

**THE CHINESE UNIVERSITY OF HONG KONG**  
**Current Mechanisms for Reviewing Teaching Quality and**  
**Recognising / Rewarding Good Teaching Performance**  
**(Personnel Office)**

Reporting of teaching activities

1. At the end of each academic year, teaching staff (henceforth, appointees) are requested to submit an Activities Report, encompassing records of their teaching activities for the past academic year (together with those of services to the University and, for professorial staff, research and scholarship), via the online Staff Profile Update System (SPUS). Teaching activities recorded in SPUS fall into three broad categories: (i) “Classroom Teaching”, (ii) “Postgraduate Supervision and Examination”, and (iii) “Other Contributions/Recognitions” that include “Awards for Teaching”, “Teaching Development Grants”, “Programme Management”, “Curriculum Development”, and “Pedagogical Research” (Attachment 1). The information provided under the Activities Report will form the basis for performance review of the appointees in the past academic year.

Annual Performance Assessment Exercise (APA), Annual Appraisal Exercise (ANAP), and Pay Review Exercise (PAY)

2. Each appointee\* is reviewed annually by his/her Department and Faculty through their Academic Personnel Committees (DAPC /FAPC) in the Annual Performance Assessment Exercise (APA). Attachment 2 shows reference assessment indicators for each performance domain (a) teaching, (b) research and scholarship, (c) services). DAPC / FAPC scores each appointee’s performance in each domains on a 5-point rating scale (viz. Excellent, Very Good, Average, Below Average and Poor), relative assessment will be used at Faculty level, 3 assessment categories, viz., Category I (best 20-25%), Category II (next 50-60%), or Category III (next 20-25%). Individual faculty may make minor modifications to the categorisation to suit their needs (Appendix 1 of Attachment 2).
3. APA comments on performance, as well as suggestions for development, if any, are conveyed to appointees in the Annual Appraisal Exercise (ANAP), conducted by the Department Chair/ Unit Head. Appointees may also provide feedback to the Department Chair/Unit Head on the comments on their performance.
4. FAPC recommends pay adjustments through the Pay Review Exercise (PAY), with reference to APA results. Details of the arrangements for APA, ANAP and PAY are announced via a Personnel Circular (Attachment 3) in May each year.

*\*Professors on top pay band (A3) are reviewed by separate authorities while procedures are similar.*

## Staff reviews

5. APA results are also taken into account in personnel decisions other than pay review; for instance, contract renewal, advancement (ADV) / crossing of pay bands (CPB), retirement/ extension of service beyond statutory retirement date (RET), and substantiation (SUB)/ conversion to continuous appointment (CA).
6. Specific requirements exist for RET and CA reviews:
  - For professoriate staff considered for RET:
    - Category I in teaching, AND at least Category II for both research & scholarship, and service OR
    - Category I in research & scholarship, AND at least Category II for both teaching and service (Appendix 2 of Attachment 3)

In all the APAs in the past five years..

- For staff in the lecturer and equivalent grade (i.e., assistant lecturers, lecturers, senior lecturers, professional consultants and teaching fellows) considered for RET:
    - Category I for teaching, AND at least Category II for service in the past 5 years (Appendix 2 of Attachment 3).
  - For lecturer grade staff considered for CA:
    - at least 6 years' continuous service on the same grade, AND
    - Category I in teaching AND Category II or above in service, in the immediately past 3 APAs.
    - Candidates of the above review(s), either professoriate or lecturer-grade staff, are requested to include a "Teaching File" in their submissions to document multiple aspects of teaching quality and performance, comprising "Course and Teaching Evaluation Results", "Postgraduate Supervision and Examination" (if applicable), "Other Information/ Contributions" as well as "Reflection/ Self-evaluation/ Other feedback" (Attachment 3 – template on Teaching File). Submitted information on teaching, together with other relevant materials, are considered by the review parties.
7. The University's Centre for Learning Enhancement And Research (CLEAR) offers a professional development course (PDC) for new appointees; other appointees are also welcome to attend. It aims to orient new appointees to teaching and learning at the University, and introduces useful and relevant tools that may help them realise the educational objectives of their courses. Appointees at the level of Assistant Professor or below are required to complete this course during their contract of appointment. Since 2004/2005, the successful completion of PDC has been one of the considerations for contract renewal, SUB and/ or ADV.
  8. An Assessment Summary which contains the key comments given by respective review parties (ie. DAPC/FAPC), and recommendations for development will be provided to

the Faculty Dean to facilitate discussion for improvement with the appointee after completion of the staff review(s) concerned, whenever appropriate.

#### Peer review on teaching

9. Peer review on teaching was implemented as a requirement for review for ADV and CA of lecturer grade staff in 2013. Relevant assessment tools and criteria, with reference to both local and overseas practices, were developed by a broadly-represented committee. The peer review normally includes both class visit and review of course materials, and is conducted jointly by two reviewers: one nominated by the candidate, and another by the FAPC. The description of the criteria of peer review and guidelines on conducting peer review are in Attachments 4 and 5 respectively.
10. After completion of the class visit and the review of course materials, the two peer reviewers should each complete a Teaching Quality Assessment (Peer Review) Report (Attachment 6), which are then sent to the FAPC as another consideration for staff review.

#### External assessment

11. External assessment is applicable to professoriate staff shortlisted by the FAPC for review for ADV, CPB and/ or SUB. Candidates' submitted materials, comprising information on teaching, are forwarded to the external experts for assessment. Comments made by external experts are duly considered by the relevant review committees. To facilitate benchmarking, the University provides all external experts the University's corresponding assessment criteria in respect of teaching, research & scholarship and service (Attachment 7).

#### Named professorships and Outstanding Fellowships

12. The Choh-Ming Li Professorships scheme has been set up to recognise academic staff on Pay Band A3 with distinguished scholastic performances (Attachment 8). Candidates nominated for consideration of the award would have consistently attained the top performance category in the three performance domains, in particular teaching and research & scholarship. Each awardee of the named professorship will receive a general expense account at HK\$100,000 per annum to support his/ her academic and research activities. For appointees below Pay Band A3, Outstanding Fellowships at Faculty level will be awarded to the outstanding performers. Each awardee of the Outstanding Fellowship will receive a general expense account of HK\$50,000 per annum to support his/her academic and research activities

6 August 2014

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寄件者: University Planning Office <planning@cuhk.edu.hk>  
寄件日期: 2014年6月26日星期四 9:24  
收件者:  
主旨: E-submission of Activities Report (2013-2014) by Teaching Staff

To: Teaching staff (appointed on half-time and above basis)

c.c. Faculty Deans

Department Chairs/ School Directors/ Academic Unit Heads

Director, School of Continuing and Professional Studies

Faculty/ Departmental Administrators

Registry

Office of Research and Knowledge Transfer Services

Personnel Office

E-submission of Activities Report (2013-2014) by Teaching Staff

[Deadline for e-submission: 3 October 2014]

E-submission of the 2013-2014 Activities Report is required of all serving teaching staff appointed on half-time and above basis joining the University on or before 31 July 2014, regardless of the appointment length. [Note i] The report should cover teaching, research and scholarship, and service records as applicable for e-submission by 3 October 2014 via the online Staff Profile Update System (SPUS) at <https://spus.per.cuhk.edu.hk>. [Note ii] The key steps include input of records, generation of report (after overnight data download), checking for further amendments/regeneration of report, and then e-submission of the report (a signed hard copy is not required).

The information captured in the Activities Report will be used for purposes including staff reviews such as the Annual Performance Assessment. A timely submission of a complete and accurate Activities Report is crucial. Late submission will require justification to be sent to [personnel-7@cuhk.edu.hk](mailto:personnel-7@cuhk.edu.hk) and may not be accepted. Staff are also reminded that the above data should be updated via the various systems throughout the year, so that up-to-date records can always be retrieved for various purposes anytime.

Actions required of teaching staff for input/ generation and e-submission of the Activities Report for 2013-2014 are listed below. [Note iii] The preamble and the FAQ of SPUS will be revised to capture the enhancements to SPUS and other updates.

Step Ia

Course and teaching evaluation (CTE) data input is handled by the Departmental Administrator [To be completed around mid-September]

### Step Ib

Update research and grant records for the Office of Research and Knowledge Transfer Services (ORKTS) databases. Automatic download to SPUS will be done overnight.

[Remarks:

- 1) Publication date, at least covering month and year, must be input into Online Publication Input System (OPIS) at [http://opisnta.rao.cuhk.edu.hk/rtao\\_prd/cgi-bin/syslogin.asp?Valid=True](http://opisnta.rao.cuhk.edu.hk/rtao_prd/cgi-bin/syslogin.asp?Valid=True) so that the publication will appear in the relevant year's report;
- 2) Co-authored items involving more than one author at CUHK must be entered once only in OPIS to avoid duplicated records in the report;
- 3) ORKTS will handle the data input of Knowledge Transfer Project Fund (KPF) and Technology and Business Development Fund (TBF) in SPUS.]

### Step Ic

Update community service and service to CUHK (CAS) records at <https://pubnta.pub.cuhk.edu.hk/pub/cas/cas.htm>. Automatic download to SPUS will be done overnight.

[Remarks:

- 1) Start date, at least covering year, must be input into CAS. Records with no end date entered denote ongoing activities;
- 2) ORKTS will handle the data input of service as Academic Advisor at the CUHK Pre-incubation Centre (Pi Centre) in CAS.]

### Step Id

Update the following miscellaneous data not covered by ORKTS and CAS databases via SPUS at <https://spus.per.cuhk.edu.hk>:

Teaching:

- 1a. Classroom Teaching
  - Awards for Teaching
- 1b. Postgraduate Supervision and Examination
- 1c. Other Contributions/ Recognitions
  - Information of bedside teaching, interns or trainees (preferably with number of headcounts and hours captured) to be reported under the category "Staff Mentoring".

Research & Scholarship:

- 2a. Contract R&D
- 2b. Other Contributions/ Recognitions

### Step Ie

Generate the Activities Report after 15 September 2014 (when the CTE data is ready) via SPUS for verification of records entered.

### Step II

After completion of steps Ia to Ie, submit the Activities Report for 2013-2014 via SPUS by 3 October 2014. The e-submit function will be available from 16 September

2014. It is recommended that input of data be completed prior to this date. [Note iv]

Notes:

- i. Teaching staff concerned include:
  - professoriate staff (Assistant Professor and above)
  - research academic staff (Research Assistant Professor and above)
  - Lecturer grade and equivalent staff, e.g. Lecturer, Professional Consultant, Teaching Fellow
  - teaching support staff, e.g. Tutor (excluding Visiting Tutor), Teaching Assistant
- ii. VPN connection is required for access to SPUS and some other systems from outside campus. Please refer to <http://www.cuhk.edu.hk/itsc/network/vpn/vpn.html> for details about VPN.
- iii. Faculty/ Departmental Administrator may continue to help with the input tasks where applicable, and generate the activities report for checking by the teaching staff concerned.
- iv. E-submission must be done by the teaching staff himself/ herself using the personal CWEM password. In the case of forgotten password, please refer to <http://www.cuhk.edu.hk/itsc/onlineapp/form/sr.html>.

For further information or enquiries related to activities report, please contact the following persons.

SPUS enquiries:

Mr. Ryan Li (ITSC)/ 3943 3802/ [ryanlicn@cuhk.edu.hk](mailto:ryanlicn@cuhk.edu.hk)

Ms. Helen Miu (ITSC)/ 3943 8928/ [helenmiu@cuhk.edu.hk](mailto:helenmiu@cuhk.edu.hk)

OPIS enquiries:

Ms. Christy Cheng (ORKTS)/ 3943 1840/ [christycheng@cuhk.edu.hk](mailto:christycheng@cuhk.edu.hk)

CAS enquiries:

Ms. Florence Wong (ITSC)/ 3943 8931/ [florencewong@cuhk.edu.hk](mailto:florencewong@cuhk.edu.hk)

Enquiries related to Activities Report submission:

Miss Angela Koo (PER)/ 3943 1797

Ms. Fion Chow (PER)/ 3943 1490

Miss Rosemary Chau (PER)/ 3943 7280

[personnel-7@cuhk.edu.hk](mailto:personnel-7@cuhk.edu.hk)

Other enquiries:

Miss Winnie Wong (UPO)/ 3943 8580/ [planning@cuhk.edu.hk](mailto:planning@cuhk.edu.hk)

Thank you very much for your attention.

University Planning Office (UPO)

## THE CHINESE UNIVERSITY OF HONG KONG

### Assessment of Teaching Staff

Assessment of teaching staff for personnel purposes will involve three domains, namely (a) teaching, (b) research & scholarship, and (c) service which are more particularly explained below.

#### Teaching

Teaching includes not just lecturing, but all activities that contribute to the education outcome of university students; mastery of subject matter and also how the students learn (including independent life-long learning skills and attitudes).

##### *Assessment Indicators:*

- (1) Classroom Teaching (where “classroom” is broadly understood to include, for example, bedside teaching in the case of clinical staff, field instruction, etc.)
  - student assessment: mainly based on course and teaching evaluation results, including those of general education courses, and as interpreted by the Department Chairman/ School Director/ Faculty Dean as applicable
  - peer review: e.g. class visits, syllabus review, peer review of public lectures or lectures before professional societies
  - awards received for teaching
- (2) Postgraduate Supervision and Examination
  - number and quality of postgraduate students supervised and graduated
  - publications by postgraduate students
  - awards received by postgraduate students
  - placement of graduates
  - opinions of graduates if available
- (3) Teaching-Other Contributions/ Recognitions
  - teaching development grants
  - programme/ curriculum/ course and teaching materials development and review (including cases and textbooks, etc.)
  - programme leadership or management (but mere participation, if such duties are already compensated for by course reduction or remuneration through outside practice, should not of itself count; however, programme leadership or management resulting in exceptional and positive outcomes should count)
  - developmental and validation work for improved student assessments (examinations)
  - development and use of innovative pedagogy
  - pedagogical research
  - counselling of students, relationship with students
  - mentoring of junior teaching staff/ professionals
  - undergraduate project/ thesis supervision
  - field trips

#### Research & Scholarship

Research & scholarship will mean original contributions to scholarship in any form.

