

Draft
(as at May 2012)

University Grants Committee

Research Assessment Exercise 2014

Guidance Notes

Contents

This document consists of the Guidance Notes, a set of forms numbered Table 1, and Appendices A to G. The document is also accessible from the UGC Web at <<http://www.ugc.edu.hk>>.

Distribution

Each institution should disseminate this document to every member of its academic staff, and to every member of its administrative staff responsible for research policy and support, in order that the aims, principles and methodology of the RAE are fully understood. Institutions may ask their staff members to access this document from the UGC Web.

Enquiries

All enquiries should be routed through respective RAE coordinating offices of institutions.

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I. EXECUTIVE SUMMARY

1.1 Since 1993, the University Grants Committee (UGC) conducted four Research Assessment Exercises (RAEs) to assess the research quality of institutions and to encourage world-class research. The upcoming 2014 assessment will produce quality profiles of UGC-funded institutions, using international benchmarks and sharpened measures, to delineate their areas of relative strengths and weaknesses. The 2014 RAE results will be used to inform the distribution of part of the research portion of the UGC Block Grant to institutions in a publicly accountable way.

1.2 Currently the research portion accounts for 25% of the Block Grant. To propel Hong Kong's research to a higher level of excellence, we will introduce a new element of competition to research funding: the results of annual competitions for RGC research grants will, over a course of nine years, account for half of the research portion (i.e. 12.5% of the Block Grant). The 2014 RAE results will inform the other half of the research portion (i.e., from about 20% in 2016/17 to about 12.5% in 2021/22).

1.3 Census date: September 2013; period of assessment: 6 years.

1.4 The 2014 RAE has the following main features similar to those of the 2006 RAE:

- (a) benchmarking against international research standards;
- (b) comparing cost centres (rather than individual staff members): the research quality of a cost centre (or an academic unit) within an institution will be compared with cost centres of a comparable discipline in other institutions (e.g. History with History, not History with Physics);
- (c) Carnegie Foundation's definition of four types of scholarships: discovery, integration, application and teaching;
- (d) co-authored research outputs from different institutions may be submitted; and
- (e) appointing local and non-local members on the assessment panels. In appointing non-local panel members, depending on the nature of the discipline, due consideration will be given to knowledge of Chinese and local conditions.

1.5 The following new features will be introduced in the 2014 RAE:

- (a) research outputs will be classified into the following categories to sharpen measurement of research quality, especially at the top end:

- 4 star: world leading
- 3 star: internationally excellent
- 2 star: international standing

1 star: regional standing
unclassified.

- (b) research outputs will account for 80% of weighting; research inputs (i.e. peer-reviewed research grants) and esteem research measures (e.g. research awards and industry research grants and contracts) together 20% of the weighting;
- (c) each eligible academic staff may submit up to 4 research outputs; up to 2 items may be submitted for double-weighting if justifiable by the amount of research effort (e.g. single-authored monographs);
- (d) a new researcher who completed a PhD degree, or first took up an academic appointment in Hong Kong or elsewhere (whichever date is the earlier) 50 months before the census date or earlier may proportionately reduce the number of submitted outputs;
- (e) increased number of non-local experts in assessment panels: non-local experts will form a majority to minimize conflict of interest and enhance the credibility of assessment; and
- (f) both Convenors and Deputy Convenors of RAE panels will be non-local; efforts will be made to ensure that either the Convenor or the Deputy Convenor has a good knowledge of Hong Kong for disciplines requiring such knowledge.

1.6 RAE results in the form of quality profiles will be announced and will inform UGC's allocation of research funding to reward, support and encourage more world class research conducted by UGC-funded institutions. Funding allocation after the completion of the 2014 RAE exercise will be formulated and executed in a fair and transparent manner, taking into account sustainability and stability of institutional funding.

II. PURPOSE AND PRINCIPLES OF RAE

(A) Origin of RAE

2.1 Since 1993, the UGC has adopted a zero-based funding model which allocates funding to meet both the objectives that each institution is expected to accomplish during the funding period, and according to the quality of its recent performance.

2.2 UGC funding of each institution is made up of two main elements: provision for teaching (about 75%); and provision for research (about 25%). It is the UGC's intention that public funds in support of research should be allocated preferentially to those institutions which demonstrate that they can use them well as reflected by their performance, so that institutions can more effectively pursue world class research. There is therefore a need to assess research performance in some way to determine the funding level.

2.3 The Research Assessment Exercise (RAE) is thus part of the UGC's performance-based funding assessment process. It aims to assess the quality of research of the UGC-funded institutions by cost centre (rather than individual staff members) as one of the key factors for allocating part of the research portion of the institutional recurrent grant in a publicly accountable way. In essence, the RAE measures the research quality of a cost centre within an institution in comparison with cost centres of a comparable discipline in other institutions (e.g. History with History, not History with Physics), using international benchmarks. While the RAE will inform the distribution of the institutional recurrent Block Grant amongst institutions, each institution has full discretion to allocate such funding within the institution.

2.4 To avoid doubt, it is not the aim of the RAE to produce a league table of UGC-funded institutions. In fact, the quality profiles of cost centres cannot be converted into a simple linear scale. Nevertheless, the quality profiles of the various cost centres of an institution will delineate its areas of relative strength.

2.5 Although the RAE is based on individual research outputs, the UGC wishes to stress that it is **not** intended to be an assessment of individuals' research performance. Rather, it aims to assess institutional research performance by cost centre. A subject assessment panel will produce a research profile for each cost centre. Institutions should not use the inferred information for internal evaluation of the performance of the researchers concerned, because staff appraisal must involve dimensions other than research, however broadly defined. Even for research alone, methodologies that are appropriate for assessment in the aggregate for funding purposes may not be appropriate for the assessment of the performance of individuals for purposes of personnel decisions.

(B) UGC Policy on Research and the 2014 RAE Objectives

2.6 There have been significant developments in the general policy background since the 2006 RAE.

2.7 As mentioned in the UGC's Report "Aspirations for the Higher Education System in Hong Kong" published in December 2010, and further articulated in a paper provided to the Legislative Council Panel on Education in July 2011 (LC Paper No: CB(2)2291/10-11(07)), the UGC intends that over a period of nine years starting from 2012/13, half of the portion of the funding reserved for research, i.e., 12.5% of the Block Grant, will be progressively awarded on a competitive basis by reference to the success of individual institutions in the Research Grants Council's (RGC) grants, subject to a review before the end of the 2012-15 triennium.

2.8 At the same time, within five years from 2012/13, 50% of all research postgraduate places will be allocated either through direct competition or by reference to other competitive schemes, as compared with the current practice of allocating almost all research postgraduate places on a historical basis.

2.9 As mentioned in the same Legislative Council paper, the UGC will conduct a new RAE in 2014 with sharpened measurement as a basis for distributing

that part of the research portion of the Block Grant which is not awarded per paragraph 2.7 above.

