UNIVERSITY ACCOUNTABILITY AGREEMENT
2022/23 – 2024/25 TRIENNIUM

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1. BACKGROUND, CONTEXT AND PURPOSE

1.   The University Accountability Agreement (Agreement) is a formal agreement between The Education University of Hong Kong (EdUHK) and the University Grants Committee (UGC) of Hong Kong. It serves to articulate the nature and substance of the relationship between EdUHK and the UGC. Along with the dialogue, the Agreement forms a key element of the strategic framework underpinning this relationship.

2.   This strategic dialogue is an important element in the action being taken by universities and by the UGC to strengthen the governance of publicly-funded higher education universities in Hong Kong and by such action to enhance their accountability. The Agreement reinforces the autonomous status of the universities by allowing them to articulate their individual missions, visions and strategic goals. The Agreement allows the UGC to be satisfied that the wider public interest is both recognised and met by EdUHK, as well as providing assurance through high-level performance measures of a commitment to continuous quality improvement. For EdUHK, the Agreement assures members of its governing body as well as its staff and students that the key elements are in place of the robust institutional governance which helps to guarantee EdUHK's autonomy.

3.   The Agreement reaffirms the funding to be provided to a university by the UGC, setting out those elements which collectively represent the single-line block grant from the UGC over the triennial funding period for the 2022/23 to 2024/25 triennium (2022-25 triennium). It also sets out any conditions attached to such funding, as well as being a reminder that all universities are required to follow the UGC Notes on Procedures (NoP) as well as other guidance and advice as promulgated and updated by the UGC from time to time.

4.   EdUHK is also required to submit its teaching, learning and related processes to regular quality audit through the aegis of the Quality Assurance Council (QAC) and to submit its research activity being assessed on a regular basis by the UGC. Specific outcomes and outputs from such periodic audit and assessment exercises are reflected as appropriate in the Agreement. The Agreement is not intended to replicate or replace such exercises.

5.   By signing this Agreement, EdUHK affirms that all funds received from the UGC will be used solely for the purposes for which they are intended. Such funds are provided in the expectation that EdUHK will seek to achieve value for money and be economical, efficient and effective in its use of public funds.

6.   The Agreement will be reviewed on an annual basis as part of the strategic dialogue between EdUHK and the UGC. This annual review will consist of a check on progress towards targets and outcomes agreed over the timeframe of EdUHK's strategic plan, which is aligned with the three-year span of the funding settlement from the UGC.

7.   It is expected that the process of dialogue leading to the joint acceptance of the Agreement will mean that universities and the UGC will keep to its terms, both in spirit and in the letter. Where a university fails to do so without the prior agreement of the UGC, the UGC may decide on appropriate action having regard to the merits of individual cases to ensure that EdUHK is made aware of the potential consequences of it continuing to act in such a way.

8.   The Agreement is signed by both EdUHK and the UGC as a public affirmation of the commitment of both parties to confirming and enhancing the global reputation of Hong Kong's

higher education sector as a provider and enabler of teaching, research and related activity of the highest quality and of the greatest benefit to the people of Hong Kong.

2. HONG KONG FUNDING FRAMEWORK: KEY PRINCIPLES

9.   The UGC follows a triennial planning cycle for the allocation of recurrent grants to the eight UGC-funded universities. This is underpinned by the Planning Exercise, which allows the universities to examine their recent developments through reviewing existing programmes, introducing new ones and phasing out obsolete ones. The exercise involves two major components:

    i.   obtain instructions from the Government on the overall policy direction and broad planning parameters for the triennium; and

    ii. on the basis of (i), consider the Planning Exercise Proposals (PEPs) submitted by the universities to make recommendations on the allocation of student numbers and recurrent grants to individual universities. The cycle usually starts two years before the commencement of each triennium.

10.   For the 2022-25 triennium, EdUHK acknowledges the four strategic directions which Government has invited the UGC and all universities to take into account in the Planning Exercise, namely –

(a)   Universities should think more strategically and for the longer term

Universities should think boldly and strategically in mapping out the strategies in a longer planning cycle, taking into account the potentials and needs of the Guangdong-Hong Kong-Macao Greater Bay Area (GBA) Development and the role that Hong Kong's higher education sector could play in this endeavour.

(b)   Consolidation in UGC-funded programmes among universities

A few universities are currently offering training programmes in some disciplines with surplus manpower, while there is ample supply of graduates from the self-financing post-secondary education sector and other non-local sources. The more apparent examples are Chinese medicine practitioners, teachers and social workers. The opportunity should be taken for the universities to consider some form of consolidation of these programmes at institutional level to enhance synergy and efficient use of resources.

(c)   Whole-person development

While recognising the significant efforts made by the universities on the academic front, the whole-person development of university students should also be accorded priority. As graduates are the future pillars of our society, it is pivotal that a strong sense of civic duty could be instilled into them through value education at university level. The education on the Constitution, the Basic Law and the National Security Law should also form part and parcel of students' university studies to nurture them as law-abiding responsible citizens.