##### *Assessment Indicators:*

- (1) Publications
  - quantity and especially quality of publications (including abstracts and conference proceedings if refereed), with attention focused on publications addressed to peers (and therefore normally refereed and appearing in academic venues of importance and influence in the field)
  - book reviews and citations of journal papers should be considered where such data are available

(2) Research Grants

- mainly external competitive grants, especially as principal investigator
- more importance placed on number rather than dollar amount (the latter depends on the need for equipment and consumables)
- clear recognition that norms vary across disciplines, and in some disciplines there may be little need for grant support (this point being accepted only if internal research grants of significant amounts are also not sought)
- contract research and development

(3) Research & Scholarship-Other Contributions/ Recognitions

- quantity and quality of outputs other than publications
- visiting professorships, fellowships, scholarships, awards, prizes, honours related to research & scholarship
- keynotes, distinguished lectures, invited presentations and lectures at conferences, scholarly meetings, workshops, symposia, exhibitions, or other public forums
- intellectual property (e.g. inventions, products, research techniques, copyrights, patents or licenses)
- organization of conferences, service on editorial boards, contributions to peer review for journals/ granting agencies
- consultancies, commissioned projects/ reports, technology transfer
- collaboration with other research teams/ institutions, research profile and leadership
- professional recognition related to scholarship

**Service**

Service includes contributions to the strategic initiatives, management and administration of the Department, Faculty, College and/ or University, and advancement of the discipline through service to the Government/ community/ profession/ industry. In the case of clinical staff, patient care is also relevant.

*Assessment Indicators:*

(1) Service to Department/ Faculty

- leadership, roles taken up (e.g. on committees), and activities engaged in (e.g. meetings, forums) in relation to the Department and Faculty
- teammateship

(2) Service to College/ University

- leadership, roles taken up (e.g. on committees), and activities engaged in (e.g. meetings, forums, etc.) in relation to the College and University
- such other service as fund raising

(3) External Service

- contributions to professional or scholarly organizations, learned societies, governmental and other special committees, boards, agencies, commissions, community organizations, etc.
- attention will be placed on service that advances the cause and reputation of the University, and not on voluntary community service of a personal nature
- honours and prizes/ awards related to service, and media exposure
- feedback of clients (such as patients in the case of clinical staff)

[Note: Whilst service to external bodies such as external examiner is to be assessed under External Service, service on editorial boards, invited presentations at conferences, organization of conferences, etc. should be assessed under Research & Scholarship-Other Contributions/ Recognitions.]



## THE CHINESE UNIVERSITY OF HONG KONG

### Review Arrangements in respect of Teaching Staff

1. Currently teaching staff are subject to respective reviews in connection with the various personnel decisions, including pay adjustment, contract renewal, substantiation/ conversion to continuous appointment, advancement/ crossing of pay bands and retirement/ extension of service, etc. as well as the conduct of annual appraisal. Some of the efforts may be duplicated in repeated submission of detailed assessments in case different reviews happen within a relatively short period of time.
2. An ad hoc committee comprising all the Faculty Deans was appointed by the Provost earlier to consider the matter, and has made recommendations to consolidate and simplify the review arrangements in respect of teaching staff, as captured in the ensuing paragraphs.

### Annual Performance Assessment

3. It is proposed that the existing review arrangements be consolidated as follows:
  - (a) At the end of each academic year, an appointee will submit an annual activities report in respect of teaching, research & scholarship, and service as applicable; and
  - (b) A performance assessment will be conducted by the Department and the Faculty based on the activities report.
4. Annual performance assessments in a Faculty will be based on a holistic approach.
  - (a) The existing assessment arrangement of using absolute ratings for assessment of Teaching, Research & Scholarship<sup>1</sup> and Service at both the Department and Faculty levels will continue. As per recent consultations on absolute ratings with Faculty Deans, the assessment scale will be slightly revised and a 5-point scale comprising “Excellent”, “Very Good”, “Average”, “Below Average” and “Poor” will be adopted.
  - (b) In addition, relative assessments will be used at the Faculty level (but not the Department level considering the usual size of a Department). Three assessment categories,<sup>2</sup> viz., Cat. I (best 20–25%), Cat. II (next 50–60%) and Cat. III (next 20–25%), will be used for relative assessment of the respective domains of Teaching, Research & Scholarship, and Service. Individual Faculties may choose to further subdivide each category into sub-categories. Disciplinary differences will be taken into account by the respective Faculties as appropriate.
  - (c) The implementation details of the assessment arrangements at the Department and Faculty levels will be further developed.

## **Annual Appraisal**

5. After the annual performance assessment is completed in a Faculty<sup>3</sup>, an annual appraisal will in turn be conducted between the Department Chairs and the appointees, with reference to the comments from the annual performance assessment. The appraisal form will comprise 3 parts:

- (a) Part I: Comments from the annual performance assessment
- (b) Part II: Suggestions for development
- (c) Part III: Appointee's feedback

## **Review for Personnel Decision**

6. The annual performance assessments will be used as reference by the relevant review committees in a review of an appointee for a personnel decision (which can include contract renewal, substantiation/ conversion to continuous appointment, advancement/ crossing of pay bands, pay adjustment and extension of service).

7. When making a particular personnel decision for a given type of staff, a multi-criteria and holistic approach will be taken. The relevant review committee may make references as appropriate to the (absolute) assessment ratings as well as the (relative) assessment categories in the past annual performance assessments, together with holistic considerations on strategic planning, departmental needs (such as teaching needs), and budgetary constraints. Policies regarding different types of personnel decisions will be developed in due course.

8. The proposed workflow is presented in the Attachment.

## **Effective Date**

9. The new annual performance assessment will be conducted after the teaching staff have submitted the Activities Report for the past academic year of 2011/2012 in October 2012.

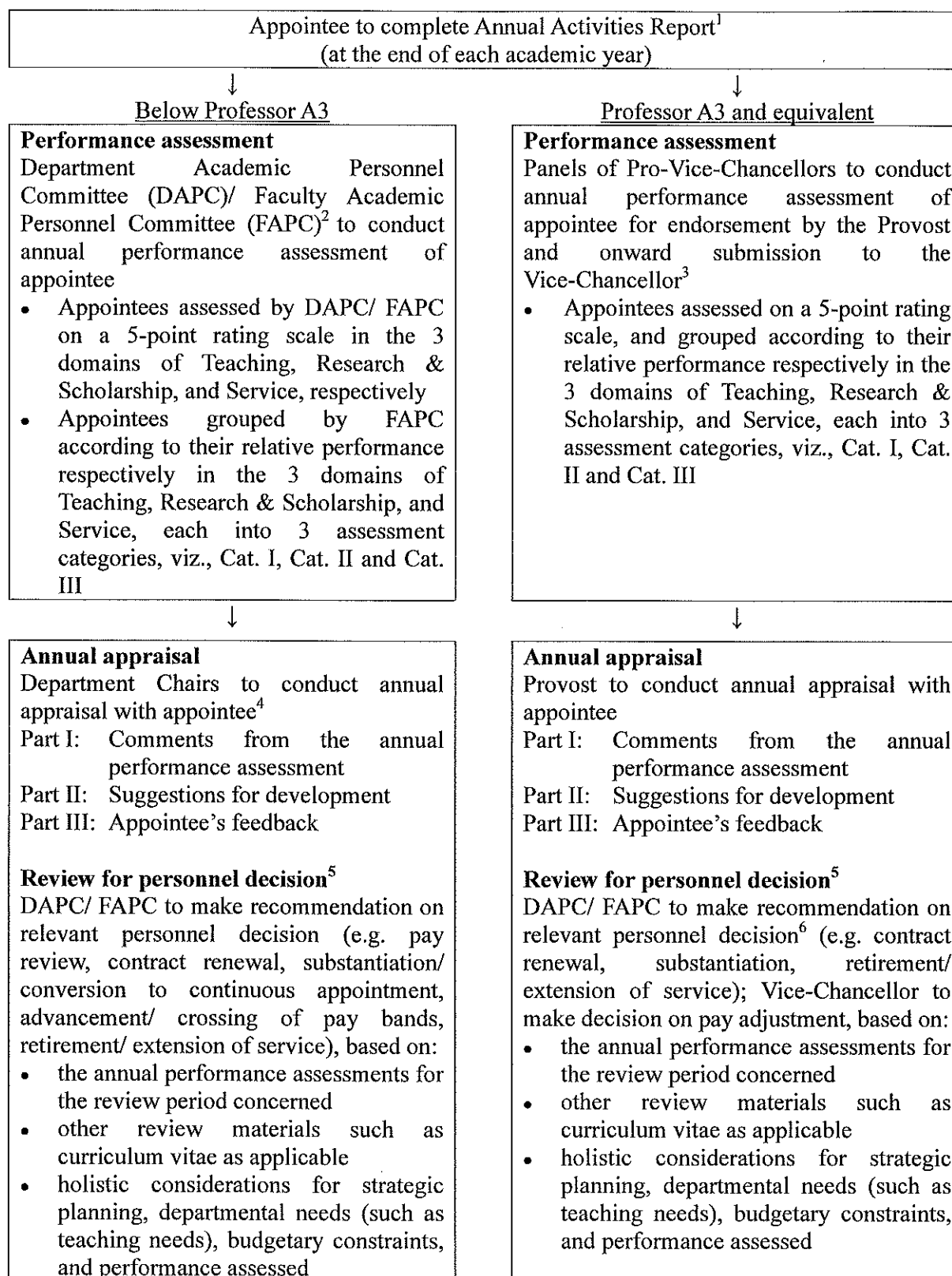
## **Notes:**

- 1. Lecturer grade and equivalent staff (e.g. Lecturer, Professional Consultant and Teaching Fellow) and teaching support staff will not be assessed with respect to research & scholarship.
- 2. The use of the three categories is not meant to map staff performance into a normal distribution curve. They are simply used to broadly delineate the linear ordering of assessment results.
- 3. For Professors on Pay Band A3 and equivalent, the annual performance assessment will be carried out by Panels of Pro-Vice-Chancellors, and the annual appraisal will be conducted between the Provost and the appointees.

October 2012

Proposed Workflow of the Revised Teaching Staff Review Arrangements

Applicable to teaching staff, including professoriate staff (Assistant Professor and above), research academic staff (Research Assistant Professor and above), Lecturer grade and equivalent staff (e.g. Lecturer, Professional Consultant, Teaching Fellow) and teaching support staff (e.g. Tutor, Teaching Assistant), appointed on half-time and above basis.



Notes:

1. The annual activities report should be submitted by all appointees regardless of the appointment start date within the relevant academic year. The annual performance assessment and annual appraisal will be mandatory for appointees with appointment starting on/ before February 1 of the academic year concerned (i.e. with activities over a period of 6 months or more by the end of the academic year to report), and optional for those starting after February 1.
2. In the case of research institutes/ centres/ other units where there is no DAPC established, the Director of the research institute/ centre/ other unit concerned will conduct the first-tier assessment.
3. Considering that the Professors on Pay Band A3 and equivalent are the top rank faculty members, and that DAPC/ FAPC often comprise faculty staff junior to them, the annual performance assessment of A3 Professors will be conducted by designated Panels consisting of the Pro-Vice-Chancellors. Faculty Deans and other members may be co-opted by the Panels to provide input. The assessments by the Panels will be passed to the Provost for endorsement, before they are submitted to the Vice-Chancellor.
4. Faculty Deans will conduct appraisal of Department Chairs who are below Professor A3.
5. Under special circumstances, the Vice-Chancellor may approve a different review arrangement.
6. As approved by the Administrative and Planning Committee at the 9th (2011) meeting, review of A3 Professors for personnel decisions (including appointment, contract renewal, substantiation, crossing of pay bands (from A2 to A3) and retirement/ extension of service) will require DAPC review before FAPC, where the majority of DAPC Chair and members are A3 Professors. Where the said majority is not available, the FAPC will conduct the review, after consultation with the DAPC Chair, and/ or input from an ad hoc advisory panel consisting of A3 Professors (which may include those invited from cognate Departments in other Faculties), if deemed appropriate.

October 2012

**THE CHINESE UNIVERSITY OF HONG KONG**

**Assessment Criteria for Review for Advancement and  
Conversion to Continuous Appointment on the Lecturer Grade**

1. Pursuant to recommendation No. 12 of the Report of the Ad Hoc Working Group on Instructional Grades, which recommended that the University and individual Departments/Units should be more explicit on the policies and guidelines for various staff reviews (such as advancement criteria and requirements for conversion to continuous appointment terms), the Provost appointed an Ad Hoc Committee to Review the Assessment Criteria for Advancement Review of Instructors (now the Lecturer grade) (“Ad Hoc Committee”) to look into related issues for the Lecturer grade and to make recommendations thereon. The Ad Hoc Committee comprising all the Faculty Deans had completed the review and submitted its report to the Provost.

2. The recommendations are as follows:

Recommendation 1: The refined assessment criteria for the Lecturer grade as recommended by the Ad Hoc Committee (Attachment) are intended for adoption from the annual review exercise commencing later in 2012.

Recommendation 2: Same as professoriate staff, those on the Lecturer grade to be reviewed for advancement and/or conversion to continuous appointment will have to submit, in addition to the CV, a Teaching File (of preferably no more than 5 pages, supplemented with relevant supporting documents provided by soft copies) to document multiple aspects of teaching quality and performance. Information such as self-evaluation and reflection, a summary of course and teaching evaluation (CTE) results, case studies and other teaching materials developed, new pedagogical initiatives, curriculum development, and other contributions to teaching may be included.

Recommendation 3: Same as the present practice, a case for review will be considered by the Department Academic Personnel Committee (DAPC), Faculty Academic Personnel Committee (FAPC) and the University. It is recommended that peer review will become a mandatory requirement for review of staff on the Lecturer grade for advancement and/or conversion to continuous appointment. The candidate concerned will be allowed to supply up to 2 names of peer reviewers (those with potential conflict of interests should be avoided). At least 1 peer reviewer from among the candidate’s 2 nominations (if provided) will be invited. The candidate may also indicate names whom he/ she wishes to avoid (with justifications) for reference in the selection process. DAPC/ FAPC will nominate a second reviewer to jointly conduct the peer review, should the candidate be considered for advancement and/ or conversion to continuous appointment by FAPC. Both peer reviewers should be teaching staff within the University at a higher rank than the candidate. The review should normally include both class visit as well as a review of course materials. The review report will be referred back to FAPC as additional reference of the candidate’s teaching performance in making a final recommendation. FAPC may also decide to conduct additional peer review if deemed appropriate (e.g. when there is serious disagreement between the afore-mentioned two peer reviewers).<sup>Note</sup> Guidelines on peer review will be developed so that the candidate will know in advance how it is to be conducted. The peer review mechanism will be put into place after the development of these guidelines.