2.10 In essence, the primary purpose of the 2014 RAE is to assess the quality of research of UGC-funded institutions on a sharpened basis by cost centre (not individual staff members) to drive excellence, using outputs, inputs and esteem measures; the result will be one of the key factors for allocating part of the research portion of the institutional recurrent Block Grant in a publicly accountable way. Results of the RAE 2014 will be communicated on a cost centre basis without disclosing the identity of individual academic staff.

2.11 The UGC wishes to strongly emphasize that the RAE does not imply a disproportionate interest in research to the possible detriment of teaching quality. Both teaching and research are important and inter-related elements in higher education. Indeed, the bulk of the recurrent grants allocated to institutions is and should continue to be attributed to teaching. Nevertheless, it is necessary for the UGC to adopt different approaches to assess the funding requirements for teaching and research in view of the different nature of these activities.

2.12 The UGC is of the view that research is not an isolated activity; rather it should support and illuminate teaching and learning. On the definition of research, the UGC considers it important to maintain the Carnegie definition of scholarship in the 2014 RAE to reinforce further the message of a broadened definition of scholarship so that high quality output in all forms of scholarship will be encouraged and assessed across a broad front. This will help address the perceived bias in favour of basic/traditional research. The word 'research' in this document should be read in this context.

2.13 The 2014 RAE will continue to identify and measure, on the basis of outputs, the following kinds of scholarship :

- (a) scholarship of discovery;
- (b) scholarship of integration;
- (c) scholarship of application; and
- (d) scholarship of teaching.

2.14 A brief definition of these four kinds of scholarship, adapted from the two Carnegie Foundation's Special Report entitled "Scholarship Reconsidered: Priorities of the Professoriate", 1990 and "Scholarship Assessed: Evaluation of the Professoriate", 1997 are at **Appendix A**.

2.15 Following the practice in the 2006 RAE, each institution will be required to submit a Research Strategy Statement to reflect its research philosophy, vision and priorities in relation to its role and stage of development, and the distribution of research efforts in the four categories of scholarship and (where appropriate) across disciplines.

2.16 The Research Strategy Statement should state and justify the institution's selected research focus areas, its existing strengths and standard, as well as its overall long-term research strategy. A template for preparing the Research Strategy Statement is at **Appendix B**. The declared research strategy will not be assessed but will provide a context for the Panel's assessment of the institution and of the cost centres. It is expected that the RAE submissions will be consistent with the strategy at the institution and cost centre levels.

(C) Background to 2014 RAE

2.17 So far, four assessment exercises have taken place: the first RAE in 1993, the second in 1996, the third in 1999 and the fourth in 2006.

2.18 The first RAE in 1993 was essentially modelled on the UK system and was implemented with the help of external consultants. A quality threshold which was not overly stringent was used. The second and third RAEs were built on the basis of the previous RAEs, but giving more recognition to the call for more diversity.

2.19 The size of the panels was expanded from 111 members in 1996 to 180 in 1999 and then to 208 in 2006. The number of non-local panel members was significantly increased from 15 in 1996, 42 in 1999, to 65 in 2006.

2.20 In retrospect, the RAE has been effective in the past as a means of :

- (a) inducing improvement in research;
- (b) informing funding; and
- (c) upholding public accountability.

(D) Principles for the 2014 RAE and Consultation

2.21 In September 2011, the UGC advised institutions of the following guiding principles:

- (a) international standards be used for assessment;
- (b) measurement be sharpened, especially at the top end;
- (c) outputs and other measures such as inputs be included in assessment. While research output is not the sole parameter, it remains the main parameter;
- (d) the relative research strengths and weaknesses in institutions be measured;
- (e) international experts be engaged;

- (f) the framework in these Guidance Notes is resulted from:
- principles (a) to (e) above;
 - comments from institutions since February 2008;
 - comments from RAE Panels in 2006;
 - advice from UGC's expert consultant engaged in 2009;
 - practices in the UK and Australia;
 - the need for improvement in implementation mechanisms, e.g. to achieve the objectives and to minimize gaming; and
- (g) the UGC will determine the funding formula after the completion of the 2014 RAE, will retain the flexibility to reflect the differences in research strengths of various cost centres amongst institutions and to better differentiate in funding allocation.

2.22 Having regard to institutions' comments, the UGC decided on the framework for 2014 RAE in April 2012. Details of the UGC's decision on the RAE framework were conveyed to institutions on 27 April 2012.

(E) Outline

2.23 These Guidance Notes detail the way in which assessments will be made, the kind of information required and how it will be presented to the RAE panels for assessment. The following areas are covered by the Guidance Notes:

General

- (a) executive summary (Section I);
- (b) purpose and principles of RAE (Section II);
- (c) definition of cost centres (Section III);
- (d) eligible academic staff in each cost centre (Section IV);

Assessment of the quality of research outputs

- (e) submission of data for each eligible staff (Section V);
- (f) evaluation guidelines (Section VI);

Assessment of input and esteem measures

- (g) peer-reviewed research grant income and esteem measures (Section VII); and

Results

- (h) handling of results (Section VIII).

III. COST CENTRES

3.1 To bring departments onto a common classification system, institutions are asked to map their departments and research units onto a common list of 'Cost Centres' according to the list in **Appendix C**. The mapping should be the same as that used in the UGC's Common Data Collection Format (CDCF) returns. The cost centre forms the basis of the data for assessment.

3.2 For each cost centre, an appropriate representative from the institution, e.g. Department Head or Faculty Dean, should submit a one-page summary in the form of Table 1, giving a factual description of the research activities, including the distribution of work in the four categories of scholarship (paragraph 2.13 above), in the cost centre. The descriptive summary will not be assessed, but will provide a context for the panel's deliberations.

IV. NUMBER OF ACADEMIC STAFF IN EACH COST CENTRE

4.1 The UGC considers that the sustainability of institutions' research capacity is one of the key factors that determines the long-term research development of the higher education sector. In this regard, the UGC has decided that only academic staff who have full-time paid appointment at a UGC-funded institution for a continuous period of at least 36 months may submit information to be assessed, provided that the employment start date was no later than 1 October 2012.

4.2 Furthermore, in the light of the latest staff eligibility rules for Earmarked Research Grants promulgated by RGC in August 2011, the 2014 RAE will adhere to the same general principle of covering only core academic staff who are wholly funded by the institution proper¹ for degree or higher degree work and are within staff grades of 'Professor' to 'Assistant Lecturer'. These correspond to Staff Categories 'A' to 'I' as defined (see **Appendix D**) for the purpose of CDCF.

4.3 Institutions are required to submit a list of all academic staff who meet the above criteria regardless of whether they intend to submit items for assessment. The institutions' returns will need to be submitted to the UGC Secretariat by 2 December 2013.

