profile within the University, and sends a clear message of the University's commitment in transforming KE to become a core activity of the University.

Pro-Vice-Chancellor Paul Tam has monthly meetings with KEO, TTO, RSS and the Graduate School to ensure that all their activities are aligned with the research and KE strategies of the University and could achieve synergy.

Through the KE Working Group which has faculty representation at Associate Dean level or above, the KE management structure has been firmly put in place to ensure that the core management of all ten Faculties are engaged in KE. As explained in our Initial Statement, by implementing a more effective and responsive management and support structure for KE at the central level and across Faculties, we will underpin our KE activities.

### **3.2. Supportive institutional policies on KE being implemented**

The HKU Strategic Plan 2009-2014 has integrated for the first time the three core strategic elements, i.e. teaching and learning, research, and KE, at the same level within the University.

#### **3.2.1. Intellectual Property Rights Policy**

The University has already had a set of policy guidelines on inventions and discoveries in relation to the TT process. The University is in the process of finalizing the Intellectual Property Rights Policy which sets out the University's general policy on intellectual property for the works of staff and students produced at the University. Such guidelines will facilitate the pursuits of KE by our staff and students with outside parties. The proposed policy has been discussed by the University Senate and Council, and refinements are being made to incorporate comments made by members.

#### **3.2.2. Improved Process for Contract Research**

As set out in our Initial Statement, we are in the process of reviewing the contract research process with a view to streamlining the approval and administrative procedures to help improve efficiency. Improvement has already been made to the enumeration process of contract research with a database built using the University's own funds.

#### **3.2.3. Recognition of KE in Budgetary Process**

The message that in future KE will be included as a measure of a Faculty's success in the budgetary process has been communicated to Faculties. By gradually increasing the degree to which KE counts towards budget resource allocation, we will ensure that Faculties respond to the changing priorities.

### **3.3. Incentives in place to bring about a genuine cultural and behavioural change among faculty to become more active in taking up KE**

As set out in our Strategic Plan 2009-2014, in order to ensure that KE is embedded alongside research and valued as a core activity of the University, it is necessary to develop a strong knowledge sharing culture

among our faculty through encouraging them to engage with the community and supporting and rewarding those who do so. To achieve the cultural change, there is a need to provide responsive funding, training and best practice support to enable faculty to develop the capacity and capability to engage in KE more effectively.

### 3.3.1. Funding Incentives

We believe that the creation of competitive funds using the UGC KT funding for faculty to apply provides an effective incentive to encourage more academic staff to engage in KE. This also helps to give visibility and raise awareness of KE within the University. Competitive bidding often has the added advantage of stimulating innovative initiatives. In advance of the UGC KT funding allocation for 2010/11, the KE Working Group has already discussed the internal allocation strategy, and one of the strategic focus is to support projects that can create potential impact. Bids will be considered on a competitive basis, and interdisciplinary, collaborative projects are strongly encouraged.

Faculties as the powerhouses of our knowledge base will need to continue their capacity building efforts in KE, so further KE funding support for this purpose will be provided in 2010/11. The continued availability of the KE funding enables Faculties to create a more facilitating environment to encourage more active participation of academic staff in KE. The impact of capacity building will likely be filtered down to individual departments and faculty members to bring about positive cultural change among faculty.

### 3.3.2. Recognition and Reward

As indicated in our Initial Statement, KE will be recognized in the staffing performance review process so as to acknowledge contributions made by individual staff. As a start, last year, academic and research staff members were requested to provide in their performance review up to three examples of KE activities that had a positive impact. The lists of KE activities so reported were then reviewed by the respective Deans, and their comments on how to refine the system to embed KE in the staffing process were discussed by the KE Working Group. It has been agreed that a gradual approach be adopted to allow colleagues to develop their portfolio of KE activities over time and gain a better understanding of KE in the context of the University's strategic development and their Faculty directions in KE. The performance review system this year has been modified to expand the number of KE activities that could be

reported and to enable description of impact of those activities. Two workshops have been conducted, jointly by Pro-Vice-Chancellor Joseph Lee who is in charge of human resources management and Pro-Vice-Chancellor Paul Tam who is responsible for KE, to explain the growing importance of KE in the performance review process to academic and research staff, especially for those who are relatively new to the University. A Faculty representative serving on the KE Working Group also participated in the workshops to share her experience and thoughts in KE.