Note: AAPC at its 14th (2013) meeting subsequently approved that in case of disagreement between the two peer reviewers, it will not be necessary for the FAPC to conduct.../2 additional peer review. The FAPC will have to examine the two reports received, together with other review materials holistically, and make a judgement/ recommendation.

Recommendation 4: All of the following conditions should be met in order for an appointee to be nominated for consideration for conversion to continuous appointment:

- (i) Staffing plan and needs, both present and future, of the Department/ Faculty/ University
- (ii) Budgetary constraints
- (iii) Appointees nominated for review<sup>1</sup> should have at least 6 years' continuous service on the same grade (including service as Assistant Lecturer, Lecturer and Senior Lecturer<sup>2</sup>), and excellent performance (i.e. rated in Category I in teaching and Category II or above in service) in the immediately past 3 annual performance assessments. Exceptional considerations (including accelerated review) for staff members not meeting this requirement may also be made with justifications.

Notes:

1. The appointee's overall performance in teaching and service should also be taken into account, especially during the interim period before the annual performance assessment outcomes for the past years are all available.
2. Formerly Instructor II, Instructor I and Senior Instructor respectively.

October 2012

THE CHINESE UNIVERSITY OF HONG KONG

Criteria for Appointment and Advancement on the Lecturer Grade

Ranks on the Lecturer Grade

1. Ranks on the Lecturer Grade at the University include:

Assistant Lecturer  
Lecturer  
Senior Lecturer  
Principal Lecturer<sup>Note</sup>

Their portfolio focuses on teaching and student learning activities. While research is not an inherent job requirement for the Lecturer grade, participation in pedagogical studies and related activities will be an advantage, especially for Senior Lecturer and Principal Lecturer.

General Assessment Criteria on Teaching and Service

2. The criteria for appointment and advancement on the Lecturer Grade are broadly categorized into two main areas, namely, 'Teaching' and 'Service':
- a) **Teaching** – Teaching includes not just the impartment of professional/ practical knowledge and experience through lecturing, but all activities that contribute to the education outcome of university students; these include mastery of subject matter, professional competence, familiarity with recent development in the field and continuous professional development; innovation in the delivery of education and curriculum development; successful use of a range of teaching and learning methodologies and assessment techniques; ability to arouse and sustain students' interest for further quest of knowledge; and also how the students learn (including independent life-long learning skills and attitudes).
- b) **Service** – Service includes contributions to the activities of the Department, Faculty, College and/ or University; advancement of the discipline or the teaching of that discipline, through service to the profession/ industry and the community, etc.

Specific Assessment Criteria for Respective Ranks

3. There are different expectations on 'Teaching' and 'Service' with respect to the different levels of appointment and advancement, as set out in the Annex.

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<sup>Note</sup> This document only covers the ranks of Assistant Lecturer, Lecturer and Senior Lecturer. Posts on the Principal Lecturer (PL) rank are designated for appointment, and the establishment of a post on the PL rank should be subject to approval of the University, based on actual job needs with specific lines of responsibilities at a level distinctly higher than those normally expected of a Senior Lectureship. Please refer to the separate document on the 'Procedures and Criteria for Appointment to the Principal Lecturer Rank'.

4. All of the following conditions should be met in order for an appointee to be nominated for consideration for conversion to continuous appointment:

- (i) Staffing plan and needs, both present and future, of the Department/ Faculty/ University
- (ii) Budgetary constraints
- (iii) Appointees nominated for review<sup>1</sup> should have at least 6 years' continuous service on the same grade (including service as Assistant Lecturer, Lecturer and Senior Lecturer<sup>2</sup>), and excellent performance (i.e. rated in Category I in teaching and Category II or above in service) in the immediately past 3 annual performance assessments. Exceptional considerations (including accelerated review) for staff members not meeting this requirement may also be made with justifications.

#### **Procedures for Review for Advancement/ Conversion to Continuous Appointment**

5. Review for advancement to Lecturer/ Senior Lecturer will normally be conducted annually, with details (e.g. dossier required, deadline for submission) to be announced in a circular issued by the Personnel Office. Review for conversion to continuous appointment will be conducted if and when so recommended by the Department/ Faculty in accordance with the conditions as stipulated in paragraph 4 above.

6. Cases for advancement/ conversion to continuous appointment will be reviewed by the Department Academic Personnel Committee, Faculty Academic Personnel Committee and the Provost. Cases of Senior Lecturer will further require the approval of the Administrative and Planning Committee.

<sup>1</sup> The appointee's overall performance in teaching and service should also be taken into account, especially during the interim period before the annual performance assessment outcomes for the past years are all available.

<sup>2</sup> Formerly Instructor II, Instructor I and Senior Instructor respectively.

October 2012



Assessment Criteria for Appointment and Advancement on the Lecturer Grade

	Teaching	Service	Salary Requirement for Advancement to the Next Higher Rank
<i>Assistant Lecturer</i>	<p><u>Criteria</u></p> <p>Candidates should possess the basic qualification, professional competence/ training, and potential for achieving teaching effectiveness; those with prior professional/ teaching experience should have demonstrated competence and effectiveness in teaching.</p> <p><u>Possible sources of evidence*</u></p> <ul style="list-style-type: none"> <li>● student assessment: mainly based on course and teaching evaluation results, including those of general education courses, and as interpreted by the Department Chairman/ Faculty Dean as applicable</li> <li>● peer review: e.g. class visits, syllabus review, peer review of public lectures or lectures before professional societies</li> <li>● opinions of graduates</li> <li>● syllabi, course and teaching materials development and review (including cases, textbooks, websites, IT courseware, etc.)</li> <li>● use of innovative pedagogy and technologies such as new media to achieve learning outcomes</li> <li>● guidance, mentoring and advising of students</li> <li>● relationship with students (e.g. interaction with students, strengthening students' motivation)</li> <li>● non-classroom-based activities such as field trips, study tours, student project supervision, practicum placement</li> </ul>	<p><u>Criteria</u></p> <p>Candidates should have participated in and contributed to the activities of the Department, Faculty, College, University, and/ or the community.</p> <p><u>Possible sources of evidence*</u></p> <ul style="list-style-type: none"> <li>● participation in activities in relation to the Department, Faculty, College or University (e.g. committees, meetings, forums, workshops and seminars, admission, examinations, timetabling, liaison, pastoral care of students, administrative assignments)</li> <li>● contributions to professional or scholarly organizations, learned societies, governmental and other special committees, boards, agencies, commissions, schools and community organizations, etc. (Note: particular attention will be placed on service that advances the cause and reputation of the University)</li> <li>● feedback on service provided (e.g. evaluations of public seminars/ training/ consultancy service, commendation from clients)</li> </ul>	Normally have reached the 4 <sup>th</sup> point of the 7-point Assistant Lecturer scale.

\* It is noted that many possible forms of evidence may be used to attest to the performance in 'Teaching' and 'Service', and there will be differences among disciplines and Departments/ Faculties. The listed items are by no means exhaustive or prescriptive, and not in any order of priority.

	<b>Teaching</b>	<b>Service</b>	<b>Salary Requirement for Advancement to the Next Higher Rank</b>
<i>Lecturer</i>	<p><u>Criteria</u></p> <p>Candidates should possess relevant professional experience and be able to demonstrate a high level of competence and effectiveness in teaching. They are expected to have provided useful advice, or to show an emerging leadership to curriculum development and refinement of teaching/ learning methodologies.</p> <p><u>Possible sources of evidence*</u> (in addition to those for Assistant Lecturer)</p> <ul style="list-style-type: none"> <li>● awards received for teaching</li> <li>● sustained efforts for continued professional development</li> <li>● development and validation of improved student assessment tools (e.g., examinations)</li> <li>● course design, programme and curriculum planning, development and management</li> </ul>	<p><u>Criteria</u></p> <p>Candidates should have provided good service contributions to the Department, Faculty, College, University, and/ or the community.</p> <p><u>Possible sources of evidence*</u> (in addition to those for Assistant Lecturer)</p> <ul style="list-style-type: none"> <li>● active participation and contribution to activities in relation to the Department, Faculty, College or University</li> <li>● service to/ liaison with professional organizations (e.g., as a committee member of a professional group or organization)</li> <li>● honours and prizes/ awards related to service</li> </ul>	<p>Normally have reached the 7<sup>th</sup> point of the 14-point Lecturer scale.</p>

\* It is noted that many possible forms of evidence may be used to attest to the performance in 'Teaching' and 'Service', and there will be differences among disciplines and Departments/ Faculties. The listed items are by no means exhaustive or prescriptive, and not in any order of priority.

	<b>Teaching</b>	<b>Service</b>	<b>Salary Requirement for Advancement to the Next Higher Rank</b>
<b>Senior Lecturer</b>	<p><u>Criteria</u></p> <p>Candidates should have demonstrated a higher level of distinction in and sustained commitment to teaching. They are expected to have provided effective leadership in course design, programme and curriculum development and advancement of teaching/ learning methodologies.</p> <p><u>Possible sources of evidence*</u> (in addition to those for Assistant Lecturer and Lecturer)</p> <ul style="list-style-type: none"> <li>● established teaching reputation and recognition as having specialist knowledge in a particular discipline</li> <li>● pedagogical studies</li> <li>● advancement of established teaching programmes</li> <li>● development and use of innovative teaching, learning and assessment techniques</li> <li>● co-ordination of the work of a teaching team</li> </ul>	<p><u>Criteria</u></p> <p>Candidates should have demonstrated meritorious record and commitment in serving the Department, Faculty, College and/ or University; and have visible participation in the activities of the profession/ industry and the community.</p> <p><u>Possible sources of evidence*</u> (in addition to those for Assistant Lecturer and Lecturer)</p> <ul style="list-style-type: none"> <li>● active participation and some leadership in activities in relation to the Department, Faculty, College or University</li> <li>● networks established with and leadership roles in the profession/ industry and the community for fostering collaboration and exchanges on aspects related to education</li> <li>● organization of professional development activities to the profession/ industry</li> <li>● professional advice/ consultation to the community (e.g. via media interviews/ programmes)</li> </ul>	N.A.

\* It is noted that many possible forms of evidence may be used to attest to the performance in ‘Teaching’ and ‘Service’, and there will be differences among disciplines and Departments/ Faculties. The listed items are by no means exhaustive or prescriptive, and not in any order of priority.

THE CHINESE UNIVERSITY OF HONG KONG

Procedures and Criteria for Appointment to the Principal Lecturer Rank

1. The Administrative and Planning Committee (AAPC) at its 10<sup>th</sup> (2011) meeting approved the establishment of a Principal Lecturer (PL) (formerly Principal Instructor) rank. The Ad Hoc Committee to Review the Assessment Criteria for Advancement Review of Instructors (now the Lecturer grade) (“Ad Hoc Committee”) was asked to include this new rank under its purview and to make recommendations thereon. The Ad Hoc Committee comprising all the Faculty Deans had completed the review on the Principal Lecturer rank and submitted its report to the Provost.

2. The recommendations are as follows:

Recommendation 1: The approved post on the PL rank should be designated for appointment and not promotion for mere recognition of seniority. The recommended candidate (either internal or external) will be offered a fixed-term contract, renewable having regard to performance. There is no limit to the aggregate length of service on contracts in the post on the PL rank.

Recommendation 2: If a serving Senior Lecturer (SL) is recommended for appointment to a post established on the PL rank by way of either open recruitment or ‘in-situ’ review (i.e. with waiver of an open recruitment exercise), his/her original SL appointment, either on continuous appointment (CA) terms or contract terms, will be suspended. If his/her SL appointment is on fixed-term contract, it can be renewed when the original SL contract expires but will remain suspended during the currency of the PL appointment. He/She can revert to the original SL position upon cessation of the PL contract(s), if necessary.

Recommendation 3: If an external candidate is recommended for appointment to the post on the PL rank, he/she will be offered only contract appointment to the post on PL rank, but no SL appointment at the same time. There will not be a reversion to SL position.

Recommendation 4: Similar to the arrangement of offering only fixed-term appointments to the senior academic administrative positions, CA in the post on the PL rank will not be offered.

Recommendation 5: Serving staff other than SL (including Teaching Fellow and Professional Consultant) can also be considered for appointment to a post on the PL rank through open competition. Arrangement similar to that for suspension of and reversion to the SL post will be applicable if a Teaching Fellow on regular terms is recommended for appointment as PL.

3. The recommendations set out in paragraph 2 above, together with the recommended appointment criteria for the PL rank, are detailed in the Attachment.

October 2012

**THE CHINESE UNIVERSITY OF HONG KONG**

**Procedures and Criteria for Appointment to the Principal Lecturer Rank**

1. With a view to providing further opportunities for career advancement of staff on the Lecturer grade taking on expanded responsibilities in teaching and service, and in recognition of the leadership and management roles in curriculum planning and programme administration in particular, a higher rank above Senior Lecturer, i.e. Principal Lecturer (PL), has been established.

**Establishment of a Post on the PL Rank**

2. Where a Department/ Unit identifies that the range and level of responsibilities of a particular post consistently go beyond the usual reach of a Senior Lectureship, it may consider putting up a proposal, with the support of the Faculty Dean, for upgrading an existing vacant Senior Lectureship to, or creating a new post on, the PL rank.