(d)   Research

The basic research capability among the UGC-funded universities is a forte in which Hong Kong has a leading edge in the region. Such forte should be maintained and further strengthened, as manifested in the Government's sizeable injection into research-related funding in recent years. At the same time, the knowledge transfer from basic to applied research with the creation of social impact should also be encouraged.

11.   The UGC considers that competition drives excellence. To ensure the efficient use of the precious publicly-funded student places, the UGC adopts the Competitive Allocation Mechanism (CAM) under which each university is required to set aside a small portion of its non-manpower-planned (NMP) first-year-first-degree (FYFD) intake places for redistribution in the context of the Planning Exercise. Universities are invited to submit their PEPs to facilitate assessment by the UGC. This process of preparing their PEPs creates an opportunity for universities to critically reflect on their overall strategies, distinctive roles and portfolio of academic programmes against policy priorities and community needs. The PEPs submitted by the universities are subject to rigorous assessment by the UGC against the following seven assessment criteria –

  i.   Institutional mission and strategy;
  ii.   Meeting the needs of society over the next decade;
  iii. Quality of student experience of teaching and learning;
  iv.   Research performance and research postgraduate experience;
  v.   Knowledge transfer and wider engagement;
  vi.   Enhanced internationalisation and engagement with the Mainland; and
  vii. Financial health, institutional social responsibilities and sustainability.

12.   The preliminary recommendation on allocation of student places is conveyed to the universities in the Preliminary Advisory Letter to facilitate the universities' preparation of student load matrices and cost estimates. Upon completion of Recurrent Grants Assessment, the UGC submits its recommendations on the allocation of student places and recurrent grants to the Government. With the approval from the Chief Executive-in-Council, universities are informed of their final funding allocation in the Allocation Letter from the UGC.

13.   The UGC and the Government are committed to the principle of funding being allocated to the eight publicly-funded universities on a three-year basis, with that funding consisting of a single-line block grant to each university. This approach is an explicit recognition of their autonomous status. In the 2022-25 triennium, the Government has agreed to provide a total sum of recurrent grants of **HK$3,070.1 million** to EdUHK in the form of a block grant of which EdUHK may redeploy the resources internally to various units and activities as your university sees fit. That notwithstanding, UGC's recommendations are premised on the proposals, initiatives and programme offering as committed in your university's PEP, whereas the approved student number targets form a key basis for the determination of recurrent grants. As such, the PEP of your university is contractual in nature. EdUHK accepts that you have a duty to be openly accountable for the proper stewardship of funds, irrespective of their source, and of other resources at your disposal. In particular, EdUHK should ensure the provision of approved publicly-funded programmes and student places, while effective and efficient internal control mechanisms should be in place for the compliance of relevant conditions on the use of public funding and requirements for reporting, audit and assurance as prescribed in the PEP, the Allocation Letter, the UGC's NoP as well as

other guidance and advice from the UGC from time to time. Some specific conditions are highlighted in the ensuing paragraphs.

Utilisation of Approved Student Number Targets

14. The UGC conducts regular enrolment and admission monitoring to ensure that the approved student number targets are delivered by EdUHK, as well as to enable the introduction of appropriate remedial measures in the event of significant deviations.

15. The full utilisation of student places and intake places is an obligation in return for receiving public funding which must be accountable and therefore subject to scrutiny by the Government and the public. The UGC understands that enrolment management involves factors such as student admission, market demand and individual student decisions which are often beyond the control of the universities and thus allows some flexibility on under-utilisation and over-utilisation as prescribed in the NoP or other advice from the UGC. The enrolment and admission monitoring is conducted by the UGC on both annual and triennial basis to ensure effective and realistic enrolment management of the universities.

16. EdUHK accepts that the UGC reserves the right to claw back funding from your university or deduct the corresponding amount from any other planned or committed funding allocation to your university, if the UGC is of the opinion that enrolment management by your university is unsatisfactory in terms of significant over-utilisation beyond the permissible ceiling or under-utilisation below the tolerable floor. Your university is responsible for undertaking all reasonable measures in response to unsatisfactory situation in order to safeguard the quality of teaching and learning as well as to ensure the efficient use of public funding. EdUHK shall submit information on the enrolment situation through the annual submission of statistics in the Common Data Collection Format (CDCF) or at any suitable juncture.

Compatibility with "3-3-4" Academic Structure

17. EdUHK acknowledges that Hong Kong adopts the "3-3-4" Academic Structure under which the normative study period for an undergraduate programme is four years, while certain programmes may have normative study periods of five years or longer to ensure that the graduates are equipped with the necessary skills and competences. While institutional autonomy remains the core value of the higher education sector which the UGC cherishes and respects, EdUHK would ensure that the academic programmes offered are formulated in a manner fully consistent with the overarching framework of the "3-3-4" Academic Structure. Also, whole-person development has all along been considered as an integral component of quality undergraduate education under the "3-3-4" Academic Structure and a curtailed study period will result in loss in such opportunities. In all circumstances, a university should not introduce any undergraduate programmes allowing for the awarding of a degree with a normative study period of less than four years. The normative study period of double degree programmes should accordingly be no less than five years. Universities should tender appropriate advice to the students to encourage suitable balance between academic studies as well as participation in extra-curricular and co-curricular activities for fulfilling the mission of promoting whole-person development.