4.4 Each full-time staff member reported will be counted in full-time equivalent terms against the cost centre(s) to which he/she contributes and will be expressed as a fraction (employment fraction) in the cost centre. To illustrate, a full-time staff member counted against one single cost centre will be expressed as a whole

¹ Excluding schools/arms of the continuing education and professional training and other analogous organisations.

unit '1'. A full-time staff member contributing equally to cost centres A and B will be expressed as 0.5 in cost centre A and 0.5 in cost centre B.

4.5 To avoid doubt, inclusion of staff should only make reference to their job categories, and not to whether they are research active. Moreover, justification has to be provided in respect of the following:

- (a) any staff carrying titles that would superficially suggest inclusion in Categories 'A' to 'I' (e.g. 'Professor', 'Assistant Lecturer') who are nevertheless not included; or
- (b) staff carrying titles that are significantly different from the standard ones for Categories 'A' to 'I' (e.g. 'research officer', 'director') who are nevertheless included.

4.6 The census date for the reported data is 30 September 2013.

V. ASSESSMENT OF RESEARCH OUTPUTS: SUBMISSION OF DATA FOR EACH ELIGIBLE STAFF

(A) Who to submit

5.1 Institutions are invited to submit research material in respect of any member of staff who the institution feels has output that can be assessed. Such submission should reach the UGC Secretariat by 16 December 2013.

5.2 The research submissions will normally be assessed by the subject panel that is designated for the relevant cost centre. In the case where a staff member has a strong reason to request a specific panel to review his/her submissions, such request should be indicated in the submission mentioned in paragraph 5.1 above. The subject panels will take into account the requests when considering the final assignment work.

5.3 The UGC recognizes that research, even as broadly defined in this exercise, only represents part of an institution's activities, and understands that there may be valid reasons why some valuable and respected members of staff may not, for the assessment period in question, contribute to the institution's research outputs. For example, some staff could be heavily involved in public service, or in institutional administration. Therefore each institution is free to decide, in consultation with the individual, not to make a submission, and no stigma should or will be attached to any individual in respect of whom such a decision is taken. Nevertheless, each staff member who has not submitted any research outputs for assessment will be deemed to have submitted four unclassified research outputs.

(B) What to submit

5.4 Each eligible staff member can only submit a **maximum number of four** research output items. The maximum number of items that can be submitted under each category is set out as follows:

Assessment Period ¹	'Assessment year' items		'Gap year' items	Maximum number of submission items
	1 October 2007 to 30 September 2013		1 January 2006 to 30 September 2007	
Number of research output items per eligible staff member ²	A	up to three	<u>and</u> up to one	4
	B	up to four		4

¹ See paragraph 5.8 for detailed information on assessment period.

² See Part (D) below for definition of research output items.

5.5 **Individual staff members can choose to submit fewer items.** In such a case, the missing item will be graded as “unclassified” (see paragraph 6.9).

5.6 The UGC expects the work submitted by each cost centre to show a reasonable distribution given the nature of the subject and the role of the institution. The spread of submissions across the four categories of scholarship and, where appropriate, across disciplines may provide information on the research performance of an institution against its role. However, scoring will be made without regard to the category of the items submitted.

5.7 It is suggested that each cost centre convene a meeting of staff who are considering making a submission to discuss the four categories of scholarship in relation to the centre's role and mission.

(C) Assessment period

5.8 For the purpose of paragraph 5.4 above, the assessment periods for the items under the two categories will be as follows:-

- (a) Research output items produced in the ‘assessment year’ – from 1 October 2007 to 30 September 2013; and
- (b) Research output items produced in the ‘gap year’ – from 1 January 2006 to 30 September 2007.

(D) Definition of output

5.9 All output items submitted for assessment must meet all of the following criteria:

- (a) the output contains an element of innovation;
- (b) the output and its process contribute to scholarship; and
- (c) the output is publicly accessible.

Provided that all the above criteria are fully met, it does not matter whether or not the research activities leading to the output items submitted for assessment are funded by the UGC.

5.10 The following are considered to be items falling within the research output items in paragraph 5.4 above :

- (a) any publication, patent, artifact, etc., provided it was -
 - (i) published or made publicly available in other form within the assessment period; or
 - (ii) not yet published, but officially accepted for publication (without any prior condition for its publication) within the assessment period as set out in paragraph 5.8. In this case, a letter of acceptance must be attached; or
- (b) other output that may or may not be published, e.g. drama, concert performance, video tape, computer software programme, buildings, or any creative work that can be evaluated for merit and an assessment obtained (RAE panels to decide on the basis of the criteria in (a) above. See also paragraph 2.13.)

5.11 On the other hand, proprietary research that does not result in output that is accessible to the public and the profession is **not** accepted as an output for this purpose. However, output items of exhibitions and demonstrations relating to proprietary research which are (i) accessible to the public and the profession, (ii) non-traditional output for assessment, and (iii) contain enough information for evaluation, can be submitted for assessment.

5.12 To avoid doubt, the UGC wishes to stress that output items need **not** be restricted to papers in journals, and **all output items will be assessed without regard to the media or language of publication**. In order to facilitate the assessment process, institutions are required to alert the UGC in the list of output submissions by academic staff (see paragraph 5.4) if a submission is non-English so that appropriate assistance can be identified in good time. **In addition, ‘assessment year’ items and ‘gap year’ items (see paragraph 5.8 above) are treated equally.**

5.13 To minimize the financial and administrative burden in clearing copyright, manuscripts of final accepted version of journal articles may be submitted for assessment if this is allowed by the copyright owner, but it is not appropriate to

submit the version before peer review, as this may differ much from the published version.

(E) Double-weighted outputs

5.14 An academic may request that outputs of extended scale and scope be double-weighted (count as two outputs) in the assessment. No single output may be counted as more than double-weighted. Given that a maximum of four outputs may be listed against each staff member, no more than two outputs listed against an individual member should be double-weighted. When requesting double-weight, the academic must reduce the number of outputs by one, but may submit a ‘reserve’ output for each double-weight request. The panels will decide whether to double-weight each output so requested. Where the panel does not accept the case for double-weighting, it will count the submitted output as a single output, and grade the ‘reserve’ output instead. If no reserve output is submitted, the “missing” output will be graded as “unclassified”.

5.15 There is no presumption that double-weighted outputs will be assessed at a higher quality. The following procedure/criteria are relevant:

- (a) the academic requesting the double-weighting of a research output should justify his/her request in a statement not more than 100 words as to why the output merits double-weighting, e.g. how the research output (e.g. its scale or scope) required research effort equivalent to that required to produce two or more single outputs;
- (b) generally, journal articles, book chapters or conference papers are not normally permitted to double-weight, whereas single-authored monographs may be considered, for example;
- (c) co-authored items may in principle be identified and double-weighted by one or more of their authors, bearing in mind that the double-weighting claim should apply to the effort of the submitting author. However, please see the rule in paragraph 5.17 on multiple submissions of a co-authored item by the same institution; and
- (d) an academic may request to double-weight a gap year item. However, the corresponding reserve item must be within the assessment period.