3. The establishment of such a post is not for the recognition of mere seniority and performance, but should be based on actual job needs with specific lines of responsibilities at a level distinctly higher than those normally expected of a Senior Lectureship, which may include:

- (a) to coordinate the overall planning and development of major study programme(s) under the post's purview;
- (b) to oversee the design and delivery of courses and curriculum, and the review of instructional materials for the purpose of implementing a coherent teaching agenda of major study programme(s);
- (c) to ensure that the course content and teaching approach of study programme(s) or cluster(s) of courses (e.g. a concentration area in a Major programme with a sizeable student enrolment) are aligned with the quality yardsticks and operational framework laid down by the Department/ Unit/ Faculty;
- (d) to manage non-classroom-based teaching activities, e.g. student project supervision, field trips, practicum placement;
- (e) to promote specific educational missions of the Department/ Unit/ Faculty, e.g. launch of a new study programme, lead and organize pedagogical studies;
- (f) to assist in developing and expanding internal and external resource networks of the Department/ Unit/ Faculty, to foster collaboration and interface with the academic, professional, and/ or industrial community, in order to achieve the Department's/ Unit's mission on teaching and education.

4. The proposal for establishing such a post will be scrutinized by the Provost and approved by the Administrative and Planning Committee (AAPC), and should contain:

- (a) a specific post title reflective of the expected role and portfolio, e.g. 'Director of Abc';
- (b) elaboration on the scope of responsibilities and deliverables (as the inherent academic affairs management/ leadership role will make up a substantial part of the job accountabilities, engagement in teaching will generally be adjusted downward to say, 25% to 50% of the portfolio in order for the appointee to maintain some engagement in teaching); and
- (c) identified sustainability of funding.

### **Filling a Post Established on the PL Rank**

5. The approved post on the PL rank is designated for appointment and not a promotion for mere recognition of seniority. The candidate (either internal or external), as recommended by the Department Academic Personnel Committee (DAPC)/ Faculty Academic Personnel Committee (FAPC) and approved by the AAPC, will be offered fixed-term contract for up to three years, renewable having regard to performance. There is no limit to the aggregate length of service on contracts in the post on the PL rank. Continuous appointment (A) terms (CA(A) terms) in the post on the PL rank will not be offered.

6. The approved post on the PL rank may be filled by way of internal review or open recruitment:

(a) Internal review

- (i) Where a serving Senior Lecturer (SL) is considered suitable for undertaking the expanded responsibilities required by that particular post, DAPC may consider putting up a recommendation via FAPC to the Provost for 'in-situ' review of the serving SL (i.e. with waiver of an open recruitment exercise) for appointment to that post on a fixed-term contract for up to three years.
- (ii) The appointee's preceding SL appointment, either on CA(A) terms or contract terms, will be suspended during the currency of the new appointment in the post on the PL rank. If the SL appointment is on contract terms, it can be renewed when the original contract expires but will remain suspended. The incumbent can revert to the original SL position upon completion of the PL contract(s), if necessary.

(b) Open recruitment

- (i) Where an external candidate is found suitable for the post on the PL rank, he/ she will be offered only contract appointment to the post on the PL rank, but no SL appointment at the same time.
- (ii) If a serving SL is identified for appointment to the post on the PL rank, the same arrangement stipulated in 6(a)(ii) will apply.

7. Serving staff other than SL (including Teaching Fellow and Professional Consultant) can also be considered for appointment to the post on the PL rank through open competition. Arrangement similar to that for suspension of and reversion to the SL post will be applicable if a Teaching Fellow on regular terms is recommended for appointment as PL.

### **General Assessment Criteria on Teaching and Service**

8. In congruence with other Lecturer ranks, the general criteria for appointment to the rank of PL are broadly categorized into two main areas, namely, 'Teaching' and 'Service', with the additional requirement of demonstrated leadership and a higher level of management responsibilities for co-ordination and advancement of teaching and learning initiatives, such as curriculum design and planning, programme administration, quality assurance, management of teaching team(s) and co-ordination of interdisciplinary studies within a Faculty:

- (a) **Teaching** – Teaching includes not just the impartment of professional/ practical knowledge and experience through lecturing, but all activities that contribute to the education outcome of university students; mastery of subject matter, professional competence, familiarity with recent development in the field and continuous professional development; innovation in the delivery of education and curriculum development; successful use of a range of teaching and learning methodologies and assessment techniques; ability to arouse and sustain students' interest for further quest of knowledge; and also how the students learn (including independent life-long learning skills and attitudes).

- (b) *Service* – Service includes contributions to the activities of the Department, Faculty, College and/ or University; advancement of the discipline or the teaching of that discipline, through service to the profession/ industry and the community, etc. Such service must include management and/ or supervisory work.

While research is not an inherent job requirement for the rank of PL, leadership in pedagogical studies and related activities will be highly an advantage.

9. The specific assessment criteria in respect of ‘Teaching’ and ‘Service’ are set out in the Annex.

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## Criteria for Appointment to the Principal Lecturer Rank

### Salary Scale: B6 to B11

Teaching	Service
<p><u>Criteria</u></p> <p>Candidates should have demonstrated a high level of distinction in and sustained commitment to teaching. They are expected to have provided strong leadership in course design, programme and curriculum development and advancement of teaching/ learning methodologies.</p> <p><u>Possible sources of evidence*</u></p> <ul style="list-style-type: none"> <li>● student assessment: mainly based on course and teaching evaluation results, including those of general education courses, and as interpreted by the Department Chairman/ Faculty Dean as applicable</li> <li>● peer review: e.g. class visits, syllabus review, peer review of public lectures or lectures before professional societies</li> <li>● opinions of graduates</li> <li>● syllabi, course and teaching materials development and review (including cases, textbooks, websites, IT courseware, etc.)</li> <li>● use of innovative pedagogy and technologies such as new media to achieve learning outcomes</li> <li>● guidance, mentoring and advising of students</li> <li>● relationship with students (e.g. interaction with students, strengthening students' motivation)</li> <li>● non-classroom-based teaching activities such as field trips, study tours, student project supervision, practicum placement</li> </ul>	<p><u>Criteria</u></p> <p>Candidates should have demonstrated meritorious and sustained record and commitment in serving the Department, Faculty, College and/ or University; and have active participation in a responsible role in and contributions to the activities of the profession/ industry and the community.</p> <p><u>Possible sources of evidence*</u></p> <ul style="list-style-type: none"> <li>● initiation and leadership in activities in relation to the Department, Faculty, College or University (e.g. committees, meetings, forums, workshops and seminars, admission, examinations, timetabling, liaison, pastoral care of students, administrative assignments)</li> <li>● sustained efforts for continued improvement in teaching-related management and administration</li> <li>● demonstrated contributions and service in responsible capacities to professional or scholarly organizations, learned societies, governmental and other special committees, boards, agencies, commissions, schools and community organizations, etc. (e.g. as a committee Chair of a professional group or organization)</li> </ul> <p>(Note: particular attention will be placed on service that advances the cause and reputation of the University)</p> <ul style="list-style-type: none"> <li>● feedback on service provided (e.g. evaluations of public seminars/ training/ consultancy service, commendation from clients)</li> <li>● honours and prizes/ awards related to service</li> </ul>

\* It is noted that many possible forms of evidence may be used to attest to the performance in 'Teaching' and 'Service', and there will be differences among disciplines and Departments/ Faculties. The listed items are by no means exhaustive or prescriptive, and not in any order of priority.



Teaching	Service
<ul style="list-style-type: none"> <li>● awards received for teaching</li> <li>● sustained efforts for continued professional development</li> <li>● development and validation of improved student assessment tools (e.g. examinations)</li> <li>● programme and curriculum planning, development and management</li> <li>● design, development and management of new courses or study programmes</li> <li>● leadership in establishing quality assurance of courses and study programmes</li> <li>● established teaching reputation and recognition as having specialist knowledge in a particular discipline</li> <li>● leadership in pedagogical studies</li> <li>● advancement of established teaching programmes</li> <li>● development and use of innovative teaching, learning and assessment techniques</li> <li>● co-ordination and management of a teaching team(s), supervision of junior instructional staff, and collaboration with other faculty members on course and programme related matters</li> </ul>	<ul style="list-style-type: none"> <li>● networks established with and leadership roles in the profession/ industry and the community for fostering collaboration and exchanges on aspects related to education</li> <li>● organization of professional development activities to the profession/ industry</li> <li>● professional advice/ consultation to the community (e.g. via media interviews/ programmes)</li> </ul>

\* It is noted that many possible forms of evidence may be used to attest to the performance in 'Teaching' and 'Service', and there will be differences among disciplines and Departments/ Faculties. The listed items are by no means exhaustive or prescriptive, and not in any order of priority.

October 2012

## THE CHINESE UNIVERSITY OF HONG KONG

## PERSONNEL OFFICE

## GENERAL CIRCULAR

To: Department Chairmen/ School Directors/ Academic Unit Heads  
 From: Director of Personnel  
 Ref.: GC03/2014  
 Date: May 14, 2014

Annual Staff Review Exercise and Related Matters for Teaching Staff (2014)

1. This Circular provides details of the following two reviews under the annual review exercise for teaching staff which normally commences in May each year:

- review for advancement/ crossing of pay bands in respect of professoriate and Lecturer grade staff (for 2015/2016) (Appendix 1); and
- review for retirement/ extension of service beyond statutory retirement date (for appointees due to retire in 2016 and 2017) (Appendix 2)

A mass e-mail will also be sent to bring this Circular to the attention of teaching staff on relevant ranks.

2. In support of the University's green initiatives, starting from this exercise staff members who wish to be considered for any of the above reviews should make an e-submission via the Academic Staff Review Workflow System (ASRW). Reviews by the Department Academic Personnel Committees and the Faculty Academic Personnel Committees will also be conducted through the ASRW in due course. Separate announcement will be made around June when the ASRW is ready for appointees to upload and e-submit the requisite review materials. Meanwhile, appointees are advised to go to the Staff Review section of the Personnel Office website to download the forms and templates to prepare the relevant review materials in the first instance for e-submission by July 14, 2014.


3. Kindly note that the following reviews are NOT covered under this instant annual review exercise and will be handled separately:

Review	Remarks
Substantiation (for Professoriate staff concerned)	For professoriate appointees who are currently on a substantiable track, i.e. on an X-type contract and whose aggregate service period reaches 6 years or above, the Personnel Office will individually invite the appointees concerned to submit review materials around 12 months before contract end
Conversion to Continuous Appointment (for Lecturer grade staff concerned)	Review will be considered if and when so recommended by the Department/ Faculty, subject to fulfilment of all the requisite conditions (please refer to Appendix 2 of Personnel Circular No. 2/2012 for details)

Review (Cont'd)	Remarks (Cont'd)
Advancement of Research Assistant Professor	<p>Normally a review for advancement to Research Associate Professor on a contract basis will be conducted for a Research Assistant Professor whose aggregate service period reaches 6 years (please refer to Personnel Circular No. 3/2011 for details)</p> <p>The Department/ Unit concerned will receive a separate notification and where applicable, the Personnel Office will individually invite the appointees concerned to submit review materials around 12 months before contract end</p>

4. Enquiries pertaining to the following reviews may be sent to [personnel-7@cuhk.edu.hk](mailto:personnel-7@cuhk.edu.hk) or directed to the colleagues below:

- |   |  |
|---|--|
| Advancement/ Crossing of pay bands                                | Ms. Grace Li, Personnel Officer (tel. 3943 1098)<br>Ms. Serena Chu, Personnel Manager (tel. 3943 1099)<br>Miss Florence Lam, Personnel Manager (tel. 3943 5500)                    |
| Retirement/ Extension of service beyond statutory retirement date | Miss Rosemary Chau, Assistant Personnel Manager (tel. 3943 7280)<br>Ms. Florence Tong, Personnel Officer (tel. 3943 1960)<br>Miss Margaret Koo, Personnel Manager (tel. 3943 7249) |
| Substantiation/ Conversion to Continuous Appointment              | Ms. Fion Chow, Personnel Officer (tel. 3943 1490)<br>Miss Florence Lam, Personnel Manager (tel. 3943 5500)   |
| Other review matters  | Miss Margaret Koo, Personnel Manager (tel. 3943 7249)  |



Corinna Lee (Ms.)

/SC/GL  
Encl.

- c.c. Vice-Chancellor  
 Provost  
 Pro-Vice-Chancellors  
 Associate Vice-Presidents  
 College Heads/ Masters  
 Dean of Graduate School  
 Faculty Deans  
 College/ Faculty/ Departmental administrators  
 Chairman and Secretary, University Academic Personnel Committee  
 Registrar and Secretary  
 Director, Office of Research and Knowledge Transfer Services

Advancement/ Crossing of Pay Bands (for 2015/2016)

[submission deadline for those seeking to be reviewed: **July 14, 2014**;  
late submission will not be considered except with the Dean's endorsement]

1. The review for advancement/ crossing of pay bands as applicable to the respective staff categories is as follows:

<i>Staff Category</i>	<i>Review for</i>	<i>Remarks</i>
Assistant Lecturer	Advancement to Lecturer (normally having reached the 4th point, i.e. <u>HK\$29,720</u> <sup>Note</sup> or above of the Assistant Lecturer scale)	<ul style="list-style-type: none"> <li>• application/ nomination accepted</li> <li>• cases reviewed for advancement in the last exercise will not be considered again in this immediately following exercise, unless nominated by the Department Chairman/ School Director/ Unit Head/ Faculty Dean concerned</li> </ul>
Lecturer	Advancement to Senior Lecturer (normally having reached the 7th point, i.e. <u>HK\$41,195</u> <sup>Note</sup> or above of the Lecturer scale)	
Assistant Professor	Advancement to Associate Professor	<ul style="list-style-type: none"> <li>• normally to follow the 6-year-up-or-out rule for advancement cum substantiation for appointees concerned (accelerated review may be initiated after 1 year's service)</li> <li>• Department Chairman/ Faculty Dean concerned may recommend an accelerated review for advancement alone (i.e. without substantiation) ahead of the normal review cycle on an exceptional basis</li> </ul>
Associate Professor	Advancement to Professor	<ul style="list-style-type: none"> <li>• appointees to be informed for possible submission of review materials according to the 3-year cycle in the instant exercise (excluding appointees who have gone through an advancement/ crossing of pay bands review in the past 2 exercises and those due to leave University service)</li> <li>• appointees due for review may defer the review for 1 or 2 years, without having to wait for another full cycle of 3 years for next review (however once reviewed, the next review will be 3 years later)</li> <li>• Department Chairman/ Faculty Dean concerned may recommend an accelerated review ahead of the normal review cycle on an exceptional basis</li> </ul>
Professor	Crossing of pay bands within the Professor rank (from A1/ CA1 to A2/ CA2, or from A2/ CA2 to A3/ CA3)	
Lecturer/ Senior Lecturer/ Reader (on old professorial titles)	Advancement to Professor	<ul style="list-style-type: none"> <li>• application/ nomination accepted</li> <li>• cases being reviewed for advancement for 2014/2015 will not be considered in this instant exercise, unless nominated by the Department Chairman/ Faculty Dean concerned</li> </ul>

<sup>Note</sup> The salaries quoted are at April 1, 2013 level.