Financial Governance

18.	The public funding for all UGC-funded universities involves substantial amount of public resources. There is clear aspiration from the community that universities will assume full accountability for the use of funding and uphold the highest standard of financial governance. EdUHK agrees to adhere to the latest requirements on financial governance as set out by the UGC vide the letters on various topical issues and issue of guidelines, including, but not limited to –

i.	Statement of Recommended Practice for the UGC-Funded universities ("the SORP") – The SORP reflects both the accounting practices and disclosures as set out in the prevailing Hong Kong Financial Reporting Standards issued by the Hong Kong Institute of Certified Public Accountants and those recommended in UGC's Financial Affairs Working Group Report for use by the universities in the preparation of their financial statements and Annual Reports; and

ii.	Cost Allocation Guidelines for UGC-funded and non-UGC-funded Activities ("the Guidelines") – The Guidelines provide a set of guidance for universities to ensure that there is no cross-subsidisation of UGC resources to non-UGC-funded activities. The Guidelines represent the basic features that each university should demonstrate in their cost allocation models, and serve as inputs to the design and implementation of their cost allocation mechanisms.

19.	Specific details of the funding being provided by the UGC to EdUHK are set out in Section Six of this Agreement.

3. INSTITUTIONAL MISSION AND VISION

20.	For the UGC, it is important that the strategies adopted by universities are effective in enabling an institution to advance its mission through enhancing its competitiveness, strengthening its ability to build its capacity, enabling collaboration and using the outcomes of exercises such as the 2020 Research Assessment Exercise (RAE) as a key element in its future development. As we gradually move on from the restrictions brought on from the COVID-19 Pandemic, it is also important for universities to focus on institutional development in response to the evolving landscape of higher education, especially the "new normal" shaped by the medium- and long-term socio-economic impacts of the pandemic.

Institutional Mission

21.	Committed to the Education-plus approach, EdUHK's primary mission is to lead educational innovation, and to promote and support the strategic development of teaching, teacher education and disciplines complementary to education by preparing outstanding and morally responsible educators and professionals while supporting their lifelong learning.

EdUHK will:
- provide a multidisciplinary learning and research environment beyond education that is conducive to intellectual pursuits, free thinking and speech, advocacy of policy and practice, and the promotion of collaboration and diversity;

- enhance professional teacher and teaching education programmes and programmes in disciplines complementary to education with innovative curricula which will enrich students' experiences and enable them to realise their personal potential as well as their educational and career goals;
- prepare its students to become educators and professionals who can integrate theory and practice, and who are creative, innovative, intellectually active, entrepreneurial, socially caring and globally aware;
- foster a vibrant research culture and environment which contributes to the advancement of knowledge, scholarship and innovation, with a sustainable impact on social progress and human betterment; and
- engage in knowledge transfer activities which contribute to the development of EdUHK and the wider community while serving the needs of educational and social development locally, regionally and internationally.

Institutional Vision

22.   EdUHK will further enhance its role as a leading university in the Asia Pacific region and beyond, with a focus on educational research, development and innovation. EdUHK will continue to raise its profile and impact locally, regionally and internationally through its high quality research and scholarship. EdUHK is committed to nurturing outstanding and caring educators and professionals who contribute constructively to sustainable social and economic development in Hong Kong and beyond.

Strategic Priorities and Actions

23.   EdUHK's high-level strategic priorities and corresponding actions over the timeframe of the strategic plan from 2016 to 2025 are presented under paras 24 and 25 below. In the coming Triennium 2022-25, EdUHK will pay more focused efforts on some important developments, for example implementation of the new undergraduate curriculum, ePortfolio, eLearning, experiential learning of undergraduate students, etc.

Strategic Priorities: 2016 to 2025

24.   EdUHK's strategic priorities in the next decade cover three areas, namely (a) Academic Development, (b) Research and Knowledge Transfer, and (c) Management and Infrastructure.

25.   Strategies and actions for individual areas are:

(a) Academic Development

> Priority 1 'Nurturing Future Educators and Social Leaders' through curriculum innovation

To nurture competent teachers who in turn will make a difference in the coming generations, thus creating a virtuous circle to ensure the continuous and sustainable betterment of the community.

Strategies and actions:
- support students' achievement of the Generic Intended Learning Outcomes that meet the professional and language standards appropriate to future social and career needs;

- enhance trilingual language support in English, Chinese and Putonghua, and provide foreign language classes e.g. in French, Japanese and Korean as one form of multi-cultural education and promotion;
- ensure students undergo a meaningful formal and non-formal learning experience with the goal of whole person development;
- further develop students' interdisciplinary learning experiences to help them cope with the prominent social, community and educational issues of the 21st century;
- internationalise the curriculum to ensure its relevance to a globalised world;
- enhance the curriculum to meet the changing global / local developments and community needs;
- promote research training in undergraduate teaching; and
- develop programmes benchmarked at international standards.

Priority 2 Enhancing quality in education

To nurture quality graduates who will become tomorrow's educators and social leaders by ensuring quality in education through EdUHK's clear and well-established quality assurance and enhancement mechanisms.