(F) New Researchers

5.16 New researchers present a special case, since they may not have had time to produce significant or publishable outputs according to the RAE definition. Therefore, all staff who first took up an academic appointment (in Hong Kong or elsewhere) or completed a PhD degree (whichever is the earlier) only within the last 50 months, i.e. on or after 1 August 2009, will be given special consideration. Whereas an academic other than a new researcher submitting less than four research outputs will have any “missing” output graded as “unclassified”, a new researcher may reduce the number of outputs without such penalty according to the following scales. However, a new researcher can choose to submit up to four research outputs if he/she so wishes:

Time before the census date	Event#	Number of outputs may be reduced by up to
39 to 50 months	Between 1 August 2009 and 31 July 2010 inclusive	1
27 to 38 months	Between 1 August 2010 and 31 July 2011 inclusive	2
Less than 26 months	On or after 1 August 2011	3

(# Event refers to the date of completion of a PhD degree, or the date the academic first took up an academic appointment in Hong Kong or elsewhere (staff categories “A” to “I” in Hong Kong, or an appointment not below assistant professorship or equivalent outside Hong Kong), whichever is the earlier).

(G) Co-authorship

5.17 A co-authored research output submitted by different institutions may be accepted and counted as one output for each of the institution as long as each submitting academic has made a substantial contribution to the co-authored output. Submission of a co-authored research output by two or more academics within the same institution (irrespective of whether or not they are from one or more cost centres) will however count as one output. If a co-authored research output is submitted by more than one academic within an institution, the institution needs to flag this, so that the relevant panel will rate this once, with the other submission(s) graded as unclassified. If two or more panels are involved, the panels will collectively decide how to rate such a co-authored item from the same institution.

(H) Data required

5.18 Each item falling within paragraph 5.4 above should be labeled as Dis, Int, App, Tch according to the four categories of scholarship of discovery, integration, application and teaching as set out in paragraph 2.13 above. In respect of each output item, institutions are required to provide access to the full set of the output to be assessed by panel members and external reviewers (the manner to provide access will be separately specified by the UGC). In addition, the following information may need to be provided:

- (a) where appropriate, documentary evidence to demonstrate the impact of the research outputs, e.g. book reviews, etc. Specifically, whether

metrics are to be used to inform the peer review process will be decided by each of the 13 RAE panels. If a panel wishes to use metrics to inform its decision, it will advise institutions on the rating system and quantifiable parameters. Otherwise, no metric should be included;

(b) in the case of non-traditional items as described in paragraph 5.10(b), the staff member must provide extra information on (i) novelty of the work, (ii) the deliverables, and (iii) the dissemination method. In addition, particular attention should be drawn to the following:

- for submissions relating to performing arts, such as drama, music composition, stage performance or a piece of creative work, they should include recordings which need to be made available to the panel members and external reviewers (as separately specified by the UGC);
- for submission in the areas of design, buildings, multi-media, or visual arts, photographs of the originals must include dimensions and good reproduction (method of access also to be separately specified by the UGC); and

(c) in other cases, sufficient information for the items to be assessed.

5.19 For submissions in categories (a) & (b) of paragraph 5.18, the description required for each is limited to one A4 page.

(I) Sample submission

5.20 A sample submission is shown in **Appendix E1**, and the UGC will separately liaise with institutions on the format of electronic submission.

(J) Further information

5.21 If a RAE panel requires any further information, it will approach the institution(s) concerned through the UGC Secretariat for assistance.

VI. EVALUATION GUIDELINES ON RESEARCH OUTPUTS

6.1 The scope of RAE assessment includes three components: research output (80%); research grants and esteem measures (20%). This section sets out the evaluation guidelines for research outputs.

(A) Panels

6.2 Since the RAE covers the whole range of cost centres, with different types of academic research outputs, the cost centres are grouped and placed under separate panels for assessment. The preliminary grouping of the cost centres and the list of RAE panels are in **Appendix F**.

6.3 Each panel will consist of mainly non-local academics and some local academics in the relevant disciplines and, where appropriate, also professionally qualified people from business, government, industry and the arts. They will be appointed on an **ad personam** basis and will be specifically required to refrain from representing the interests of their own institutions. The standards will thus ultimately be set and the judgments made by academic peers and not by the UGC.

6.4 To ensure that non-traditional output items receive adequate attention, a sub-group with suitable membership (including members drawn from outside academia, where appropriate) may be constituted under each panel to evaluate such items separately, and to make recommendations regarding their assessment to the full panel.

6.5 Institutions have been separately invited to provide before mid June 2012 views on the proposed mapping of cost centres to the subject panels for the 2014 RAE and nomination of panel members, so that RAE panels can be formed in time.

(B) Objectives of research

6.6 The UGC perceives two objectives for research in UGC-funded institutions:

- (a) to participate in the global endeavour to extend human understanding thus keeping the knowledge base in the institutions current; and
- (b) to encourage research tied to the interests and needs of the community.

6.7 The UGC will continue to encourage research outputs with social relevance. These outputs will be captured and assessed in the context of the four types of scholarship (e.g. the scholarship of application) as defined in **Appendix A**.

6.8 The UGC will strive to ensure broad comparability across disciplines, but it will be up to each panel, with its subject expertise and knowledge of local circumstances, to translate the general definitions into more precise benchmarks appropriate to each discipline or group of disciplines. The panels will also be expected to interpret the guidelines with due regard to the nature of those subjects that may, by their nature, necessarily have a strong regional focus.

(C) Evaluation of the quality of research outputs

6.9 Research outputs will be assessed in terms of their originality, significance and rigour with reference to international standards into five categories:

- (a) four star : world leading;
- (b) three star : internationally excellent;
- (c) two star : international standing;
- (d) one star : regional standing; and
- (e) unclassified.

6.10 The five categorizations are broadly defined as follows:

- (a) a panel will grade a research output as four star “world leading” in terms of originality, significance and rigour if the panel sees evidence of, or potential for some of the following characteristics:
 - agenda setting/primary or essential point of reference
 - great novelty in thinking, concepts or results, or outstandingly creative
 - developing or instrumental in developing new paradigms or fundamental new concepts for research
 - research that is leading or at the forefront of the research area, or having major/profound influence.
- (b) a panel will grade a research output as three star “internationally excellent” in terms of originality, significance and rigour if the output falls short of the highest standard of excellence, but the panel sees evidence of, or potential for some of the following characteristics:
 - important point of reference or makes important contributions likely to have a lasting influence
 - significant influence.
- (c) a panel will grade a research output as two star “international standing” in terms of originality, significance and rigour if the panel sees evidence of, or potential for some of the following characteristics:
 - a recognised point of reference or of some influence
 - provides useful or valuable knowledge/influence
 - incremental advances in knowledge/thinking/practices/paradigms
- (d) a panel will grade a research output as one star “regional standing” if the panel sees some evidence of, or potential for some of the following characteristics:
 - useful contribution of minor influence

- (e) a panel will grade a research output as “unclassified” if it falls below the quality levels in (a) to (d) above or does not meet the definition of research used for the 2014 RAE.