The KE Working Group also considered that a KE award scheme would be useful for giving recognition to KE achievements, raising the profile of KE within the University, and cultivating a positive culture for innovation and community engagement. The tentative plan is to introduce KE awards at the faculty level in the first instance. Reference will be drawn to similar award schemes of overseas institutions well known for KE, and implementation details will be further discussed.

### 3.3.3. Training

It is well recognized that the translation of knowledge into productive KE activities requires particular skills beyond those of learning or research. Through best practice sharing with Oxford Isis, TTO will develop a plan to organize non-credit based entrepreneurship training in future for researchers, students and graduates, drawing reference to a model used by Oxford. The preliminary idea is that the training courses will enable participants to learn basic business skills, with an emphasis on good, practical business practice. This initiative will help foster an entrepreneurial mindset as well as the relevant skills among our researchers, students and graduates.

The need to provide support for converting academic writing to non-specialist writing has been recognized. Such “translation” skills will be instrumental in making the work of our faculty members more readily understood by the general public. For the purposes of raising awareness in this aspect of KE and training, we have invited the Director of the Writing Centre for Scholars and Researchers at the University of Melbourne to visit HKU in October/November this year to conduct writing workshops on communicating academic research to the general reader, for academic and non-academic staff as well as research postgraduate students to attend.

### **3.4. Arrangements for sharing of good practice**

#### **3.4.1. Internal Platform**

The monthly KE lunch seminars have provided a very useful platform for staff engagement in sharing good practice. It is expected that as KE development becomes more mature over time, this regular gathering of a growing number of colleagues involved or interested in KE will expand its function to become a platform for celebration of success stories as well. This will provide another incentive mechanism for recognition of staff contributions to KE.

#### **3.4.2. External Links**

Learning from overseas experience will remain as one of our priorities. TTO has established a close partnership with Oxford Isis, and will continue to explore potential collaborative opportunities. We will continue to establish or strengthen links with overseas institutions that are well known in KE, for example, the University of Leeds (as mentioned in section 2.1.3 above) and the University of Melbourne (as mentioned in section 3.3.3 above).

In view of disciplinary differences, learning from overseas experience in KE should also be pursued at the faculty level. The KE Executive Group has already advised all Faculties that they are expected to establish or strengthen capacity building partnerships through exchange with Mainland or overseas institutions which are well known for KE to learn best practices.

#### **3.4.3. Sharing with Other UGC-funded Institutions**

HKU hosted the Forum on Research Data Sharing on behalf of the Heads of Universities Committee (HUCOM) on June 28, 2010. The Forum was attended by representatives of the Research Grants Council (RGC), Government departments, other UGC-funded institutions, and local funding agencies. The Forum addressed the issue of sharing of research data with the broader community, in addition to academics. Two overseas speakers, one from the National Science Foundation of the USA and the other from King's College London, were invited to share international best practices with the participants. The University has been invited to take leadership to ensure that a policy is prepared for HUCOM so that they can respond positively to the RGC initiative.

Building on the experience gained in the organization of the KT Conference 2010 (co-ordinated by PolyU), the University has proposed that a KE Conference 2011 be held in November 2011. We have already extended an invitation to all the sister institutions and received their positive feedback to join the organizing committee. We have also contacted the British Council and they are happy to support this Conference. The Conference will seek to address the breath of KE beyond TT, and the programme will likely be organized around selected themes of interest and issues concerning broad KE development. KE experts from the UK, Australia and elsewhere will be invited to ensure that we keep abreast of best KE practices world-wide. A separate proposal will be submitted to seek UGC support in due course.

### **3.5. Longer-term capacity-building measures on KE**

As mentioned in our Initial Statement, the TT function will be strengthened to further enhance the licensing, incubation, protection, entrepreneurship and commercialization of intellectual properties.

The KE Executive Group has sent a clear message to Faculties that given KE should be a core element at the faculty level, Faculties are advised not to rely solely on the additional KE funding for capacity building. To enable KE development on a more sustainable basis, Faculties are expected to provide matching resources for capacity building, which may be in the form of matching funds and/or redeployment of existing resources, for example, the staffing cost for an appointment in the Faculty KE Unit may be jointly supported by the KE funding and Faculty budget to enable a longer term contract be offered.

As described in section 3.3.2 above, individual academic and research staff members now report their KE activities in the annual performance review process. The data collected in this process last year indicated that our faculty members make a wealth of knowledge and expertise available through their frequent interactions with external organizations. In their review of such data captured last year, Deans considered such information very useful in enhancing their understanding of the strengths of their faculty members in KE. It was recognized that various mechanisms and channels, both formal and informal, exist for KE, but there is no central database to capture these activities systematically. A KE database to capture such diverse KE activities will be developed in due course. It is hoped that as the enumeration processes improve, the

data captured will in future enhance our understanding of the drivers which motivate individual involvement in KE and the factors that determine successful outcomes. The University will then be better placed to develop KE systematically for the long term.