Strategies and actions:
- explore and develop new approaches to pedagogy, embrace innovation in assessment, and use research to inform teaching;
- enhance schemes to promote the quality of learning and teaching;
- engage students to take the lead in the learning and teaching process; and
- strengthen efforts to recruit quality students.

Priority 3 Facilitating learning sans frontières

To harness the new digital technologies to facilitate active, constructive and interactive learning across borders.

Strategies and actions:
- promote an innovative, borderless and interactive e-Learning approach;
- adopt innovative e-Technology in course delivery; and
- provide students with an enjoyable, successful and satisfying learning experience through effective blended modes and overseas learning.

Priority 4 Leading in teacher education

To continue to support the goal of on-going professional development with a range of programmes for in-service teachers and practitioners, and to remain a leading advocate for educational development and change in Hong Kong through top-notch research and knowledge transfer, strengthening and maintaining EdUHK's strong ties and partnerships with schools, major local school sponsoring bodies and non-governmental organisations.

Strategies and actions:
- enhance and enrich teacher education programmes through on-going review and refinement;

- address the needs of the government / school sector, for example, the latest developments of the Committee on Professional Development of Teachers and Principals (COTAP);
- provide a broad-based curriculum with the incorporation of positive education and service learning elements;
- nurture the graduates of teacher education programmes as leading thinkers and practitioners in the education profession;
- enhance pedagogical competence through teacher education programmes, and contribute to the development of education in Hong Kong;
- engage local and international communities on key educational issues that help shape the formulation of policies and practices to enhance educational and human capacity development;
- develop disciplines complementary to education (Humanities, Social Sciences, and Creative Arts and Culture) at taught postgraduate level; and
- strengthen academic training at the undergraduate level by helping students to find and take advantage of the synergies between teacher education and disciplines complementary to education.

Priority 5 Strengthening postgraduate provisions

To be at the forefront of teaching, research and consultancy services in the area of lifelong learning and continual professional development, and to respond to societal demand and community needs.

Strategies and actions:
- consolidate and refine programme offerings at taught postgraduate level; and
- increase the number of quality postgraduate programmes in teacher education and disciplines complementary to education.

Priority 6 Capitalising on local and international networks

To maintain and enhance EdUHK's local and international networks.

Strategies and actions:
- establish a learning environment of cultural and linguistic diversity in support of the development of international perspectives;
- provide a curriculum framework that shapes learning as a response to increasing globalisation and cross-cultural communication;
- strengthen links with regional and international partners and take on a leadership role in research and pedagogy; and
- promote internationalisation and encourage students' integration into local, regional and overseas multicultural communities.

(b) Research and Knowledge Transfer

Priority 1 Realising the goal of becoming the leading Research and Development Centre in Education, Humanities and Social Sciences under the Education-plus approach

To produce knowledge that can be applied to teaching and learning with the aim of improving professional practice and increasing the transfer of new knowledge and skills to society for community betterment, and continue to excel for the coming years.

Strategies and actions:

- enhance both the quantity and quality of research outputs by building thematic research and research clusters;
- foster a multidisciplinary research culture;
- promote regional and international collaborative research by building strategic research partners and developing longer-term partnerships;
- mentor young academic staff in their grant applications and research writing;
- enhance EdUHK's competitiveness in research grant applications; and
- promote mentoring by formalising academic mentoring practices.

> **Priority 2 Serving local and international communities with needs-focused scholarship, knowledge transfer and community service**

To strongly encourage the academic staff to engage in a wide range of KT activities - such as commissioned / contract projects, consultancies, professional development courses, local or international professional conferences, professional seminars and workshops as well as participating in social, community and cultural events.

Strategies and actions:

- promote KT and enhance its quality by further upgrading existing institutional support of promotion of EdUHK's intellectual property through engagement in application and innovation;
- continue to raise the public profile of EdUHK's researchers and research output through the Research and Development Office and Library;
- strengthen university-community relations with the development of new and extant regional, national and international partnerships;
- allocate KT funding to support and protect university-owned intellectual property by identifying strategic areas;
- further diversify KT activities into such areas as patent, licence and university-owned intellectual property;
- promote research with a social, educational and economic impact by documenting KT activities and research impacts then benchmarking them with those of the UK Research Excellence Framework (REF); and
- engage students in KT activities.

> **Priority 3 Encouraging an active and strong research culture among academic staff and postgraduate students**

To maximise the benefits and synergies among academic staff and research postgraduate students and to increase the quantity and quality of research outputs.

Strategies and actions:

- promote interaction and dialogue among academic staff and postgraduate students through informal exchange and departmental and inter-departmental research seminars;

- encourage academic staff and postgraduate students to disseminate research findings; and
- encourage postgraduate students to publish or co-publish in quality academic journals.

Priority 4 Encouraging active participation of academic staff in research

Initiatives and incentives in place include affording staff research time, promoting research with a high impact, augmenting research funding, nurturing early career researchers, creating a multidisciplinary research environment, enhancing the quality of research outputs, giving staff teaching relief, providing mentoring, and enhancing EdUHK's research infrastructure.