(D) Other evaluation guidelines

6.11 To minimize any possible divergence in judgment with regard to the use of international standards, all RAE subject panels will be asked to make reference to the following amplifications:

International excellence This should not be equated with output items published outside of Hong Kong or the region; rather it is intended that evaluation should be made with reference to the best international norms in that discipline or sub-discipline. It is possible that in some particular disciplines, such norms are set by output items published in Hong Kong or the region.

International vs. regional A distinction should be made in qualitative terms between (a) a publication that is regional because it addresses regional or local issues, and (b) a publication that is regional because it does not meet the standards of rigour and scholarship expected internationally in that discipline. In the former case, the categorization of the item will not be adversely affected; in the latter, it will be.

6.12 The quality of each item will be judged on its own merits and **not** solely in terms of its category (e.g. a journal paper is not necessarily of higher or lower merit than a book chapter), medium or language of publication. Further, the panels will be instructed not to adopt a mechanical approach during the assessment.

6.13 Output items will be judged on their own merits and not simply on their category or medium of publication. However, panels should recognize that there could be quality output items in media that may not be prestigious. Therefore, the panel (or designated member(s)) need to study each item in question and not judge it automatically according to the medium of publication.

VII. EVALUATION GUIDELINES ON PEER-REVIEWED RESEARCH GRANTS AND ESTEEM MEASURES

(A) Assessment on dimensions other than outputs

7.1. Taken together, competitive peer-reviewed research grants and esteem measures account for 20% of the weighting, as against 80% for research outputs. The default weighting split between peer-reviewed research grants and esteem measures is

10/10, but a panel may justify a departure from the default weighting split (to either 15/5 or 5/15).

(B) Data on external competitive peer-reviewed grants

7.2 Each cost centre is required to fill in a proforma at Appendix E-2 to provide data on competitive peer-reviewed grants from outside the institution:

- (a) grant income (not initial award amount) received for each of the academic years from 2007/08 to 2012/13, broken down into funding sources of UGC/RGC, other Hong Kong Government funding, Hong Kong based non-government funding, and outside Hong Kong;
- (b) indirect/on-costs are to be included. For RGC's Earmarked Research Grants awarded in 2011/12 and thereafter, indirect/on-costs may not be transferred to institutions at the same time as project funding, but the indirect/on-costs should nevertheless be included in the academic year in which the corresponding project funding is paid;
- (c) where more than one cost centre is involved, the grant income should be divided between the cost centres. Where research projects are funded from several sources, the income should be allocated under respective headings to reflect the actual source of income;
- (d) where a project is undertaken by several institutions or organizations, grant income received and spent by the institution making the report should be included. The co-ordinating institutions should not include any portion of income passed on to other institutions or organizations;
- (e) researchers may on occasion move between institutions during the progress of a project. If the original institution continues to receive income from the grant, then this should be reported by that institution alone. If funding is transferred to another institution, the other institution should report the amount so transferred; and
- (f) apart from reporting the amount of grant income received, the amount per full-time equivalent (fte) basis should also be included.

7.3 Further, each cost centre is required to provide an attachment, providing the number of grants under each funding source, and listing each project (project title, funding body (with website if available), duration, total award amount and percentage of total award amount for the cost centre) for projects with an award amount exceeding HK\$ 1 million. A panel has discretion to vary this amount.

7.4 On the basis of the above information, a panel will give an overall rating on a cost centre by evaluating it against other comparable cost centres within the same panel. The panel will normally give a single quality rating out of the following five rating categories, but may decide to allocate a profile across two quality levels:

- (a) four star : exceptional;

- (b) three star : excellent;
- (c) two star : very good;
- (d) one star : good; and
- (e) unclassified.

(C) Data on esteem measures

7.5 Each cost centre is required to provide data on esteem measures on **Appendix E-3**, as follows:

- (a) each cost centre is required to provide esteem measures in respect of submitting staff. A maximum of four measures may be listed against each staff (not exceeding 100 words for each staff);
- (b) esteem measures in respect of groups of staff or the cost centre as a whole may also be included, but in any case the total number of esteem measures entered should not exceed the number of fte staff x 4;
- (c) esteem measures should be conferred by a body outside the institution. They should demonstrate the distinguished achievement of individual researchers, groups or the cost centre as a whole. They may include, but are not limited to the following relating to staff submitted and to the assessment period:
 - editorship of academic journals
 - research-based awards, honours, or prizes
 - significant grants or donations for research which are not competitive or peer-reviewed (e.g. some industry research grants)

7.6 In rating esteem measures, the panel benchmarks against international standard and is evaluating a cost centre of an institution against other comparable cost centres within the same panel. The panel will normally give an overall single quality rating out of the following five rating categories, but may decide to allocate a profile across two quality levels :

- (i) four star : exceptional;
- (ii) three star : excellent;
- (iii) two star : very good;
- (iv) one star : good; and

- (v) unclassified.

VII. HANDLING OF RESULTS

(A) Construction of quality profiles on cost centres

8.1 As indicated earlier, the primary purpose of the RAE is to assess the research performance of UGC-funded institutions by cost centre; it is **not** intended to evaluate individual staff. The subject panels will only produce results by cost centre in each institution.

8.2 In 2006 RAE, the results of the RAE of individual institutions were conveyed to the Heads of the institutions, together with the sector-wide average and median indices of the cost centres. However, the sector-wide average and median indices of the cost centres found in fewer than three institutions would not be provided. The 2014 RAE will follow this practice.

8.3 For the 2014 RAE, the sub-profiles of research outputs, peer-reviewed grants and esteem measures of a cost centre will be combined to form an overall quality profile as per the worked example at **Appendix G**.

(B) Transparency

8.4 In line with the principle of public accountability and the practice in 2006 RAE, the UGC has decided that the 2014 RAE results should be released to the public as follows:

- (a) operational details of the process, such as panel membership, evaluation methodology and the meeting schedules of panels, will be published for general information;
- (b) RAE results at the sector wide level will be published (except for cost centres which are only found in fewer than three institutions);
- (c) at the institutional level, aggregate results in broad disciplinary areas will be published; and
- (d) some reading guides will be developed to help the public and the press understand the statistics.

8.5 The results, together with other relevant factors, will inform the UGC's distribution of part of the research funding of the block grants for institutions until the results for any future RAE are available. The funding allocation will be on the basis that high quality research according to international standard will be adequately funded so that more world class research will be conducted by UGC-funded institutions. In addition, funding will be allocated in a fair and transparent manner, taking into account sustainability and stability of institutional funding.