### **3.6. Systems for monitoring, evaluation and outcome assessment of KE activities**

All Faculties, non-Faculty units, and individual faculty members with KE funding allocation are required to submit an annual report on the outcomes of their KE funded activities. Those outcomes will be considered by the KE Executive Group, and will be used to inform the internal funding allocation exercise next year.

## 4. Quantitative Indicators

Tables 1 and 2 below correspond to Tables 9.1 and 9.2 of the Initial Statement respectively. The 4<sup>th</sup> column on “2009/10” shows the outcomes in the past year, which are benchmarked against our own initial targets and the targets for the next two years as projected in the Initial Statement submitted in early July 2009.

**Table 1**

<b>Performance Indicators</b>	<b>2008/09</b> (pre-funding) <sup>Note 1</sup>	<b>2009/10</b> (projected in Initial Statement)	<b>2009/10</b>	<b>2010/11</b> (projected in Initial Statement)	<b>2011/12</b> (projected in Initial Statement)
No. of patents filed in the year (with breakdown by country and type)	61	67	75	74	80
No. of patents granted in the year (with breakdown by country and type)	34	40	43	40	40
No. of licenses granted (with breakdown by type)	5 (should be 36) <sup>Note 2</sup>	7 (revised to 38) <sup>Note 2</sup>	39	9 (revised to 40) <sup>Note 2</sup>	10 (revised to 41) <sup>Note 2</sup>
Income (on cash basis) generated from intellectual property rights	\$3,138,667	\$5,000,000	\$5,575,830	\$7,500,000	\$10,000,000
Expenditure involved in generating income from intellectual property rights	\$1,042,649	\$2,000,000	\$1,736,316	\$2,500,000	\$3,000,000
No. of economically active spin-off companies (with breakdown by type)	5	6	3	8	10
Net income generated (or net loss arising) from spin-off companies	\$543,265	\$570,428	\$775,183	\$598,950	\$628,897
No. of collaborative researches, and income thereby generated					
(i) selected research projects supported by external research grants <sup>Note 3</sup>					
- no. of projects	20	21	23	22	23
- income generated	\$30,669,268	\$32,202,731	\$33,945,395	\$33,812,868	\$35,503,511
(ii) other collaborative researches					
- no. of projects	7	7	3	8	8
- income generated	\$5,422,701	\$5,693,836	\$4,255,518	\$5,978,528	\$6,277,454
<b>TOTAL</b>					
- no. of projects	27	28	26	30	31
- income generated	\$36,091,969	\$37,896,567	\$38,200,913	\$39,791,396	\$41,780,966

<b>Performance Indicators</b>	<b>2008/09</b> (pre-funding) <sup>Note 1</sup>	<b>2009/10</b> (projected in Initial Statement)	<b>2009/10</b>	<b>2010/11</b> (projected in Initial Statement)	<b>2011/12</b> (projected in Initial Statement)
No. of contract researches (other than those included in “collaborative researches” above), and income thereby generated					
(i) selected research projects supported by external research grants <sup>Note 4</sup>					
- no. of projects	119	131	137	144	158
- income generated	\$30,982,263	\$34,080,489	\$43,177,958	\$37,488,538	\$41,237,392
(ii) other contract researches <sup>Note 5</sup>					
- no. of projects	249	274	725	301	331
- income generated	\$46,669,801	\$51,336,781	\$201,059,329	\$56,470,459	\$62,117,505
<b>TOTAL</b>					
- no. of projects	368	405	862	445	490
- income generated	\$77,652,064	\$85,417,270	\$244,237,287	\$93,958,997	\$103,354,897
No. of consultancies, and income thereby generated <sup>Note 5</sup>					
- no. of projects	406	426	606	448	470
- income generated	\$21,190,799	\$22,250,339	\$33,651,784	\$23,362,856	\$24,530,999
No. of <i>pro bono</i> research or consultancies	52	55	64	57	60
No. of student contact hours in short courses or e-learning programmes specially tailored to meet business or CPD needs <sup>Note 6</sup>					
- self-financed TPg courses	28,446	28,446	29,502	28,446	28,446
- other short courses/programmes	13,198 (should be 7,248) <sup>Note 7</sup>	13,858 (revised to 7,610) <sup>Note 7</sup>	7,332	14,551 (revised to 7,991) <sup>Note 7</sup>	15,278 (revised to 8,390) <sup>Note 7</sup>
<b>TOTAL</b>	41,664 (should be 35,694) <sup>Note 7</sup>	42,304 (revised to 36,056) <sup>Note 7</sup>	36,834	42,997 (revised to 36,437) <sup>Note 7</sup>	43,724 (revised to 36,836) <sup>Note 7</sup>
No. of equipment and facilities service agreements, and income thereby generated					
- no. of agreements	10	11	20	11	12
- income generated	\$621,168	\$652,226	\$240,522	\$684,838	\$719,080
No. of jobs created through the new Knowledge Transfer funding <sup>Note 8</sup>	110	121 (i.e. additional 11)	62.27 <sup>Note 9</sup> (additional no.)	133 (i.e. additional 12)	146 (i.e. additional 13)