Priority 5 Providing support for research postgraduate students

The growing number of research postgraduate students arising from EdUHK's enhanced research capacity has generated a critical mass for the promotion of an active research culture among these students. Among the ways to increase the research capacity of research postgraduate students include providing academic guidance and support, enhancing students' academic writing and research skills, enriching students' international experiences by offering financial support for students to attend and present at international conferences, and offering financial assistance to support their research activities.

(c) Management and Infrastructure

Priority 1 Ensuring effective and efficient management

To strengthen the skills of staff in leadership positions, to re-affirm commitment to high quality teaching, to promote values that recognise exceptional performance through the implementation of effective human resources policies, to enhance operational efficiency, and to strengthen the funding position.

Strategies and actions:
- continue to strengthen the academic capacity and leadership of EdUHK;
- cultivate a high level performance culture by reviewing and refining the appraisal and Performance-Based Reward System to motivate and reward high achievers;
- enhance the awareness of the already sound internal controls, and promote the management of risk;
- review and streamline oversight and approval processes at all levels;
- enhance operational efficiency by promoting a culture of continuous improvement and introducing best practice from industry; and
- expand and diversify funding sources to ensure the long-term sustainability of EdUHK.

Priority 2 Working towards a sustainable infrastructure

To create a green campus and a sustainable infrastructure and continue to strengthen the coverage of wired and wireless networks in every corner of the campus; leverage data, cloud technology and mobile applications to facilitate learning and teaching; encourage and promote the move towards paperless meetings; secure donations and

raise funds to support the construction of student hostels; and set up further sustainability goals and policies covering green building retrofitting, carbon emissions reductions, water and waste recycling, and renewable energy.

Strategies and actions:
- review information technology strategy and campus infrastructure to facilitate student learning and student support services;
- create or construct new academic space for teaching and research;
- expand student accommodation for more non-local and self-financed students; and
- promote the development of a sustainable campus.

Priority 3 Going beyond a caring organisation

To ensure the sustainability of university's caring culture, EdUHK will continue to foster a positive and can-do attitude by organising regular education programmes, workshops and promotion campaigns on campus, and volunteering teams for community service.

Strategies and actions:
- promote the concept of social responsibility within and beyond EdUHK community;
- increase the diversity of the workforce by employing more people with disabilities or special needs; and
- engage social enterprises in delivering services to EdUHK community.

4. ACTIVITY DOMAINS AND PERFORMANCE MEASURES

26.   A regular review of universities' performance is an important element of sound governance. It allows a university to derive leverage from its strengths, while highlighting other areas where action on issues requiring attention might be taken to its longer-term advantage. It also allows a university to demonstrate in its key areas of activity that it has taken note of those elements which are important in the future development of higher education in Hong Kong. For the UGC, these elements are in particular important:

- Quality of student experience of teaching and learning
- Research performance and research postgraduate experience
- Knowledge transfer and wider engagement
- Enhanced internationalisation and engagement with the Mainland
- Financial health, institutional social responsibilities and sustainability

27.   The higher education sector is a major asset for Hong Kong, benefitting from a major investment of public funds each year. Measuring the overall performance of the sector provides a measure of sector-wide performance for public information, as well as strengthening both the public profile and reputation of the sector and its overall value to the community. Measurement of performance helps ensure public confidence in universities through enhancing their accountability. Measurement also allows the higher education sector to demonstrate that individual institutions are committed to continuous quality improvement in their individual circumstances, as well as high standards of governance and educational practice.

28.   As far as is practicable, data for the performance measures is derived from existing institutional returns to the UGC, whether through CDCF returns or other statistical returns, or from audited sources such as a university's annual financial statements. Where other sources are used, these sources are acknowledged in the introduction to each performance measure. EdUHK also acknowledges that performance measures will be adopted for the assessment of their PEPs and inform the allocation of student numbers.

29.   The UGC acknowledges in its NoP (Chapter 6 on Data Collection and Returns) that, "it requires information about the activities of the UGC-funded universities for a variety of purposes, including assessment of recurrent and capital funding requirements, monitoring progress, advising on academic developments generally, monitoring progress and expenditure on RGC-funded research projects, reporting to the Government, the Legislature and the public. The data so collected also enables many ad hoc questions to be answered without further enquiry of the institutions".

4.1 Quality of Student Experience of Teaching and Learning

30.   The core components of the performance measures in this activity domain are intended to demonstrate that a university has effective strategies in place to deliver improvements in teaching quality, to enhance the effectiveness of the learning environment and to maximise student learning outcomes, particularly in relation to learning gain leading to appropriate employment or further study. Performance measures on student service learning and internship activities are also covered in this domain as they are significant form of experiential learning for real-life application of learning outcomes and whole-person development. In addition, with dedicated funding for universities to step up support for students with special educational needs in the 2022-25 triennium, a university should report on the satisfaction of such students to facilitate ongoing monitoring. The data for (1) and (4) under the sector-wide performance measures below are derived from a standard question in student surveys.