(C) Timetable for the submission of data for 2014 RAE

8.6 To summarize, institutions are requested to submit the following Tables and supporting documents in accordance with the dates shown below :

2 December 2013	- A list of eligible academic staff for each cost centre as mentioned in paragraph 4.3
16 December 2013	- Research Strategy Statement of the institution - <u>Table 1</u> for each cost centre - research output items as described in paragraph 5.4 and data on such research outputs - data on competitive peer-reviewed grants and esteem measures (Appendices E2 and E3)

(D) Form of submission

8.7 The form of submission of Table 1 and any other data submitted in accordance with these Guidance Notes should be forwarded to the UGC Secretariat in a manner to be separately prescribed by the UGC. In view of the large volume of written submissions involved, **institutions are requested to ensure that the submissions are complete, clearly labeled, and print copies are of good, readable quality.** The Secretariat is undertaking work regarding the establishment of an electronic processing system for 2014 RAE, and may issue more operational guidelines with regard to the handling of RAE submissions.

* * * * *

UGC Secretariat
May 2012

Scholarship as defined by the Carnegie Foundation

Following the 2006 RAE, the UGC has decided that a wider definition of scholarship as defined by the Carnegie Foundation in “**Scholarship Reconsidered: Priorities of the Professoriate**”² should continue to be adopted in the 2014 RAE. In the report, the Carnegie Foundation argues that scholarship should have a broader and more efficacious meaning that would go beyond just teaching and research. The discovery of knowledge through research, the integration of knowledge, the application of knowledge and the sharing of knowledge through teaching should be treated as different forms of scholarship on a par with each other.

The Four Scholarships

2. The Carnegie Foundation considers that there is a more inclusive view of what it means to be a scholar - a recognition that knowledge is acquired through research, synthesis, practice, and teaching. Scholarship should comprise four separate, yet overlapping functions: They are the scholarship of discovery; the scholarship of integration; the scholarship of application; and the scholarship of teaching.

(a) Scholarship of Discovery

The scholarship of discovery, at its best, contributes not only to the stock of human knowledge but also to the intellectual climate of an institution. It is a scholarly investigation, closest to what is meant when academics speak of “research”, that confronts the unknown and creates new knowledge. It is not just the outcomes, but also the process, and especially the passion, that gives meaning to the effort.

(b) Scholarship of Integration

It is a serious, disciplined work that seeks to interpret, draw together and bring new insight to bear on original research. This type of scholarship is closely related to that of discovery. Such work is increasingly important as traditional disciplinary categories prove confining, forcing new topologies of knowledge. This scholarship also means interpretation, fitting one's own research – or the research of others – into larger intellectual patterns. A variety of scholarly trends – interdisciplinary, interpretive, integrative – are examples of scholarship of integration.

(c) Scholarship of Application

It is a dynamic process of creating new intellectual understandings arising out of theory and practice. The term itself may be misleading if it suggests that knowledge is first “discovered” and then “applied”. The process is in fact more

² A Special Report of the Carnegie Foundation for the Advancement of Teaching, by Ernest L Boyer, 1990

dynamic; new intellectual understanding can arise out of vital interaction between theory and practice and one renews the other.

(d) Scholarship of Teaching

It is a process that transforms and extends knowledge while transmitting an intelligible account of knowledge to the learners. As a form of scholarship, teaching encompasses a wide range of activities beyond classroom instruction.

Assessment of Scholarship

3. The broadening of the definition of scholarship helps ensure that scholarly work in areas both within and outside discovery can be appropriately recognized and rewarded, yet it does not seek to open the floodgate by treating anything as scholarship. This leads to the question of how the work should be documented and the criteria that should be used to assess its quality.

4. Academics feel relatively confident about their ability to assess specialized research, but they are less certain about what qualities to look for in other kinds of scholarship, and how to document and reward that work. In “Scholarship Assessed: Evaluation of the Professoriate”³, the authors suggest that the four kinds of scholarly activities, regardless of how variable their products, must be evaluated according to a common set of criteria (referred to as ‘quality standards of excellence’ in the publication set out in footnote 2) that captures and acknowledges what they share as scholarly acts. They are:

- clear goals;
- adequate preparation;
- appropriate methods;
- significant results;
- effective presentation; and
- reflective critique.

5. The authors of the book also suggest a list of questions (see below) for each criterion to be considered when assessing a scholar’s achievements in a particular category of scholarship. In return, scholars should also take into account these guiding questions when preparing their work for evaluation :

- (a) For clear goals, the possible questions include whether the scholar states the basic purposes of his or her work clearly; whether the objectives are realistic and achievable; and whether he or she identifies important questions in the field.

³ A Special Report of the Carnegie Foundation for the Advancement of Teaching, by Charles E Glassick, Mary Taylor Huber, and Gene I. Maeroff, 1997

- (b) For adequate preparation, the possible questions include whether the scholar shows an understanding of existing scholarship in the field; whether the necessary skills are brought to his or her work; and whether the necessary resources are brought together to move the project forward.
- (c) For appropriate methods, the possible questions include whether the scholar uses methods appropriate to the goals; whether they apply methods effectively; and whether they are ready to modify procedures in response to changing circumstances.
- (d) For significant results, the possible questions include whether the scholar actually achieves the goals he or she was aiming for; whether the scholar's work adds consequentially to the field; and whether the scholar's work opens additional areas for further exploration.
- (e) For effective presentation, the possible questions include whether the scholar uses a suitable style and effective organization to present his or her work; whether they use appropriate forums for communicating work to intended audiences; and whether the scholar presents his or her message in all of these forms with clarity and integrity.
- (f) For reflective critique, the possible questions include whether the scholar critically evaluates his or her own work; and whether they bring an appropriate breadth of evidence to their critique. For instance, do they talk to other people, to their peers, to their students, to their clients, and does the scholar use evaluation to improve the quality of their future work?

6. If a particular piece of work is going to be evaluated as scholarship, an important and critical audience of the scholar is his or her peers. In other words, the work would not be considered as a form of scholarship until it has been documented and could be exchanged in a generalisable way so that people beyond the very local context can learn from, can critique and can build on that knowledge. For example, an interesting piece of teaching material used in a class can at most be considered a scholarly work, as it is only presented in a private encounter between a teacher and a group of students. It will not be considered a work of scholarship of teaching unless it is systematically documented and disseminated to peers of the relevant field for wider debate and exchanges. In short, the six criteria set out in paragraph 5 above will form the basis on which the respective panels would evaluate the output in a particular category of scholarship. In order to be evaluated, outputs should be properly documented to produce evidence and the panels will seek to measure the impact on the basis of benchmark to be operationalised later.