**Notes:**

1. For the 2008/09 pre-funding year, some baseline numbers have to be adjusted due to flaws in the data reported last year.
2. There was a misunderstanding of the definition last year and only the number of newly granted licenses in the reporting year was counted. The number for 2008/09 is now rectified based on the UGC definition to include licenses granted in previous years which are still in operation during the

- reporting year as well. The projections are revised accordingly.
3. ITF projects with industrial sponsorship are included.
  4. ITF projects without industrial sponsorship, Public Policy Research projects and projects funded by the Food and Health Bureau and the SK Yee Foundation are included.
  5. As mentioned in the Initial Statement, the University has improved the enumeration process for contract research by creating a central database to capture data on contract research and consultancy agreements.
  6. The numbers are the contact hours offered by the programmes and courses.
  7. The number of contact hours of short courses/programmes of 2008/09 had inadvertently included 5,950 hours of language skills training and teaching enhancement courses for University students and staff. The number should be 7,248 instead, and the total contact hours including self-financed TPg courses should be 35,694 instead. The projections are revised accordingly.
  8. As the UGC definition refers to additional staff, the projected additional staff FTEs for the three years after the 2008/09 pre-funding year are put in brackets.
  9. The number includes additional staff supported by the UGC KT funding, other fund sources of the University, or a combination of both.

**Table 2**

<b>Other Performance Indicators</b>	<b>2008/09</b> (pre-funding) <sup>Note 1</sup>	<b>2009/10</b> (projected in Initial Statement)	<b>2009/10</b>	<b>2010/11</b> (projected in Initial Statement)	<b>2011/12</b> (projected in Initial Statement)
No. of placements/internships - no. of placements/internships - average length of placements/internships (in months)	2,393 3.2	2,513 3.2	2,787 2.6	2,638 3.2	2,770 3.2
Performance and exhibitions of creative works created by staff/students	48	50	66	53	56
Public lectures, symposiums, exhibitions, performance and honorary degree speeches to community audience	538	565	956	593	623
Books and other media for non-academic audiences	146	153	220	161	169
No. of mentors - University staff as mentors	256 (should be 69) <sup>Note 2</sup>	269 (revised to 72) <sup>Note 2</sup>	137	282 (revised to 76) <sup>Note 2</sup>	296 (revised to 80) <sup>Note 2</sup>
- Non-University staff as mentors	968 (should be 622) <sup>Note 3</sup>	1,016 (revised to 653) <sup>Note 3</sup>	682	1,067 (revised to 686) <sup>Note 3</sup>	1,121 (revised to 720) <sup>Note 3</sup>
No. of Knowledge Transfer websites	57	60	79	63	66
No. of postgraduate theses on open access	15,264	16,027	17,097	16,829	17,670
Download count of postgraduate theses to addresses outside HKU	90,933	100,026	148,936	110,029	121,032
No. of publications on open access	6,797	7,477	11,844	8,224	9,047
Download count of publications to addresses outside HKU	50,447	55,492	431,845	61,041	67,145
No. of positive media impact related to knowledge transfer coverage, including print, on-line and electronic media <sup>Note 4</sup>	3,890	4,085	10,265	4,289	4,503
No. of staff available for media contact	473	497	499	521	548