Sector-wide Performance Measures

1) (a) Undergraduate satisfaction with the quality and value gained from their teaching and learning experience
   (b) Undergraduate satisfaction with their overall learning environment
2) Undergraduate employment success rate
3) Learning experience outside the classroom –
   (a) Service learning activities; and
   (b) Internships experience
4) Satisfaction of students with special educational needs

Institution-specific Key Performance Indicators

1) Participation percentage of undergraduate students joining experiential learning activities
2) Participation of students in the ePortfolio Scheme for reflective learning

4.2 Research Performance and Research Postgraduate Experience

31.   Performance measures in this domain are intended to illustrate that a university has strategies in place appropriate to its mission to encourage research and scholarly activities and

which seek to improve the quality and volume of research outputs. The measures take account of factors such as research impact, and measures in place to ensure positive learning experience and outcomes for research postgraduate students, including equipping them for careers appropriate to their specialism. The data for (3) under the sector-wide performance measures below are derived from a standard question in research postgraduate student survey.

Sector-wide Performance Measures

1) Value of total research income
2) Average time-to-completion, graduation rate and employability of research postgraduates
3) Research postgraduate satisfaction with their overall experience

32.　The Agreement for the 2019/20 to 2021/22 triennium contains a sector-wide performance measure on the percentage of research activities judged to be world leading or internationally excellent as assessed in the latest RAE. As there is no plan for another round of RAE within the 2022-25 triennium, the performance measure will be temporarily excluded from the 2022-25 triennium.

Institution-specific Key Performance Indicators

1) Percentage of research postgraduate students with a refereed publication within the period of study
2) Percentage of research postgraduate students presenting a paper at academic conference

4.3 Knowledge Transfer and Wider Engagement

33.　The UGC acknowledges that universities have, with regard to institutional needs, developed for various forms of knowledge transfer activities a unique data system, with a wide range of definitions for terms, calculation of quantitative indicators and interpretations for statistics. Given the diversity of knowledge transfer activities within the UGC-funded sector, we adopt a multi-pronged approach to measure universities' efforts and achievements in cultivating knowledge transfer culture and talents among students, engaging in knowledge transfer and in wider engagement with the community, defined as, "the systems and processes by which the knowledge, expertise and intellectually linked assets of universities are constructively applied beyond higher education for the wider benefit of the economy and society, through two-way engagement with business, the public sector (including the school sector), cultural and community partners", with innovative, profitable, economic or social improvements being part of that benefit.

34.　Knowledge transfer and wider engagement includes activities such as consultancies, collaborative research (with industrial, commercial or other non-higher education partners such as NGOs), contract research (undertaken for industrial, commercial or other non-higher education partners such as NGOs and creative or cultural organisations), continuing professional development (CPD), licensing, start-ups, spin-outs and public engagement. Such activities can broadly be categorised as: (i) the provision of research and business services (consultancy; collaborative research; contract research; and CPD); (ii) innovation (licensing); and (iii) public engagement (networking and public events; projects with a social or community benefit). For start-ups, quantitative data in terms of number or profits may not be truly reflective of their success as they have different forms of establishment and financial cycles.

The universities are encouraged to provide a qualitative assessment on this aspect by highlighting recent development and notable cases in their annual progress reports.

Sector-wide Performance Measures

1) Total income from knowledge transfer via the provision of research and business services (i.e. collaborative research, contract research, consultancies, CPD)
2) Income generating from intellectual property as defined in CDCF
3) Expenditure on public engagement activities (e.g. public lectures, performance arts, exhibitions and others as defined in CDCF)
4) Student engagement in start-ups and entrepreneurship

Institution-specific Key Performance Indicators

1) Number of staff engaged as professional consultants or members of external advisory bodies
2) Number of beneficiaries of knowledge transfer activities

4.4 Enhanced Internationalisation and Engagement with the Mainland

35.　Sector-wide performance measures in this domain are designed to illustrate the impact of a university's development of a holistic approach to the growing importance of internationalisation to the higher education sector in Hong Kong. Such an approach might include the research collaboration with non-local institutions, the recruitment of non-local students, exchange programmes involving Hong Kong students spending part of their course in an overseas or Mainland institution and vice versa, recruitment of non-local staff, participation of staff in conferences / exchanges held outside Hong Kong, engagement with Mainland China, exposure in the GBA, as well as the extent to which the student curriculum itself has embraced and embodied international perspectives.

Sector-wide Performance Measures

1) Non-local students (in each of: undergraduate; taught postgraduate; research postgraduate) as percentage of total student numbers
2) Non-local students (in each of: undergraduate; taught postgraduate; research postgraduate) broken down by regions (Asia, Europe, North America, South America, Oceania, Africa and others) and study levels
3) (a) Percentage of undergraduate students with non-local university-approved formal or experiential learning experience
   (b) Percentage of undergraduate students with university-approved formal or experiential learning experience in the GBA
4) Active research collaboration with non-local institutions

For active research collaboration with non-local institutions, it is recognised that the quantitative information to be presented may not fully reflect the qualitative understanding of university performance, such as the depth and scope of the collaborations, as well as their impact on the university's internationalisation. Universities are encouraged to supplement such information in their UAA annual reports to highlight major collaborative projects with significant achievements and potential impact.