7. To summarize, the quality dimensions proposed above allow sufficient flexibility for the same set of criteria to be applied judiciously to different types of projects from different disciplinary traditions, while enabling one to keep in view the qualities that discovery, integration, application and teaching share as scholarly activities.

Institution's Research Strategy Statement

Institution's existing research policy

In view of my institution's role statement attached (institution to provide from UGC documents), and stage of development of my institution, the current research policy of my institution is as follows (maximum length one page):

Research Funding Sources

My institution derives funding for research from the following sources, and the breakdown by funding source as a percentage total of overall funding is as follows:

Distribution of research activities among the four categories of scholarship and (where appropriate) across disciplines

Based on my institution's research strategy, the distribution on research activities among the four categories of scholarship is as follows:

(Where appropriate) distribution across disciplines is as follows:

Changes Expected

In the 2006 RAE, my institution's scores by cost centre were:

Institution's existing strengths and standard:

In the long run, the overall research strategy of the institution is:

Head/Deputy Head of Institution

Date: _____

COST CENTRES
for academic departments etc.

1	clinical medicine	32	mathematics & statistics
2	clinical dentistry	33	comp studies/science (incl. IT)
3	clinical vet studies	34	law
4	nursing	35	accountancy
5	other health care professions	36	public administration
6	biological sciences	37	business studies (incl. management)
7	pre-clinical studies	38	catering
8	psychology	39	hotel management
9	other biological sciences	40	economics
10	agriculture	41	geography
11	physics & astronomy	42	social work
12	chemistry	43	other social sciences
13	materials science	44	Chinese language & literature
14	earth sciences (incl. oceanography, meteorology)	45	English language & literature
15	other physical sciences	46	Japanese language & literature
16	mechanical engineering	47	other languages
17	electrical engineering	48	translation
18	electronic engineering	49	communication & media studies
19	chemical engineering	50	history
20	production engineering (incl. manufacturing & industrial engineering)	51	other arts/humanities
21	marine engineering	52	art
22	biotechnology	53	performing arts
23	materials technology	54	music
24	textile technology	55	other creative arts
25	civil engineering	56	design
26	other technologies (incl. nautical studies)	57	education
27	architecture	58	physical education
28	building technology	59	home economics
29	planning	60	Chinese medicine
30	surveying, land	61	sociology
31	surveying, other	62	optometry
		63	rehabilitation Science
		64	creative media

Description of Academic Staff Grades “A” to “I”

Academic, Senior

- A. Professor
- B. Reader
- C. Senior Lecturer (U)
- D. Principal Lecturer (P)

Academic, Junior

- F. Senior Lecturer (P)
- G. Lecturer (U)
- H. Lecturer (P)
- I. Assistant Lecturer

Research Assessment Exercise 2014

Table 1: Description of Research Activities by Cost Centre (paragraph 3.2 of the Guidance Notes refers)

HEI code =	<input type="text" value="CityU"/>	i.e. CityU, HKBU, LU, CUHK, HKIED, PolyU, HKUST or HKU
Assessment period	<input type="text" value="071001-130930"/>	
Cost Centre =	<input type="text" value="37"/>	(code)
Date entered =	<input type="text" value="131215"/>	(yymmdd)
Total no. of eligible Staff in fte =	<input type="text" value="15.7"/>	i.e. as defined in paragraph 4.4 of the Guidance Notes

Overall View:

During the period from 1 January 2006 to 30 September 2013, the research portfolio of this cost centre were as follows:

During the same period, the distribution of research activities among the four categories of scholarship in this cost centre was as follows:

Signature : _____

Name : Professor A B Lee

Post : Head, Department of Business Studies

Peer-Reviewed External Research Funding Received

institution: _____

cost centre: _____

fte as at census date of 30 September 2013: _____

Academic year	External research funding received (\$HK) ^(a)				
	UGC/RGC	other Hong Kong government funding	Hong Kong-based non-government sources	outside Hong Kong	Total
2007/08 (per fte)					
2008/09 (per fte)					
2009/10 (per fte)					
2010/11 (per fte)					
2011/12 (per fte)					
2012/13 (per fte)					

(a) See section (VII)(B) of the Guidance Notes.

institution: _____

cost centre: _____

(a) total number of UGC/RGC projects funded by the UGC/RGC for the period 2007/08 to 2012/13: _____

(b) total number of projects funded by other Hong Kong Government departments for the period 2007/08 to 2012/13: _____

funding body	project title	duration	total award amount (\$million)	percentage of award to cost centre

(c) total number of projects funded by Hong Kong based non-government bodies for the period 2007/08 to 2012/13: _____

funding body	project title	duration	total award amount (\$million)	percentage of award to cost centre

(d) total number of projects funded by bodies outside Hong Kong: the period 2007/08 to 2012/13: _____

funding body	project title	duration	total award amount (\$million)	percentage of award to cost centre

(Note: only projects with an award amount exceeding HK\$1 million should be listed in this attachment, but a panel has discretion to vary this amount)

Submission on Esteem Measures

institution: _____
 cost centre: _____
 fte as at census date of 30 September 2013: _____

Esteem measures relating to individual academics:

Name of academic	Esteem measures (maximum 100 words per academic)

Total No. of individual esteem measures: _____ (A)

Exteem measures relating to a group of researchers or to the cost centres as a whole (not more than 100 words per measure)

Serial Number	Esteem measures (maximum 100 words per measure)
1	
2	
3	

Total No of group esteem measures: _____ (B)
 where (A) + (B) should not be greater than 4 x fte

Panels on 2014 RAE

Cost Centre		Panel Title	Panel No.
6	biological sciences	Biology	1
9	other biological sciences		
10	agriculture		
22	biotechnology		
1	clinical medicine	Health Sciences	2
2	clinical dentistry		
3	clinical vet studies		
4	nursing		
5	other health care professions		
7	pre-clinical studies		
60	Chinese medicine		
62	optometry		
63	rehabilitation service		
11	physics & astronomy	Physical Sciences	3
12	chemistry		
13	materials science		
14	earth sciences (incl. oceanography, meteorology)		
15	other physical sciences		
32	mathematics & statistics		
17	electrical engineering	Electrical & Electronic Engineering	4
18	electronic engineering		
33	comp studies/science (incl. IT)	Computer Science / Information Technology	5
16	mechanical engineering	Engineering	6
19	chemical engineering		
20	production engineering (incl. manufacturing & industrial engineering)		
21	marine engineering		
23	materials technology		
24	textile technology		
26	other technologies (incl. nautical studies)		
25	civil engineering	Built Environment	7
27	architecture		
28	building technology		
29	planning		
30	surveying, land		
31	surveying, other		
34	law	Law	8
35	accountancy	Business Studies & Economics	9
37	business studies (incl. management)		
38	catering		
39	hotel management		
40	economics		

Appendix F (cont'd)