2. The relevant assessment criteria can be found under the Staff Review section at the Personnel Office website <<http://perntc.per.cuhk.edu.hk/personnel/>>. Review will normally focus on the achievements since an appointee's last appointment/ advancement to the current rank or crossing to the current pay band at the University or in other institutions prior to joining the University (as applicable), while the performance based on the whole career will also be taken into consideration as appropriate.

3. Appointees who wish to make a submission for review are encouraged to discuss with the Department Chairman/ School Director/ Unit Head and the Faculty Dean concerned before lodging the submission. Where appropriate, the Faculty Dean may request an appointee to provide a curriculum vitae for preliminary review. For submission ahead of cycle on an exceptional basis, the Personnel Office will separately arrange to seek the endorsement of the Department Chairman/ School Director/ Unit Head and the Faculty Dean for the nomination as applicable.

4. A submission is only required of those who wish to seek a review for advancement/ crossing of pay bands. The submission, if made, should consist of the following (please refer to the Personnel Office website at <<https://www.per.cuhk.edu.hk/StaffReview/tabid/66/Default.aspx>> for the Information Sheet on the Preparation of Dossier for Staff Review as well as the forms and templates attached):

- i) Form for Submission
- ii) A full curriculum vitae
- iii)\* A candidate's statement, preferably in no more than 5 pages
- iv) A teaching file
- v)\* Up to 5 representative research outputs/ creative works (full copy) published/ accepted since last appointment/ advancement to the current rank or crossing to the current pay band at the University or in other institutions prior to joining the University, as applicable  
[In case of book publications, please provide 6 hard copies for each book to the Personnel Office, and 1 copy each to the Department/ School and Faculty, if no soft copy is available.]
- vi)\* A summary list containing an abstract/ introduction of each of the above selected research outputs/ creative works (with links to online versions if available) and the following where applicable,
  - the impact factor of the relevant journals and the ranking of the journals within the appropriate category (e.g. 15/65 in Electrical Engineering);
  - the citation numbers of the publications; and
  - the significance/ impact of these research outputs and/ or creative works on the discipline/ field.
- vii)\* Form on Publication and Citation Numbers (including summary reports exported from the databases concerned) - required for candidates from the Faculties of Engineering, Medicine and Science; optional for candidates from other Faculties
- viii) Form on Submission in relation to External Assessment (Optional) (For professoriate staff);  
OR  
Nomination Form of Peer Reviewers for Teaching Quality Assessment (by Candidate) (Optional) (For Lecturer grade staff)

[\*Not applicable to Lecturer grade staff]

Other research outputs/ creative works, if and when required by the Faculty, should be separately submitted to the Faculty.

5. Candidates should maintain up-to-date and accurate publication and research grant records with the Office of Research and Knowledge Transfer Services (ORKTS) as the relevant committees may retrieve such records in standardized format for review. The Online Publication Input System of ORKTS is accessible at <[https://opisnta.rao.cuhk.edu.hk/rtao\\_prd/cgi-bin/syslogin.asp?Valid=True](https://opisnta.rao.cuhk.edu.hk/rtao_prd/cgi-bin/syslogin.asp?Valid=True)> for updating. It is important for the candidates to ensure that the information captured in their submission is consistent with that at ORKTS. Please contact ORKTS for verification of your records if necessary. Colleagues are also encouraged to keep their profile posted on their Departmental webpage up-to-date, and preferably with links to online versions of publications where available.

6. In view of the changes in the academic personnel structure over the years, and to facilitate staff members to present their appointment records at the University as well as highlight their achievements since appointment/ advancement to the current rank or crossing to the current pay band as applicable, the Personnel Office will provide a summary of a staff member's appointment history at CUHK for reference in collating the dossier on request. Those who wish to make a submission for review in this instance are advised to get a copy of the appointment history by e-mailing to [personnel-7@cuhk.edu.hk](mailto:personnel-7@cuhk.edu.hk).

7. Any subsequent updating of the submitted review materials should be made via ASRW by August 14, 2014. Late submission of updates after the deadline will not be considered except with the Dean's endorsement, and will only be kept for the University review parties' internal reference. The review materials are provided on a voluntary basis for the purpose of staff review, and will be used for processing by the Personnel Office, the relevant committees and persons responsible for handling such matters. If the information provided is not sufficient, the review process may not be handled effectively. All evaluative documents and pertinent information will no longer be retained upon completion of review by the University. Enquiries pertaining to data access and correction should be addressed to the Director of Personnel.

May 2014

**Review Exercise for Retirement/ Extension of Service (2014)**  
**(for appointees due to retire in 2016 and 2017)**

**[submission deadline for those seeking to be reviewed for extension of service: July 14, 2014;  
late submission will not be considered except with the Dean's endorsement]**

Applicability

1. The University Statutes and the Terms of Service for respective teaching staff stipulate that an appointee shall retire on July 31 following the date of his/ her 60th birthday and his/ her employment shall not be extended beyond this date except by decision of the Council.
2. The instant exercise covers the review for extension of service beyond statutory retirement date in respect of teaching staff at Assistant Lecturer rank or above, who are on regular Terms of Service (A)/ (HA)/ (B) or Continuous Appointment (A)/ (B) and due to retire in 2016 and 2017.
3. Application/ nomination by the above-specified deadline is only required of those seeking a review for extension of service beyond statutory retirement date (including those who elected to convert from regular terms to fixed-term contract on extension of service beyond statutory retirement date), to be supported by justifications. This review is however not applicable to other appointees on contract terms, whose end-of-contract review will separately be brought to the attention of the Department/ Unit concerned according to the contract expiry date.
4. The review procedures are set out in Appendix 2-1 and the requisite materials for review in Appendix 2-2.

Review Schedule

5. As approved by the Administrative and Planning Committee (AAPC) at its 3rd and 7th (2013) meetings, an appointee who wishes to seek extension of service should consult the Department Chairman/ Faculty Dean whether or not his/ her case is ready to be reviewed having regard to the relevant considerations. The informal consultation will allow the appointee to make an informed decision whether to prepare and submit a formal application when his/ her case is to be considered in the annual exercise 2 years before the retirement due date. Where an appointee desires to submit an application a year earlier, i.e., in the annual exercise 3 years before the retirement due date, an informal consultation will serve similar purpose.
6. Exceptions to the foregoing review schedules will require special justifications from the Department Academic Personnel Committee/ Faculty Academic Personnel Committee.
7. The present arrangement of making nomination for an early review of an appointee with outstanding performance under exceptional circumstances (e.g., staff retention), say at the age of 55, will continue.

Conditions/ Requirement for Consideration

8. The AAPC at its 13th (2012) meeting approved that all of the following conditions be cleared in order for a recommendation for extension of service to be considered:
  - a) Staffing plan and needs, both present and future, of the Department/ Faculty/ University,
  - b) Budgetary constraints,
  - c) The appointee's overall contributions to CUHK, rated of high standard and beyond the recent years under review,

- d) Excellent relative performance in the annual performance assessment for the past 5 years<sup>1</sup>:
- i. For professoriate staff, a combination of the following two possibilities over the 5-year period:
    - 1) Category I in teaching<sup>2</sup> and at least Category II for research & scholarship as well as service of the 3 performance categories; OR
    - 2) Category I in research & scholarship and at least Category II for teaching<sup>2</sup> as well as service;
  - ii. For Lecturer grade and equivalent staff, Category I for teaching<sup>2</sup> and at least Category II for service.

Exceptional considerations for staff members not meeting this relative performance category requirement may also be made as appropriate. Examples include strategic priorities, research directions, succession planning, special needs of professional disciplines, and need for academic administrative leadership.

9. Based on the above considerations:

- (a) a staff member will retire at the statutory retirement age of 60 unless otherwise recommended in (b) and (c) below;
- (b) if considered justifiable, extension of service to age 63 may be offered;
- (c) if considered absolutely justifiable, a straight extension to age 65. An appointee given extension to age 63 can be further extended to age 65.

10. The same criteria for extension of service will apply to cases for further extension of service beyond the age of 63.

11. Extension beyond the age of 65 can be considered only on a truly exceptional basis and only upon nomination by the University.

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<sup>1</sup> The appointee's overall performance in teaching, research & scholarship and service as applicable should also be taken into account, especially during the interim period before the 5-year annual performance assessment outcomes are all available. Further information about the annual performance assessment procedure can be found in Personnel Circular No. PC02/2012 of October 15, 2012 on the Personnel Office website <<https://www.per.cuhk.edu.hk/PersonnelAnnouncements/tabid/72/Default.aspx>>.

<sup>2</sup> Teaching-related activities/ service that contribute to the education outcome of students (e.g. programme and curriculum planning, development and management, coordination of the work of teaching team(s), pedagogical studies) are recognized under the performance domain of teaching.



**Procedures for Review for Retirement/ Extension of Service in respect of Teaching Staff**

**Application/ nomination**

Application from/ nomination of appointees to be considered in the annual exercise (normally commencing in May each year) 2 years, or a year earlier i.e., 3 years, before the retirement due date



**Review**

DAPC/ FAPC/ Provost/ UAPC (as applicable)<sup>Note</sup> to make recommendation on retirement/ extension of service, subject to clearance of the following conditions:

- (a) Staffing plan and needs, both present and future, of the Department/ Faculty/ University,
- (b) Budgetary constraints,
- (c) The appointee's overall contributions to CUHK, rated of high standard and beyond the recent years under review,
- (d) Excellent relative performance in the annual performance assessment for the past 5 years



**Approval**

Provost/ AAPC to recommend extension of service beyond statutory retirement date for approval by Council as applicable  
OR  
Provost/ AAPC to approve retirement at statutory retirement date

<sup>Note</sup> As approved by AAPC at the 9th (2011) meeting, review of Professors on Pay Band A3/ CA3 for personnel decisions (including appointment, contract renewal, substantiation, crossing of pay bands (from A2/ CA2 to A3/ CA3) and retirement/ extension of service) will require DAPC review before FAPC, where the majority of DAPC Chair and members are Professors on Pay Band A3/ CA3. Where the said majority is not available, the FAPC will conduct the review, after consultation with the DAPC Chair, and/ or input from an ad hoc advisory panel consisting of Professors on Pay Band A3/ CA3 (which may include those invited from cognate Departments in other Faculties), if deemed appropriate.

**Review Exercise for Retirement/ Extension of Service (2014)**

1. A submission is only required of those seeking a review for extension of service beyond statutory retirement date. The submission, if made, should consist of the following (please refer to the Personnel Office website at <http://www.per.cuhk.edu.hk/StaffReview/FormsandTemplatesTeachingStaff/tabid/164/Default.aspx>) for the Information Sheet on the Preparation of Dossier for Staff Review as well as the forms and templates attached).

- i) Form for Submission
- ii) A full curriculum vitae
- iii)\* A candidate's statement, preferably in no more than 5 pages
- iv) A teaching file
- v)\* Form on Publication and Citation Numbers (including summary reports exported from the databases concerned) - required for candidates from the Faculties of Engineering, Medicine and Science; optional for candidates from other Faculties

[\* *Not applicable to Lecturer grade staff*]

2. Candidates should maintain up-to-date and accurate publication and research grant records as applicable with the Office of Research and Knowledge Transfer Services (ORKTS) as the relevant committees may retrieve such records in standardized format for review. The Online Publication Input System of ORKTS is accessible at [https://opisnta.rao.cuhk.edu.hk/rtao\\_prd/cgi-bin/syslogin.asp?Valid=True](https://opisnta.rao.cuhk.edu.hk/rtao_prd/cgi-bin/syslogin.asp?Valid=True) for updating. It is important for the candidates to ensure that the information captured in their submission is consistent with that at ORKTS. Please contact ORKTS for verification of your records if necessary. Colleagues are also encouraged to keep their profile posted on their Departmental webpage up-to-date, and preferably with links to online versions of publications where available.

3. Any subsequent updating of the submitted review materials should be made via ASRW by August 14, 2014. Late submission of updates after the deadline will not be considered except with the Dean's endorsement. The review materials are provided on a voluntary basis for the purpose of staff review, and will be used for processing by the Personnel Office, the relevant committees and persons responsible for handling such matters. If the information provided is not sufficient, the review process may not be handled effectively. All evaluative documents and pertinent information will no longer be retained upon completion of review by the University. Enquiries pertaining to data access and correction should be addressed to the Director of Personnel.

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## **Information Sheet on the Preparation of Dossier for Staff Review in respect of Professoriate Staff**

- For reference in preparing a dossier for staff review, a template each of the curriculum vitae, candidate's statement, teaching file and summary list of representative research outputs/ creative works (as applicable) have been posted at the Personnel Office website under the Staff Review section <<http://perntc.per.cuhk.edu.hk/personnel/>> and some explanatory notes are given below.
- When completing the templates, please insert the relevant information under respective headings, and delete the notes and examples highlighted in the brackets. The headings may be edited, with additions inserted as applicable (e.g. clinical duties). Please also number each heading and add page numbers to the respective templates. A format different from the templates may be used. Nevertheless, to facilitate the review process, it is important that all items listed in the templates are covered as far as applicable, with necessary details provided.
- Please include links to online versions of the research outputs/ creative works and any other pertinent information contained in the dossier where available.
- Please refer to the relevant circular/ letter for the full set of documents required for the respective reviews.

### **Curriculum Vitae (CV)**

In the case of review for advancement/ crossing of pay bands, achievements since appointment/ advancement to the current rank or crossing to the current pay band at the University or in other institutions prior to joining the University (as applicable) should be clearly marked inside a text box in the CV.

### **Candidate's Statement**

To provide other useful information that may not be covered in the curriculum vitae, e.g. self-assessment, elaboration of achievements\*, future plans/ directions, other candidate-specific information, preferably in no more than 5 pages.