Institution-specific Key Performance Indicators

1) Number of inbound / overseas trainees taking part in learning programmes
2) Percentage of research postgraduate students with non-local learning experience within period of study
3) Number of programmes / events given by staff either abroad or to inbound non-local delegates / trainees

4.5 Financial Health, Institutional Social Responsibilities and Sustainability

36.   While universities enjoy the autonomy to allocate fund and resources, they are expected to deliver the pivotal role as publicly-funded institutions to meet the societal needs and to nurture the future generations. Measures in this activity domain are, therefore, designed to illustrate the strength of a university's governance structures and their capacity to ensure the financial sustainability in the longer term. The elements forming the measures are drawn from the findings of the "Governance in UGC-funded Higher Education Institutions in Hong Kong" (Governance Report) published by the UGC in 2016, as well as from worldwide good practice in the wider sphere of commerce and government. Specific measures and indicators of enhanced governance in EdUHK are detailed in the following Section Five on Governance and Institutional Management. The utilisation of student places is also a key indicator of universities' fulfilment of their accountability for public funding. On the other hand, as academic institutions, universities have transcendental roles to play in championing social responsibility and overall sustainability for the betterment of the world for our future generations. With the growing importance in environment, social and governance challenges, this domain also covers environmental and social responsibilities of the universities as a key aspect of institutional performance. For the 2022-25 triennium, the financial support for students with financial needs using non-UGC funding and the admission of students on the basis of non-academic talents to UGC-funded undergraduate programmes are introduced as new performance measures to represent universities' efforts in living up with their social responsibility.

Sector-wide Performance Measures

1) (a) Subventions from UGC as a percentage of total income
   (b) Current ratio (i.e. current assets / current liabilities)
   (c) Coverage of university's expenditure by reserves and cash & cash equivalents (defined by Hong Kong Financial Reporting Standards):
       (i) Reserves / monthly expenditure = number of months that expenditure can be supported by reserves;
       (ii) Liquid reserves / monthly expenditure = number of months that expenditure can be supported by liquid reserves; and
       (iii) Cash & cash equivalents / monthly expenditure = number of months that expenditure can be supported by cash & cash equivalents
2) Overall student places utilisation rate
3) Scholarship and financial aid for students with financial needs funded by non-government funding
4) Number of students admitted to UGC-funded programmes at undergraduate level (in respect of the academic year covered in the report) on the basis of non-academic talents through direct admission schemes

Institution-specific Key Performance Indicators

1) Amount of greenhouse gas emissions per capita
2) Number of kilowatt hours per capita
3) Number of NGOs engaged in projects / activities / services with EdUHK
4) Number of items donated

5. GOVERNANCE AND INSTITUTIONAL MANAGEMENT

37.   Effective governance and institutional management is based on a clear understanding of the respective roles of the governing body, of the senate or academic board and of the senior management in an institution. Mutual respect for these differing roles is a keystone of a well-run university. To quote the UGC's Governance Report, "The governing body is responsible for oversight of the institution's activities, determining its future direction and fostering an environment in which the institutional mission is achieved and the potential of all learners is maximised". The president and the executive team are responsible for the management of the institution, both internally and externally, such that its mission is achieved and it benefits from teaching, learning and research of the highest quality. In short, the senior executive should not seek to determine those matters which are properly the concern of the governing body. Equally, the governing body should not become involved in the day-to-day executive management of the institution.

38.   In many institutions worldwide, codes of good conduct or practice explicitly recognise this difference between the roles but also their mutual dependence, as well as the need to respect such difference. By highlighting the importance of all involved institutional governance and management recognising their respective responsibilities, this Agreement seeks to reinforce the importance of differing roles being respected, either through a formal code of good practice or through explicit recognition by all concerned.

39.   The UGC and the eight universities have worked together since the UGC published its Governance Report in March 2016. Action has been taken to implement recommendations in each of the following key areas in order to strengthen institutional governance and management:

- Recruitment, induction and continuing professional development of university council members
- Institutional strategy
- Management of risk
- Delegation of authority
- Periodic review of governance arrangements

40.   EdUHK has continued to respond to the recommendations by taking the following actions:

5.1 Recruitment, Induction and Continuing Professional Development of University Council Members

41.   The Council Secretary has been providing each new Council Member with a one-on-one induction meeting. The President and Vice Presidents also provide lay Council Members with up-to-date information about EdUHK's current and future development in different

aspects, in addition to the quarterly reports presented in Council meetings. New Council Members are provided with a set of Skills Template and Code of Conduct for reference. Daily media summaries are sent to Council Members to keep them abreast of the news in the education sector in Hong Kong and elsewhere in the world. Council Members are invited to join briefings and events on latest educational developments and developments of EdUHK, such as Tea Receptions with outstanding students and Education Salons, and visits from time to time.

5.2 Institutional Strategy

42.   The Council considered and approved EdUHK's Strategic Plan for 2016-2025 in December 2016 and further approved EdUHK's Institution-specific Key Performance Indicators (KPIs) in October 2017. After an interim review conducted in 2019, the Council will conduct another interim reviews and assess EdUHK's development against the Major Milestones and KPIs in 2022.