8	psychology	Social Sciences	10
36	public administration		
41	geography		
42	social work		
61	sociology		
43	other social sciences		
49	communication & media studies		
44	Chinese language & literature	Humanities	11
45	English language & literature		
46	Japanese language & literature		
47	other languages		
48	translation		
50	history		
51	other arts/humanities		
52	art	Creative Arts, Performing Arts & Design	12
53	performing arts		
54	music		
55	other creative arts		
56	design		
64	creative media		
57	education	Education	13
58	physical education		
59	home economics		

Quality profile of a cost centre

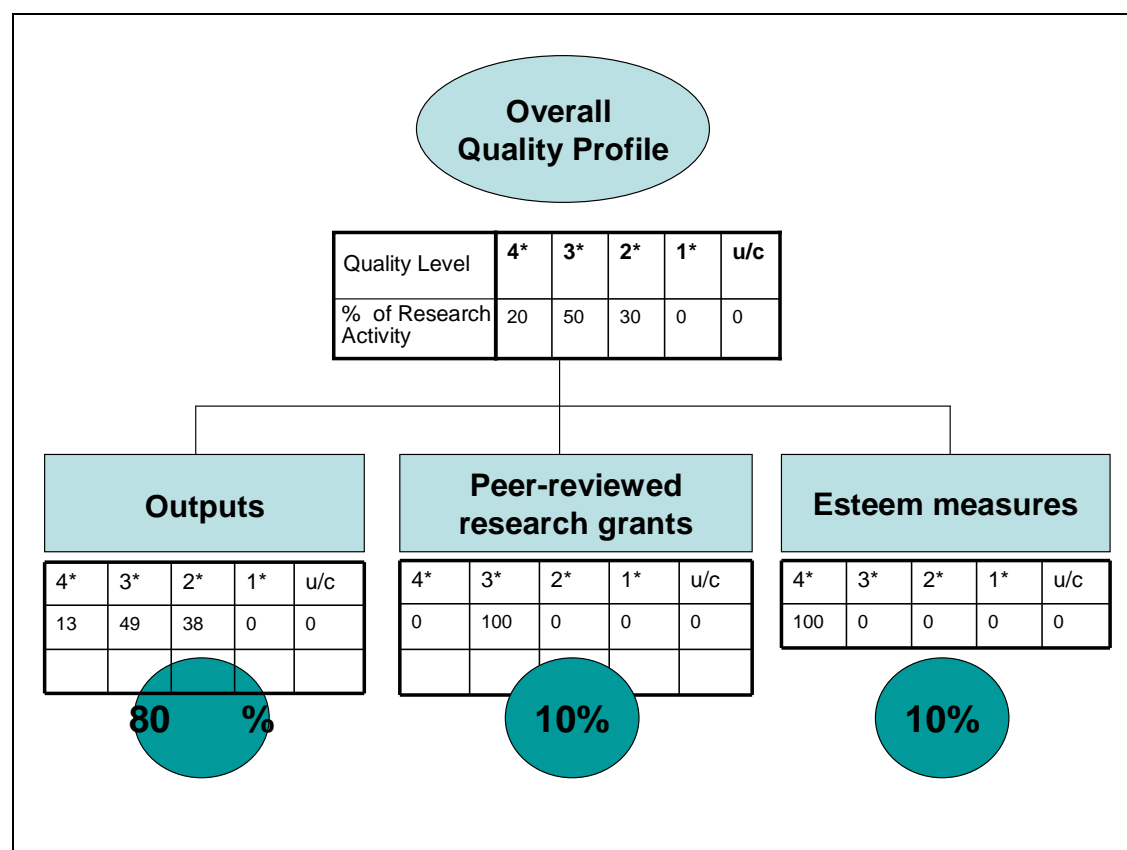
1. The overall quality profile will show the proportion of research activity in a cost centre judged to meet the definitions at each starred level. The overall quality profile will be published in steps of 1 per cent. The following table shows overall quality profiles for two cost centres.

Cost centre A	FTE staff submitted	Percentage of research activity judged to meet the standard for:				
		four star	three star	two star	one star	unclassified
Institution X	40	18	41	25	16	0
Institution Y	60	12	32	45	10	1

2. A Panel will produce an overall quality profile by assessing three distinct elements of the assessment – research outputs, peer-reviewed research grants and esteem measures – to produce a sub-profile for each element. The three sub-profiles will be aggregated to form the overall quality profile for the cost centre, with each element weighted as follows (assuming that the Panel has split the 20% weighting equally between competitive peer-reviewed research grants and esteem measures):

- Outputs: 80 per cent
- Peer-reviewed research grants: 10 per cent
- Esteem measures: 10 per cent.

Figure 1 Building a quality profile: a worked example



Rounding

3. The sub-profiles will be combined using the weights in paragraph 2 of this appendix. A cumulative rounding process will then be applied to the combined profile, to produce an overall quality profile. This methodology will ensure that the overall quality profile for any submission will always sum to 100 per cent.

4. Using the example in Figure 1, first calculate the initial overall profile, that is, the sum of the weighted sub-profiles for outputs, grants and esteem measures.

	Starred levels				
	4*	3*	2*	1*	u/c
Outputs	13	49	38	0	0
Grants	0	100	0	0	0
Esteem measures	100	0	0	0	0
Weighted					
80%	10.4	39.2	30.4	0	0
10%	0	10	0	0	0
10%	10	0	0	0	0
Initial profile	20.4	49.2	30.4	0	0

5. Cumulative rounding works in three stages:

a. The initial profile is:

	4*	3*	2*	1*	u/c
	20.4	49.2	30.4	0	0

b. Stage 1: Calculate the cumulative totals (for example the cumulative total at 3* or better is $49.2 + 20.4 = 69.6$).

	4*	3* or better	2* or better	1* or better	u/c or better
	20.4	69.6	100	100	100

c. Stage 2: Round these to the nearest 1 per cent (rounding up if the percentage ends in exactly 0.5).

	4*	3* or better	2* or better	1* or better	u/c or better
	20	70	100	100	100

d. Stage 3: Find the differences between successive cells to give the rounded profile. So, for example, the percentage allocated to 2* is the difference between the cumulative total at 2* or better, minus the cumulative total at 3* or better

	4*	3*	2*	1*	u/c
	20	50	30	0	0

Research Assessment Exercise 2014

Table 1: Description of Research Activities by Cost Centre (paragraph 3.2 of the Guidance Notes refers)

HEI code =	<input type="text"/>	i.e. CityU, HKBU, LU, CUHK, HKIEd, PolyU, HKUST or HKU
Assessment period	070101-130930	
Cost Centre =	<input type="text"/>	(code)
Date entered =	<input type="text"/>	(13mmdd)
Total no. of eligible Staff in fte =	<input type="text"/>	i.e. as defined in paragraph 4.4 of the Guidance Notes

Overall View:

Signature : _____

Name : _____

Post : _____