- [\* (i) For substantiation, this should cover the candidate's career achievements.  
(ii) For advancement/ crossing of pay bands, this should cover the period since appointment/ advancement to the current rank or crossing to the current pay band at the University or in other institutions prior to joining the University (as applicable).  
(iii) For retirement/ extension of service, this should cover the candidate's achievements at the University in the past 5 years.]

### **Teaching File**

To document multiple aspects of teaching quality and performance, including information such as self-evaluation and reflection, course and teaching evaluation (CTE) results, case studies and other teaching materials developed, new pedagogical initiatives, curriculum development, achievements of the candidate's graduate students, and other contributions to teaching.

### **Summary List of Representative Research Outputs/ Creative Works**

A summary list containing an abstract/ introduction of each of the representative research outputs/ creative works (including links to online versions of full texts if available)<sup>#</sup> and where applicable, the impact factor of the relevant journals and the ranking of the journals within the appropriate category (e.g. 15/65 in Electrical Engineering), the citation numbers of the publications and the significance/ impact of these research outputs/ creative works on the discipline/ field.

[# up to 5 pieces of representative research outputs/ creative works published/ accepted within the last 6 years (in the case of review for substantiation) or since appointment/ advancement to the current rank or crossing to the current pay band at the University or in other institutions prior to joining the University (as applicable) (in the case of review for advancement/ crossing of pay bands)]

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## **Information Sheet on the Preparation of Dossier for Staff Review in respect of Lecturer Grade Staff**

- For reference in preparing a dossier for staff review, a template each of the curriculum vitae and teaching file have been posted at the Personnel Office website under the Staff Review section <<http://perntc.per.cuhk.edu.hk/personnel/>> and some explanatory notes are given below.
- When completing the templates, please insert the relevant information under respective headings, and delete the notes and examples highlighted in the brackets. The headings may be edited, with additions inserted as applicable. Please also number each heading and add page numbers to the respective templates. A format different from the templates may be used. Nevertheless, to facilitate the review process, it is important that all items listed in the templates are covered as far as applicable, with necessary details provided.
- Please refer to the relevant circular/ letter for the full set of documents required for the respective reviews.

### **Curriculum Vitae (CV)**

In the case of review for advancement, achievements since appointment/ advancement to the current rank at the University or in other institutions prior to joining the University (as applicable) should be clearly marked inside a text box in the CV.

### **Teaching File**

To document multiple aspects of teaching quality and performance, including information such as self-evaluation and reflection, course and teaching evaluation (CTE) results, case studies and other teaching materials developed, new pedagogical initiatives, curriculum development, and other contributions to teaching, preferably in no more than 5 pages.

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[Professoriate Staff]

## **TEACHING FILE**

[candidate's name]

### **COURSE AND TEACHING EVALUATION (CTE) RESULTS**

[Note: Please list the CTE summary results for (i) up to the last 6 years since appointment at CUHK (in the case of review for substantiation) or appointment/ advancement to the current rank or crossing to the current pay band at CUHK (in the case of review for advancement/ crossing of pay bands), or (ii) up to the last 5 years at CUHK (in the case of review for retirement/ extension of service). Where available, the information may be copied from the Activities Reports, which cover Year, Term, Course/ Class, Title, UGC-funded/ Self-funded, In Load/ OP, % Split in Teaching Loading, Class Size, Mean, Adjusted Mean and Department Average.]

### **POSTGRADUATE SUPERVISION AND EXAMINATION**

#### **Graduated Students**

**Graduated PhD students (Total: ---)**

**Graduated MPhil students (Total: ---)**

[e.g. Supervisor, (student's name), (period of study), PhD; thesis title; achievements of students may also be indicated]

#### **Current Students**

**Current PhD Students (Total: ---)**

**Current MPhil Students (Total: ---)**

[e.g. Co-Supervisor, (student's name), (period of study/ expected year of graduation), MPhil; thesis title; achievements of students may also be indicated]

### **OTHER INFORMATION/ CONTRIBUTIONS**

[Note: Please provide other relevant information such as programme/ curriculum/ course/ teaching materials development and review (including cases and textbooks, etc.), improved student assessments, programme management, pedagogical application/ research, student counseling, staff mentoring, undergraduate research supervision, teaching development grants, professional development activities, teaching-related awards, field trips, bedside teaching in case of staff with clinical duties, etc.]

### **REFLECTION/ SELF-EVALUATION/ OTHER FEEDBACK**

[Note: Please provide reflection on teaching philosophy/ teaching context and self-evaluation. Feedback from alumni, if sought, should be sent to the Personnel Office directly. It is not regarded appropriate to seek endorsement from current students. Peer comments may also be provided.]

[Lecturer Grade Staff]

## **TEACHING FILE**

[candidate's name]

### **GENERAL STATEMENT**

[e.g. background information of the candidate, teaching highlights]

### **COURSE AND TEACHING EVALUATION (CTE) RESULTS**

[Note: Please list the CTE summary results for (i) up to the last 6 years since appointment on the same grade at CUHK (including service as Assistant Lecturer, Lecturer and Senior Lecturer, i.e., formerly Instructor II/ I and Senior Instructor) (in the case of review for conversion to continuous appointment), or appointment/ advancement to the current rank at CUHK (in the case of review for advancement), or (ii) up to the last 5 years at CUHK (in the case of review for retirement/ extension of service). Where available, the information may be copied from the Activities Reports, which cover Year, Term, Course/ Class, Title, UGC-funded/ Self-funded, In Load/ OP, % Split in Teaching Loading, Class Size, Mean, Adjusted Mean and Department Average.]

### **OTHER INFORMATION/ CONTRIBUTIONS**

[Note: Please provide other relevant information such as programme/ curriculum/ course/ teaching materials development and review (including cases and textbooks, etc.), improved student assessments, programme management, pedagogical application/ research, student counseling, staff mentoring, undergraduate research supervision, teaching development grants, professional development activities, teaching-related awards, field trips, bedside teaching in case of staff with clinical duties, etc. ]

### **REFLECTION/ SELF-EVALUATION/ OTHER FEEDBACK**

[Note: Please provide reflection on teaching philosophy/ teaching context and self-evaluation. Feedback from alumni, if sought, should be sent to the Personnel Office directly. It is not regarded appropriate to seek endorsement from current students. Peer comments may also be provided.]

### **FUTURE PLANS/ DIRECTIONS**

**SUMMARY LIST OF  
REPRESENTATIVE RESEARCH OUTPUTS/ CREATIVE WORKS**

[candidate's name]

[Note: Please list up to 5 pieces of research outputs/ creative works (including links to online versions of full texts if available) which are most representative of the candidate's research contributions within the last 6 years (in the case of review for substantiation) or since appointment/ advancement to the current rank or crossing to the current pay band at the University or in other institutions prior to joining the University (as applicable) (in the case of review for advancement/ crossing of pay bands). Please include an abstract/ introduction of each piece, and where applicable, provide the impact factor of the relevant journals and the ranking of the journals within the appropriate category (e.g. 15/65 in Electrical Engineering), the citation numbers of the publications and the significance/ impact of these research outputs/ creative works on the discipline/ field.]



### Peer Review on Teaching (Detailed Descriptions of Criteria)

This list of criteria is designed to facilitate self- and peer-review on the overall teaching performance so as to enhance teaching. To account for both the needs and characteristics of different disciplines, the proposed assessment criteria list aims to be as comprehensive and flexible as possible. Some criteria may not be relevant to your particular case.

#### Section 1 Review of Course Materials

##### A. Objectives/ Expected Learning Outcomes

###### (i) Scope and depth of course design/ Specification

*Reference criteria:*

- clearly specified: (a) content-related outcomes; (b) skill-related outcomes; (c) attitude/ value-related outcomes
- substantial: (a) content-related outcomes; (b) skill-related outcomes; (c) attitude/ value-related outcomes
- agree with programme-/ unit-level learning outcomes

###### (ii) Pertinence to students' learning needs

*Reference criteria:*

- cater for students' levels
- take into account the varying learning needs of students
- cater for career/ professional development
- prepare for further academic pursuit

###### (iii) Adherence to published course design

*Items to consider:*

- syllabus
- pedagogy (e.g., lectures, tutorials, fieldtrip, laboratory)

###### (iv) (For co-teaching) Compatibility with overall course design

###### (v) Others

##### B. Content

###### (i) Coverage

*Reference criteria:*

- broad/ comprehensive
- contains divergent view points
- up-to-date

###### (ii) Appropriate difficulty level/ depth

###### (iii) Apt use of examples

###### (iv) Others

##### C. Learning Resources

###### (i) Adequacy

*Items to consider:*

- text book(s)/ core readings
- reference book(s)/ supplementary readings
- other relevant materials

(ii) Relevance

*Reference criteria:*

- support course objectives/ learning outcomes
- cater for students' levels

(iii) Organisation/ Presentation

*Reference criteria:*

- well-organised
- adequate user guidelines provided
- accessible

(iv) Engagement of student interest

(v) Others

#### **D. Learning Activities**

(i) Alignment with course objectives/ learning outcomes

*Reference criteria:*

- supported by an appropriate range of learning activities
- scaffold student knowledge

(ii) Reflection of up-to-date subject knowledge (professional and pedagogical)

*Reference criteria:*

- balance instruction-based learning with practical work
- make good use of latest available technology

(iii) Design of learning activities

*Reference criteria:*

- well-structured
- clear guidelines and instructions provided
- include pre-activity academic preparations
- include post-activity academic follow-up
- carry appropriate workload

(iv) Student engagement/ Student-centeredness

*Reference criteria:*

- allow for active learning
- allow for teacher-student interactions
- allow for student-student interactions
- relevant to daily life
- take into account diverse student backgrounds

(v) Others

## **E. Assessment**

(i) Mode of assessment (please describe)

(ii) Alignment with objectives/ learning outcomes

*Reference criteria:*

- measures expected learning outcomes
- appropriate degree of diversity

(iii) Reasonable corresponding workload demand

(iv) Role as learning aid

*Reference criteria:*

- employs formative (on-going) assessment methods
- contains mechanism for monitoring learning progress
- provides adequate feedback
- aptly includes group work
- aptly includes peer- and self-assessment components

(v) Fairness

*Reference criteria:*

- components (e.g., assignments, mid-term, final) and corresponding percentages clearly stated
- contains clear criteria/ grade descriptors
- grades students' work consistently
- has plagiarism handling mechanism

(vi) Examination and/ or assignment questions

*Reference criteria:*

- have good coverage
- include challenging questions that promote higher-order learning
- carry suitable mix of question types (e.g., open-ended question, MC, essay)
- measure expected learning outcomes

(vii) Others

## **Section 2 Class Observation**

### **A. Description of Classroom Activities**

*The following items B(i) to B(iv) and C(i) to C(iv) apply only to lecture components. Skip if not applicable.*

*For lectures/ small class teaching only:*

### **B. Organisation**

(i) Introduction

*Reference criteria:*

- captures attention
- has clear purpose/ roadmap
- connects with previous classes

(ii) Body

*Reference criteria:*

- topics organised in logical sequence
- transitions are effective (e.g., lecture contains clear sectional summaries)

(iii) Conclusion

*Reference criteria:*

- summarises and distils main points
- links up with future classes
- contains clear homework guidelines
- gives directions for further studies

(iv) Others

*For lectures/ small class teaching only:*

**C. Content**

(i) Course materials

*Reference criteria:*

- relevant
- appropriate for student background
- up-to-date
- present major issues/ interpretations of the field
- present divergent viewpoints

(ii) Additional resources

*Items to consider:*

- outlines/ handouts
- other references

(iii) Quality examples and illustrations

(iv) Others

*The following items D(i) to D(v) and E(i) to E(v) apply to other forms of teaching (e.g., group discussion/ lab sessions/ clinical observations). Skip if not applicable.*

*For other forms of teaching:*

**D. Activities Design**

(i) Contains sufficient opportunities for students to apply knowledge/ skills

(ii) Involves all students

(iii) Addresses individual needs

- (iv) Develops and encourages reciprocity and cooperation among students
- (v) Others

*For other forms of teaching:*

### **E. Organisation**

#### (i) General planning

*Reference criteria:*

- allocates time for instruction and practice well
- has contingency plans
- makes good use of equipment/ instruments/ facilities
- is interesting

#### (ii) Introduction

*Reference criteria:*

- makes task clear at beginning
- provides clear and concise introductory directions for activities
- explains procedures adequately and clearly
- explains use of equipment/ instruments clearly
- discusses relevant safety issues (lab, PE) referred to
- contains informative demonstrations

#### (iii) Body

*Reference criteria:*

- encourages questioning
- provides timely feedback
- attends to safety issues

#### (iv) Conclusion

*Reference criteria:*

- provides good feedback
- helps students make further knowledge connections
- provides clear homework guidelines
- gives direction for further studies/ prepares for next lesson

#### (v) Others

### **F. General Items on Delivery**

#### (i) Learning atmosphere

*Reference criteria:*

- maintains student attention and concentration
- makes both students and teacher enthusiastic
- fosters good participatory atmosphere/ conducive to learning
- promotes higher order thinking
- deals with disruptions or misconduct appropriately

#### (ii) Pacing/ Management

*Reference criteria:*

- paces lesson appropriately
- modifies lesson according to student learning progress
- adjusts lesson according to student abilities
- manages time well/ allows adequate time for activities (e.g., experiments)
- runs smoothly

(iii) Presentation/ Communication skills

*Reference criteria:*

- clear and organised presentation
- provides clear definitions for new vocabulary items or whenever appropriate
- voice
- questioning:
  - (a) employs effective questioning techniques
  - (b) provides constructive feedback
- materials presented in an interesting/ helpful way

(iv) Use of teaching aids

*Items to consider:*

- chalkboard content
- quality of visual aids
- use of technology
- use of equipment/ instrument/ facility

(v) Attitudes/ Style

*Reference criteria:*

- punctual
- confident
- treats students with respect
- respects diverse talents and ways of learning

(vi) Others

**Section 3 Overall Qualities of Reviewee (judgement based on all evidence available to the reviewer, including the two sections above)**

**A. Professionalism**

(i) Knowledgeable about:

*Reference criteria:*

- content
- pedagogy
- student characteristics

(ii) Stimulates student thinking

(iii) Communicates high expectation/ Makes the course challenging

(iv) Fosters student curiosity and creativity

(v) Others

**B. Commitment**

(i) Reflects upon own teaching regularly

(ii) Is well-prepared

(iii) Has good rapport with students

(iv) Maintains out-of-class interactions with students (e.g., consultation hours/ use of social networking platform/ discussion groups)

(v) Others

**C. Good Role Model**

(i) Is passionate about teaching and learning

(ii) Is enthusiastic about the subject matter

(iii) Others

**D. Student Achievement**

(i) Achieves course objectives

(ii) Enables student attainment

*Reference criteria:*

- knowledge
- skills
- desirable learning attitude

(iii) Actively engages students with course materials and activities

(iv) Encourages students to analyse related issues from an academic perspective in the future

(v) Others

**Section 4 Overall Comments (e.g., commendable areas/ areas for improvement)**

## 教學表現評核 (詳細設計準則)

下列準則旨在幫助自評或互評整體教學表現以改善教學。其評核準則羅列詳盡，以便不同學科皆可靈活運用，故其中一些準則未必適用於個別學科。

### 第一節 課程材料

#### 甲、學習目標/ 預期學習成果

##### i. 設計與定義

參考準則：

- 具體和清晰 (包括就內容、技能、和學習態度與價值觀方面的學習目標)
- 有實質內容 (包括就內容、技能、和學習態度與價值觀方面的學習目標)
- 跟學系、單位、或課程整體學習目標一致

##### ii. 顧及學生需要

參考準則：

- 就學生程度定位
- 顧及不同學生的學習能力與水平
- 考慮學生日後事業/ 職業發展
- 為學生日後進修或深造作準備

##### iii. 與原本課程設計吻合

可留意以下材料：

- 課程內容大綱
- 教學法 (如大課(講座)/ 指導課/ 考察/ 實驗課)

##### iv. (如為合教形式課程)與整體課程設計一致

##### v. 其他

#### 乙、內容

##### i. 涵蓋面適中

參考準則：

- 涵蓋闊度
- 提出不同的觀點
- 與時並進

##### ii. 深淺度適中

##### iii. 舉例恰當

##### iv. 其他

#### 丙、教材資源

##### i. 充裕

可留意以下材料：

- 課本/ 核心讀物



- 參考書目/ 輔助讀物
  - 其他相關材料
- ii. 貼切  
參考準則：
- 有助達到課程目標/ 預期學習成果
  - 因應學生程度選材
- iii. 組織與放置安排得宜  
參考準則：
- 有條理
  - 有足夠導讀指引
  - 容易找到
- iv. 引起學生興趣
- v. 其他

#### 丁、學習活動

- i. 與課程整體學習目標一致  
參考準則：
- 用不同形式的學習活動協助學生達到學習目標
  - 循序漸進、令學生逐步建立知識
- ii. 達學科/ 術科最尖端的專業標準與教學標準  
參考準則：
- 於講授與實習項目取適當平衡
  - 適當利用新科技
- iii. 活動設計得宜  
參考準則：
- 結構安排得宜
  - 有清晰引導與指示
  - 有活動前學術講解以作準備
  - 有活動後跟進，以確保學生達到學習成果
  - 工作量合理
- iv. 以學生為本  
參考準則：
- 鼓勵學生主動學習
  - 鼓勵師生互動交流
  - 鼓勵學生間相互交流
  - 跟日常生活息息相關
  - 顧及不同性格和背景的學生之需要
- v. 其他

## 戊、考核

- i. 考核方法 (請描述)
- ii. 與學系/ 單位課程整體學習目標一致  
參考準則：
  - 能充分量度預期學習成果
  - 種類適當
- iii. 所要求的相應工作量合理
- iv. 有助學習  
參考準則：
  - 有階段性考核
  - 有機制監察學生學習過程
  - 提供足夠回饋
  - 小組工作安排恰當
  - 有合適之同儕或自我學習進度考核
- v. 公平  
參考準則：
  - 考核方法交待清晰 (組成部分, 每部分之評分比重等)
  - 定有評分準則/ 不同等級之水平描述
  - 評分公平一致
  - 設有處理抄襲個案機制
- vi. 考試與習作題  
參考準則：
  - 涵蓋面廣
  - 設有挑戰性問題以鼓勵高階思維
  - 不同種類 (如多項選擇題、開放式問題、論文等) 分配恰當
  - 能量度預期學習成果
- vii. 其他

## 第二節 觀課

### 甲、課室活動 (請描述)

注意：以下乙、丙兩部分只適用於評核大課(講座)式教學部分。如不適用，請跳至丁項。

只限大課(講座)/ 小班教學：

### 乙、組織與鋪排

- i. 引言  
參考準則：
  - 吸引學生注意
  - 有明確目的與路線圖
  - 與上一節課內容有聯繫
- ii. 講授過程  
參考準則：
  - 課題編排有序
  - 轉接得宜（如有清晰的段落末撮要）
- iii. 總結  
參考準則：
  - 有簡明扼要之撮要
  - 與之後課堂有聯繫
  - 有清晰的習作指引
  - 提供進階學習指引
- iv. 其他

只限大課(講座)/ 小班教學：

## 丙、 課堂內容

- i. 教學內容  
參考準則：
  - 相關
  - 適合學生水平與先備知識
  - 與時並進
  - 釐清該領域之重要概念
  - 提出不同的觀點
- ii. 附加資料  
可留意以下材料：
  - 提供大綱/ 筆記
  - 提供其他參考教材
- iii. 恰當地運用例子和圖解
- iv. 其他

注意：以下丁、戊兩項適用於評核非大課(講座)式教學部分，如小組討論、實驗工作、或臨床實習等。如不適用，請跳至己項。

只限非大課(講座)式教學：

## 丁、 活動設計

- i. 學生有充分機會應用其所學知識/ 技能
- ii. 引發與確保所有學生參與
- iii. 顧及個人差異
- iv. 鼓勵學生互相合作學習
- v. 其他

只限非大課(講座)式教學：

#### 戊、組織管理

- i. 整體策劃  
參考準則：
  - 妥善分配講授與活動時間
  - 有合適應變策略
  - 適當運用儀器、工具與設施
  - 有趣味
- ii. 活動引言  
參考準則：
  - 清楚交待活動性質
  - 活動前講解清晰明確
  - 工序步驟指示足夠和清晰
  - 工具或儀器使用說明清晰
  - 就安全事項作討論
  - 作有價值的示範
- iii. 活動過程  
參考準則：
  - 鼓勵發問
  - 合時提供回饋
  - 注意安全事項
- iv. 總結/ 事後解說  
參考準則：
  - 提供合適的回饋
  - 協助學生增進知識
  - 功課有明確資訊和指示
  - 提供進階學習方向/ 為下一課作準備
- v. 其他

## 己、其他講授表現準則

### i. 學習氣氛

參考準則：

- 吸引及維持學生注意力
- 同時推動師生對課程的興趣與熱誠
- 推廣熱衷參與教學活動之風氣
- 要求高階思維/ 深思
- 妥善處理學生不當行為

### ii. 步伐節奏/ 整體管理

參考準則：

- 課堂步伐適中
- 依學生學習進度調整教學計劃
- 依學生學習能力調整教學計劃
- 時間分配得宜/ 分配足夠時間予活動項目 (如實驗)
- 教學流程順暢

### iii. 講授/ 溝通技巧

參考準則：

- 講授清晰有條理
- 適時提供清晰定義及介紹新概念
- 聲線/ 語調
- 發問：
  - a. 問得其所
  - b. 向學生提出具建設性的回饋
- 令學生覺得教學內容對他們有幫助/ 對教學內容感興趣

### iv. 教具應用 (包括多媒體工具、電子教學平台、和其他設施)

可留意以下材料：

- 板書內容
- 視覺教材質素
- 科技應用
- 其他教具應用

### v. 態度與教學風格

參考準則：

- 守時
- 有自信
- 尊重和鼓勵學生
- 尊重才能與學習模式上的個人差異

### vi. 其他

### 第三節 教師整體表現 (以所有相關資料作評核基礎，包括上兩節填寫之資料)

#### 甲、專業水平

- i. 具專業知識，包括課程內容、教學法、學生特色等
- ii. 課程具啟發性
- iii. 表達對學生之高期望/ 課程具挑戰性
- iv. 誘發學生好奇心與創意
- v. 其他

#### 乙、投入程度

- i. 定期反思，務以提升教學質素
- ii. 課程與課堂準備充足
- iii. 與學生關係良好
- iv. 跟學生課後有互動 (如設有定期諮詢時間、利用網上社交平台跟同學作課外交流等)
- v. 其他

#### 丙、為良好榜樣

- i. 對教學有熱忱
- ii. 熱愛學科
- iii. 其他

#### 丁、學生學習成效

- i. 達到課程目標
- ii. 學生得著  
參考準則：
  - 知識層面
  - 技能層面
  - 可取之學習態度
- iii. 學生主動和踴躍閱讀課程相關教材及參與活動
- iv. 鼓勵學生日後以學術角度探討相關議題
- v. 其他

### 第四節 評核員對教師之整體評價，如特別可取或可改善之處

## THE CHINESE UNIVERSITY OF HONG KONG

**Guidelines on Conducting Teaching Quality Assessment (Peer Review)****(For Review for Advancement and/ or Continuous Appointment  
of Lecturer Grade Appointees)**

The following guidelines are set out for reference of the Faculty, reviewers and reviewees in arranging and conducting teaching quality assessment (peer review) specifically for the purpose of review for advancement and/ or conversion to continuous appointment of Lecturer grade appointees:-

1. Upon receipt of the Department Academic Personnel Committee's (DAPC)<sup>1</sup> recommendation on a review case, the Faculty Academic Personnel Committee (FAPC) will make a recommendation for peer review should the reviewee be shortlisted for consideration for advancement and/ or nominated for conversion to continuous appointment.
2. Nomination of peer reviewers will be made by the FAPC and the reviewee (optional) respectively. FAPC should avoid nominating reviewers whom the candidate has indicated not to be invited, if justified. Please refer to the notes on the *Nomination Form of Peer Reviewers for Teaching Quality Assessment (by Faculty)* and *Nomination Form of Peer Reviewers for Teaching Quality Assessment (by Candidate)* in making the nominations.
3. After receiving the nomination of peer reviewers from the FAPC and the reviewee (if provided), the Personnel Office will seek necessary clearance on the nominated reviewers (including any potential conflict of interests) before informing the Faculty to arrange the peer review.
4. The Faculty will
  - (i) in consultation with the Department/ reviewee decide on the course/ class to be visited (which may include laboratory demonstration or other activity-based teaching/ coaching if no classroom teaching is required), and obtain from the reviewee the relevant course materials (e.g. course syllabus/ outline, reading lists, assignments, examination scripts etc.) for review;
  - (ii) arrange the 2 reviewers to jointly conduct visit of a same class at the same time taught by the reviewee, and review the same set of course materials for consistency;
  - (iii) inform the reviewee of the date and time of the class to be visited and the name of the reviewers preferably 2 weeks in advance;

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<sup>1</sup> In the case of research institutes/ centres/ other units where there is no DAPC established, the recommendation on a review case will be made by the Director of the research institute/ centre/ other unit.

- (iv) provide the reviewee's course materials, teaching file and CTE records as well as the *Teaching Quality Assessment (Peer Review) Report* with Part I completed to the reviewers preferably 2 weeks in advance; and
  - (v) provide the *Guidelines on Conducting Teaching Quality Assessment (Peer Review)* to both the reviewers and reviewee.
5. The course materials provided by the reviewee are for the purpose of conducting the peer review, and should not be used by the reviewers for other purposes.
  6. To ensure consistency in the materials reviewed by the 2 reviewers and fairness in the review process, the reviewers should not contact the reviewee directly on matters relating to the review, and vice versa. Clarification may be sought from the Faculty where necessary.
  7. The reviewee may inform the students prior to and at the beginning of the class that peer reviewers have been invited to visit a designated class.
  8. During class visit, the reviewers should not ask questions or participate in class activities. Feedback to the reviewee on his/ her teaching performance is not required by the reviewers after class visit.
  9. After completion of the class visit and the review of course materials, the 2 reviewers should each complete a *Teaching Quality Assessment (Peer Review) Report* for submission to the Faculty preferably within 2 weeks. All review materials should be returned to the Faculty upon completion of peer review. The said reports will serve as FAPC's additional reference of the reviewee's teaching performance in making a final recommendation for the staff review.
  10. Exceptional arrangements may be approved by the Provost as appropriate.

November 2013



**Strictly Confidential****THE CHINESE UNIVERSITY OF HONG KONG****Teaching Quality Assessment (Peer Review) Report****(For Review for Advancement/ Continuous Appointment of Staff on the Lecturer Grade)****Note:**

This report is to be completed for staff assessment purposes, and will be submitted to the relevant review committees for reference. Part I should be completed by Faculty Academic Personnel Committee (FAPC), in consultation with the staff member to be assessed where appropriate (henceforth, reviewee). Part II should be completed by the reviewer.

**Part I) BASIC INFORMATION (To be completed by the FAPC)**

<b>A) Reviewee</b>	
Name	
Rank	
Department/ Faculty or Unit	
<b>B) Reviewer</b>	
Name	
Rank	
Department/ Faculty or Unit	
Nominated by Reviewee*/ Faculty* (*Please delete as appropriate)	
<b>C) Course to be reviewed (In consultation with the reviewee where appropriate)</b>	
Course code	
Title of course/ section	
Type of course/ class (e.g. lecture/ tutorial/ workshop)	
Class size	
Date and time of class visit	
If the course is co-taught, role and contribution of the reviewee	
Additional remarks by the FAPC	
Additional remarks by the reviewee	
Course materials submitted for review (e.g. course syllabus, reading list, assignments, examination scripts, etc)	

**D) Points to note/ Comments to be addressed by the reviewer (To be completed by the FAPC)**

**Part II) TEACHING QUALITY ASSESSMENT (To be completed by the reviewer)**

**Notes to the reviewer**

- 1) This report is designed to facilitate reviewing the overall teaching performance of a Lecturer grade appointee (henceforth, the reviewee).
- 2) You should request the reviewee (via the Faculty) to provide relevant additional materials (e.g., course materials or previous teaching evaluation reports) for a comprehensive review, particularly when relevant evaluation criteria are hard to judge on the basis of the class visit and the available materials.
- 3) Class visit should not be the sole basis of evaluation of the reviewee. Hence, please spend a significant amount of time and effort on providing comments for all sections of the evaluation form, if applicable, and not only on Section 2.
- 4) The general list of criteria below is for reference only. Please indicate “Not applicable (N/A)” for any criterion that is not relevant to your particular case.
- 5) Should you need detailed descriptions of the items to guide your review, please refer to the document “Peer Review on Teaching (Detailed Descriptions of Criteria)”.