<b>Other Performance Indicators</b>	<b>2008/09</b> (pre-funding) <sup>Note 1</sup>	<b>2009/10</b> (projected in Initial Statement)	<b>2009/10</b>	<b>2010/11</b> (projected in Initial Statement)	<b>2011/12</b> (projected in Initial Statement)
No. of external advisory bodies membership held by HKU staff					
- professional	183		680		
- industry	32		32		
- Government statutory bodies	51		566		
- Govt. non-statutory bodies	134		137		
- other bodies	<u>552</u>		<u>1,988</u>		
<b>TOTAL</b>	952 <sup>Note 5</sup>	1,000	3,403 <sup>Note 5</sup>	1,050 (revised to 3,573) <sup>Note 5</sup>	1,102 (revised to 3,752) <sup>Note 5</sup>
No. of appointments of external members to HKU advisory boards, committees or panels	257	270	319	283	298

Notes:

- For the 2008/09 pre-funding year, some baseline numbers have to be adjusted due to flaws in the data reported last year.
- In the reporting exercise last year, some Faculties had inadvertently included academic advisors and postgraduate supervisors in the number of University staff as mentors for 2008/09. The number should be 69 instead, and the projections are revised accordingly.
- In the reporting exercise last year, some Faculties had inadvertently included the number of non-University staff who served as mentors of students under the central mentorship scheme, and 346 cases were double counted. The 2008/09 number should be 622 instead, and the projections are revised accordingly.
- The number for 2008/09 was an estimated figure based on a random sample of 35 days. The number for 2009/10 was obtained through the media impact study done by CPAO.
- In the Initial Statement, this was the 2007/08 number since the 2008/09 one was not yet available at the time of submission. This number was inadequate as it included only new memberships starting in 2007/08 but not on-going memberships. The number is now obtained through an annual exercise of data input by staff members themselves to the central community service database, conducted over the summer. In the 2009/10 column, the number is the 2008/09 figure since the 2009/10 data are not yet available. The projections for the next two years are revised based on this number.

## **5. An assessment of any foreseeable risks and exceptions which may lead to possible under-achievement of the proposals set forth in the institution's Initial Statement**

As explained in our Initial Statement, one of the major challenges is ensuring that staff members are fully engaged with KE and see it as a positive recognition of a key strategic element rather than seeing it as a burden on top of their teaching and research. Staff members need to recognize the full KE potential in the research they are already doing, and realize the synergies between KE and teaching and learning. We believe that we can manage this through engaging both Deans and their representatives on the KE Working Group to continuously raise the profile of KE within the University and increase staff awareness in KE.

## **6. Any change in strategy or management organisational structure in respect of KE**

The KE strategy and management organisational structure implemented are consistent with the proposals set out in the Initial Statement submitted to the UGC in July 2009, and no change is proposed.

## **7. Concluding Remarks**

The UGC's recognition of the importance of KT and financial support has played an instrumental role in enabling the University to embark on systematic development of KE. The past year has witnessed a gradual increase in the visibility of KE. We have successfully raised awareness to the fundamental concept that KE is much broader than TT. There is now a very healthy sign of a growing sense of awareness of the increasing role and contribution all disciplines can make to benefit our community and address major issues and challenges facing society.

We recognized that much remains to be done, and cultural transformation to fully embed KE in the University's core missions is a long-term goal which requires a co-ordinated strategy to create an enabling environment within the University and continuous support of the UGC.



July 30, 2010

Date of Submission

Signature of officer having oversight of KE in the institution

**Memberships of the Knowledge Exchange Working Group**

Professor Paul K.H. Tam, Pro-Vice-Chancellor (Research) [*Chairman*]  
Professor John G. Malpas, Pro-Vice-Chancellor (Infrastructure)  
Professor John H. Bacon-Shone, Associate Director of Knowledge Exchange Office (KEO) and Associate Dean, Faculty of Social Sciences  
Professor Paul Y.S. Cheung, Director of Technology Transfer Office and Associate Director of KEO  
Professor David P.Y. Lung, Associate Dean, Faculty of Architecture  
Dr Yoshiko Nakano, Associate Dean, Faculty of Arts  
Professor Simon S.K. Lam, Associate Dean, Faculty of Business and Economics  
Professor L.P. Samaranyake, Dean, Faculty of Dentistry  
The late Professor Shirley Grundy, Dean, Faculty of Education\*  
Professor Victor O.K. Li, Associate Dean, Faculty of Engineering  
Dr Felix W.H. Chan, Associate Dean, Faculty of Law  
Professor Daniel T.M. Chan, Associate Dean, Faculty of Medicine  
Professor C.Y. Ma, Associate Dean, Faculty of Science

\* Note:

The University suffers the loss of Professor Grundy, who passed away on July 3, 2010. The Faculty of Education will make a nomination for the KE Working Group in due course.