5.3 Management of Risk

43.   EdUHK has put in place an Enterprise Risk Management framework. The framework and associated risk management process ensure a proper overview of institutional risks. At the operational level, risk management is an embedded element in EdUHK's operations which forms an integral part of its internal controls and daily work processes.

44.   Regular review is made to the University's risk matrix and risk register which identify risk areas, ownership and mitigation measures. Specific risk owners are assigned to oversee principal risks and a chief risk officer is assigned to oversee the adequacy and effectiveness of the existing risk management framework. Principal risks and mitigation plans are reported regularly to the Council through the Audit Committee.

45.   Risk management is a critical element of University administration. Unexpected challenges have been driving EdUHK to critically review its policies and procedures. The University engages an independent third party to conduct reviews and tests in various areas to ensure robust mechanisms and sound measures are in place to mitigate potential risks and to prepare for contingencies.

46.   Risk training workshops are delivered to staff regularly, and highlights / messages of risk-related matters are broadcast on electronic devices at prominent locations on campus for the attention of not only staff but also students to develop a risk-conscious culture throughout the University.

5.4 Delegation of Authority

47.   EdUHK has in place a comprehensive structure of delegation, covering the Council and its committees, each of which is governed by a clear set of terms of reference approved by the Council which include a scheme of delegation setting out the limits of authority as appropriate. The Council receives regular reports from its committees.

5.5 Periodic Review of Governance Arrangements

48.   The Council reviews its governance arrangements from time to time, in particular its scheme of delegation is reviewed every five years. EdUHK will take this opportunity to review the committee structure as well as the terms of reference of each committee under the Council.

49.   Regional cooperation between Hong Kong's universities and their Mainland counterparts with new campuses in the GBA will shape the new landscape of higher education in the next few years. The strategies, visions and governance arrangements for these new campuses will have immense impacts on institutional development of the university in Hong Kong during the 2022-25 triennium. In addition, the Government has specifically cited the opportunities for collaboration in the GBA in one of the four Strategic Directions for the 2022-25 triennium. Therefore, EdUHK acknowledges the need to put in place a robust governance arrangement for regional cooperation initiatives, including but not limited to the development and operation of the GBA campus as well as the associated teaching and learning activities and research collaboration, etc., to ensure strong leadership and effective oversight by the university as appropriate.

6. UGC FUNDING ALLOCATION TO THE EDUCATION UNIVERSITY OF HONG KONG

50.   The amount of the block grant to the UGC-funded sector as a whole comprises three elements, with the Teaching Portion accounting for about 78%, the Research Portion accounting for about 20%, and the Professional Activity Portion accounting for about 2% when both the "existing pot of money" and the "new pot of money" for the first year of undergraduate studies under the "3-3-4" Academic Structure are taken together. As set out in the Provisional Allocation Letter on the recurrent grants for the 2022-25 Triennium, the recurrent grants to be provided to EdUHK in the form of block grants during the 2022-25 triennium will be **HK$3,070.1 million**. This figure is indicative, which may be adjusted when actual competition results on the allocation of the research postgraduate student places and RGC projects are available. The determination of the amount of the block grant to EdUHK is made on the basis of the student number targets approved by the Government as follows –

Approved Student Number Targets@ (in fte terms) for the 2022-25 Triennium

	2022/23	2023/24	2024/25
Sub-degree	910	895	895
Undergraduate	4 502	4 753	4 737
- FYFD (intake places)	603	593	593
- Senior Year (intake places)	424	424	424
Taught Postgraduate	324	328	328
Research Postgraduate#	2	2	2

@   Approved Student Number Targets are student places unless specified.
#   Provisional Figures of the allocation of 600 student places within the total number of 5 595 under the Planning Exercise for the 2022-25 triennium. They are subject to the result of a comprehensive review on the allocation of research postgraduate places being carried out by the UGC.
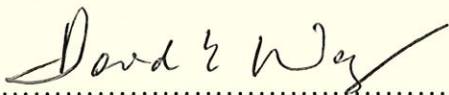
Other UGC funding

51.   There are circumstances where the formula-based funding model cannot address all the various needs of the universities. As such, the UGC has made provision for specific requirements in each planning cycle, such as the funding to be allocated for Areas of Excellence Scheme, Earmarked Research Grants and the Teaching Development and Language Enhancement Grant, which should only be used for the specified purposes and in accordance with the arrangements as promulgated by the UGC.

7. FORMAL AGREEMENT

52.   This University Accountability Agreement represents an agreement between The Education University of Hong Kong and the University Grants Committee.

Signed for and on behalf of The Education University of Hong Kong by

....   28 April 2022
....
Dr David Wong Yau-kar   Date
Council Chairman
The Education University of Hong Kong

....   25 APRIL 2022
....
Prof Stephen Cheung Yan-leung   Date
President
The Education University of Hong Kong

Signed for and on behalf of the University Grants Committee by

....   22 April 2022
....
Mr Carlson Tong   Date
Chairman
University Grants Committee

....   22 April 2022
....
Professor James Tang   Date
Secretary-General
University Grants Committee