**Section 1 Review of Course Materials**

<b>A. Objectives/ Expected Learning Outcomes</b>		N/A <input type="radio"/>
i. Scope and depth of course design/ Specification	Strengths:	Weaknesses:
ii. Pertinence to students’ learning needs		
iii. Adherence to published course design		
iv. (For co-teaching) Compatibility with overall course design		
v. Others		

<b>B. Content</b>		N/A <input type="radio"/>
i. Coverage	Strengths:	Weaknesses:
ii. Appropriate difficulty level/ depth		
iii. Apt use of examples		
iv. Others		

<b>C. Learning Resources</b>			N/A <input type="radio"/>
i. Adequacy	Strengths:	Weaknesses:	
ii. Relevance			
iii. Organisation/ Presentation			
iv. Engagement of student interest			
v. Others			

<b>D. Learning Activities</b>			N/A <input type="radio"/>
i. Alignment with course objectives/ learning outcomes	Strengths:	Weaknesses:	
ii. Reflection of up-to-date subject knowledge (professional and pedagogical)			
iii. Design of learning activities			
iv. Student engagement/ Student- centeredness			
v. Others			

<b>E. Assessment</b>			N/A <input type="radio"/>
i. Mode of assessment	(Please describe)		
ii. Alignment with objectives/ learning outcomes	Strengths:	Weaknesses:	
iii. Reasonable corresponding workload demand			
iv. Role as learning aid			
v. Fairness			
vi. Examination and/ or assignment questions			
vii. Others			

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## **Section 2 Class Observation**

<b>A. Description of Classroom Activities</b>

The following items B(i) to B(iv) and C(i) to C(iv) apply only to lecture components. Skip if not applicable.

For lectures/ small class teaching only:

<b>B. Organisation</b>			N/A <input type="radio"/>
i. Introduction	Strengths:	Weaknesses:	
ii. Body			
iii. Conclusion			
iv. Others			

For lectures/ small class teaching only:

<b>C. Content</b>			N/A <input type="radio"/>
i. Course materials	Strengths:	Weaknesses:	
ii. Additional resources			
iii. Quality examples and illustrations			
iv. Others			

The following items D(i) to D(v) and E(i) to E(v) apply to other forms of teaching (e.g., group discussion/ lab sessions/ clinical observations). Skip if not applicable.

For other forms of teaching:

<b>D. Activities Design</b>			N/A <input type="radio"/>
i. Contains sufficient opportunities for students to apply knowledge/ skills	Strengths:	Weaknesses:	
ii. Involves all students			
iii. Addresses individual needs			
iv. Develops and encourages reciprocity and cooperation among students			
v. Others			

For other forms of teaching:

<b>E. Organisation</b>			N/A <input type="radio"/>
i. General planning	Strengths:	Weaknesses:	
ii. Introduction			
iii. Body			
iv. Conclusion			
v. Others			

<b>F. General Items on Delivery</b> <span style="float: right;">N/A <input type="radio"/></span>		
i. Learning atmosphere	Strengths:	Weaknesses:
ii. Pacing/ Management		
iii. Presentation/ Communication skills		
iv. Use of teaching aids		
v. Attitudes/ Style		
vi. Others		

**Section 3 Overall Qualities of Reviewee (judgment based on all evidence available to the reviewer, including the two sections above)**

<b>A. Professionalism</b> <span style="float: right;">N/A <input type="radio"/></span>		
i. Knowledgeable about: content, pedagogy, and student characteristics	Strengths:	Weaknesses:
ii. Stimulates student thinking		
iii. Communicates high expectation/ Makes the course challenging		
iv. Fosters student curiosity and creativity		
v. Others		

<b>B. Commitment</b> <span style="float: right;">N/A <input type="radio"/></span>		
i. Reflects upon own teaching regularly	Strengths:	Weaknesses:
ii. Is well-prepared		
iii. Has good rapport with students		
iv. Maintains out-of-class interactions with students		
v. Others		

<b>C. Good Role Model</b> <span style="float: right;">N/A <input type="radio"/></span>		
i. Is passionate about teaching and learning	Strengths:	Weaknesses:
ii. Is enthusiastic about the subject matter		
iii. Others		

<b>D. Student Achievement</b>		N/A <input type="radio"/>
i. Achieves course objectives	Strengths:	Weaknesses:
ii. Enables student attainment: knowledge; skills; desirable learning attitude		
iii. Actively engages students with course materials and activities		
iv. Encourages students to analyse related issues from an academic perspective in the future		
v. Others		

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**Section 4 Overall Comments (Please provide feedback to FAPC's points to note/ comments to be addressed, if any, as well as reviewee's commendable areas and areas for improvement)**

**SIGNATURE**

\_\_\_\_\_  
(Name: Reviewer )

\_\_\_\_\_  
Date

**THANK YOU.**

*(Please return the completed report together with all review materials to the Faculty Dean for follow-up.)*

*For Reference Only***THE CHINESE UNIVERSITY OF HONG KONG****Professoriate Ranks, Processes and Assessment Criteria at CUHK****Professoriate Ranks**

The Chinese University of Hong Kong (CUHK) adopts a system of professoriate ranks similar to the US, namely:

*Assistant Professor*  
*Associate Professor*  
*Professor (divided into 3 Pay Bands: A1, A2 and A3)*

**Processes**

External assessment is relevant to the following processes:

- **Appointment**
- **Substantiation of appointment** (will not be made at the rank of *Assistant Professor* and so advancement to *Associate Professor* will be considered at the same time as substantiation). An appointee, if substantiated, will be on long-term employment until retirement age
- **Advancement** (i.e. promotion) from *Assistant Professor* to *Associate Professor*, or *Associate Professor* to *Professor*
- **Crossing of Pay Bands** within the *Professor* rank from A1 to A2, or A2 to A3

**Assessment Criteria**

The criteria are broadly categorized into three domains, as follows:

***Teaching***

Teaching includes not just lecturing, but all activities that contribute to the education outcome of university students; mastery of subject matter and also how the students learn (including independent life-long learning skills and attitudes).

- (1) **Classroom Teaching** (where “classroom” is broadly understood to include, for example, bedside teaching in the case of clinical staff, field instruction, undergraduate project/thesis supervision, etc.).
- (2) **Postgraduate Supervision and Examination**: number and quality of postgraduate students supervised and graduated; publications by postgraduate students and placement of graduates are also relevant.
- (3) **Teaching - Other Contributions**, includes, for example, curriculum and teaching materials development, programme leadership or management, developmental and validation work for improved student assessments, development and use of innovative pedagogy, pedagogical research, student counselling, mentoring of junior teaching appointees and professionals.

### ***Research & Scholarship***

- (1) **Publications**: quantity and especially quality and impact of publications (including abstracts and conference proceedings if refereed), with attention focused on publications addressed to peers (and therefore normally refereed and appearing in academic venues of importance and influence in the field); book reviews and citations of journal papers should be considered where such data are available.
- (2) **Research Grants**: mainly external competitive grants, especially as principal investigator, with more importance placed on number rather than dollar amount (the latter depends on the need for equipment and consumables), and with clear recognition that norms vary across disciplines.
- (3) **Research & Scholarship - Other Contributions**: outputs other than publications, including visiting professorships, fellowships, scholarships, awards, prizes, honours related to research and scholarship; invited presentations and lectures at conferences, scholarly meetings, workshops, symposia, exhibitions, or other public forums; intellectual property (e.g. inventions, products, research techniques, copyrights, patents or licenses); organization of conferences, service on editorial boards, contributions to peer review for journals/granting agencies; consultancies, commissioned projects/reports, technology transfer; collaboration with other research teams/institutions, research profile and leadership; professional recognition related to scholarship.

### ***Service***

Service includes contributions to the strategic initiatives, management and administration of the Department, Faculty, College and/or University, and advancement of the discipline through service to the Government/community/profession/industry. In the case of clinical appointees, patient care is also relevant.

- (1) **Service to Department/Faculty**
- (2) **Service to College/University**
- (3) **External Service**

The criteria for respective ranks are:

### ***Assistant Professor***

**Teaching**: After the initial years of service at the University, the candidate should have demonstrated competence and effectiveness in teaching.

**Research & Scholarship**: At an early stage of an academic's career at this level, emphasis is placed on assessing the candidate's potential as an important contributor to the field in terms of research and creativity; and whether his/her demonstrated works to date are promising indicators of a sustained and productive scholarly career.

**Service**: The candidate should demonstrate commitment to and effectiveness in undertaking administrative duties and service to the Department, Faculty, College and/or University. For a clinical professoriate appointment, the candidate should be recognized as a competent clinician after initial years of post-internship experience.



***Associate Professor***

Teaching: Clearly demonstrated record of competence and sustained commitment to teaching is necessary. He/She is expected to make a significant and developing contribution to the departmental course/programme.

Research & Scholarship: The candidate should have a solid record of quality research and continued productivity, as demonstrated by publications of importance and impact (evidenced by the prestige of publication venue, citations and/or positive reviews), with the potential for establishing regional reputation in his/her discipline. A record of invitations to speak at major international academic meetings, and/or contributions to peer review for journals/granting agencies is necessary.

Service: The candidate should have a good record of contribution to the Department, Faculty, College and/or University; and service to the profession/industry and the community. For a clinical professoriate appointment, the candidate should have solid achievements as a clinician, with expertise in a relevant speciality and appropriate higher qualification(s).

***Professor***

*Pay Band A1*

Teaching: Demonstrable evidence of contribution to teaching through effective innovation in delivery of education, curriculum development, course design, and teaching/learning methodologies is required.

Research & Scholarship: The candidate should have a proven record of original and creative contributions to the advancement of the discipline through publications of importance and impact (evidenced by the prestige of publication venue, citations and/or positive reviews) and strong scholarship, with an international impact. A track record of success in obtaining externally awarded competitive research grants (depending on the discipline), invitations to speak at major international academic meetings, contributions to peer review for journals/granting agencies, and supervision of research postgraduate students.

Service: The candidate should have a meritorious record in management/administration in the Department, Faculty, College and/or University, and significant contribution to the profession/industry and the community. For a clinical professoriate appointment at this level, the candidate should have regional reputation as a clinician, with expertise and demonstrated leadership in a relevant speciality and appropriate higher qualification(s).

*Pay Band A2*

Teaching: The candidate should have a demonstrable record and reputation for accomplishment in teaching, with experience in innovative practice in delivery of education, curriculum development and teaching/learning methodologies etc. He/She is expected to provide leadership to the teaching and research programmes and to play a major role in the planning and development of the discipline.

Research & Scholarship: The candidate should have a sustained record of outstanding contributions to the advancement of the discipline through scholarly work of originality and merit (evidenced by the prestige of publication venue, citations and/or positive reviews) and excellent scholarship, with high international impact. A track record of successful collaboration with other research teams/institutions, sustained success in obtaining externally awarded competitive research grants (depending on the discipline), invitations to speak at major international academic meetings, contributions to peer review for journals/granting agencies, and supervision of research postgraduate students.

Service: The candidate should possess qualities of leadership, with a proven record of significant service to the strategic initiatives and management of the Department, Faculty, College and/or University. Substantial contribution to the profession/industry and the community is required. For a clinical professoriate appointment at this level, the candidate should have international/high regional reputation as a clinician, with expertise and leadership in a relevant speciality and appropriate higher qualification(s).

*Pay Band A3*

Teaching: The candidate should have substantial record and reputation for accomplishment in teaching, with significant experience in innovative practice in delivery of education, curriculum development, and teaching/learning methodologies etc. He/She is expected to provide leadership to the teaching and research programmes and play a major role in the planning and development of the discipline.

Research & Scholarship: The candidate should have a sustained record of distinguished contributions to the advancement of the discipline through scholarly work of originality and merit (evidenced by the prestige of publication venue, citations and/or positive reviews) and outstanding scholarship, with prominent international impact and acclaimed leadership. A track record of successful leadership in research teams, sustained success in obtaining externally awarded competitive research grants (depending on the discipline), invitations to speak at major academic meetings, contributions to peer review for journals/granting agencies, and supervision of research postgraduate students.

Service: The candidate should have outstanding qualities of leadership, with an excellent record of service to the strategic initiatives and management of the Department, Faculty, College and/or University. Substantial contribution to the profession/industry and the community is required. For a clinical professoriate appointment at this level, the candidate should have excellent international reputation as a clinician, with expertise and significant leadership in a relevant speciality and appropriate higher qualification(s).

## Awards of Choh-Ming Li Professorships and Outstanding Fellowships

In order to recognize academic staff with distinguished scholastic performance, the University has established the Choh-Ming Li Professorships and the Outstanding Fellowships (Faculty basis).

Both award schemes were first open to nominations in 2012. In that exercise, 11 and 9 awards of Choh-Ming Li Professorships and Outstanding Fellowships respectively were made and the former were presented to the awardees at the installation of the Choh-Ming Li Professorships in 2013 (<http://www.iso.cuhk.edu.hk/english/publications/newsletter/article.aspx?articleid=57677>).

The two schemes are now open again to nominations from Faculty Deans.

Personnel Office

### 「卓敏講座教授」及「傑出學人」榮銜

為表揚在學術方面表現卓越的教學人員，大學分別設立「卓敏講座教授」及「傑出學人」（學院層面）兩項殊榮。

這兩項表揚計劃於 2012 年首度接受提名，最後一共頒發了 11 個「卓敏講座教授」及 9 個「傑出學人」殊榮。前者於 2013 年卓敏教授席頒授典禮中頒發與獲獎者 (<http://www.iso.cuhk.edu.hk/chinese/publications/newsletter/article.aspx?articleid=57678>)。

這兩項計劃現正再次接受學院院長提名。

人事處

March 17, 2014