

THE CHINESE UNIVERSITY OF HONG KONG

Functions of Boards of Faculties

1.0 General

- 1.1 A Board of Faculty is a statutory body of this University and is governed by paragraph 7 of Statute 15 of the University Statutes:

"The Board of Faculty shall co-ordinate the activities of the Boards of Studies within the Faculty and it shall be its function to consider and deal with the recommendations of the Boards of Studies -

- (a) on the content of courses for the degree or degrees; and
- (b) on the details of syllabuses."

- 1.2 The Board of Faculty is presided over by the Dean of the Faculty, who shall see that the Board of Faculty carries out properly the functions which are described in detail below.

2.0 Programmes of Studies

- 2.1 to review the programmes of studies
- 2.2 to approve minor changes in courses
- 2.3 to recommend to the Senate Academic Planning Committee for approval the introduction of new courses
- 2.4 to recommend to the Senate for approval:
  - (a) introduction of Major and Minor programmes, and
  - (b) major revision of existing programmes of studies

3.0 Examinations

- 3.1 to recommend to the Undergraduate Examinations Board for approval:
  - (a) Degree Examination syllabuses and schemes
  - (b) Major/Minor combinations in the Degree Examination, and
  - (c) "course assessment" system
- 3.2 to approve student promotion lists and to consider related matters
- 3.3 to determine candidacy for the Degree Examination

4.0 Admission

- 4.1 to determine criteria and procedures for admission into the Faculty
- 4.2 to determine the distribution of admission quota within the Faculty
- 4.3 to consider applications for admission into the Faculty in accordance with University and Faculty requirements

5.0 Student Affairs

- 5.1 to take appropriate disciplinary action on academic grounds against a student who violates any rule or regulation and/or commits any

misconduct or to recommend such to the Senate for approval, where necessary

5.2 to recommend to the Senate for approval applications from elected Student Union Presidents for extension of period of study

5.3 to recommend students for award of scholarships or bursaries and deal with related matters

6.0 Staff Matters

6.1 to make nominations of staff to serve on various University boards and committees

6.2 to assess staffing requirements and to formulate recruitment policies where necessary

7.0 Committees

7.1 to appoint committees or ad hoc committees and determine their compositions, powers and functions

8.0 Others

8.1 to undertake such other responsibilities and carry out such other duties relating to the work of the Faculty as the Senate may from time to time require

THE CHINESE UNIVERSITY OF HONG KONG

Faculty Executive Committee

(For approval by AAPC on 18 August 2009)

In view of the need of Faculty Deans to consult and be advised on matters beyond those under the jurisdiction of the Faculty Boards, each Faculty should set up a Faculty Executive Committee as an separate *advisory* body to the Dean in discharging his/her duties as head of the Faculty.

1. Each Faculty shall establish a Faculty Executive Committee, which shall consist of -
  - (a) the Dean of the Faculty, who shall be the Chairman;
  - (b) the Associate Deans of the Faculty;
  - (c)
    - (i) all, or at least three of the Chairmen of the Departments and Directors of Schools (and with the approval of the Vice-Chancellor, the Director of Studies) within the Faculty, nominated by the Dean of the Faculty;
    - (ii) alternatively for any Faculty without constituent Departments or Schools, at least three teachers within the Faculty, nominated by the Dean of the Faculty.

The Faculty Dean shall appoint the secretary of the Committee.

2. It shall be the duty of the Faculty Executive Committee –
  - (a) to assist the Dean of the Faculty in the performance of his/her duties;
  - (b) to initiate plans for Faculty development;
  - (c) to assist the Dean of the Faculty in managing the budget, finances and space of the Faculty; and
  - (d) to deal with any matter referred to it by the Vice-Chancellor or his designate, AAPC or the Faculty Board.
3. The Faculty Executive Committee shall report to AAPC through the Faculty Dean.

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Note: The above is patterned after AAPC, whose membership and terms of reference are defined by Statute 13, which reads as follows:

1. There shall be a Committee of the Council known as the Administrative and Planning Committee, which shall consist of –
  - (a) the Vice-Chancellor, who shall be the Chairman;
  - (b) the Pro-Vice-Chancellors;
  - (c) the Heads of the original Colleges and of Shaw College;
  - (d) the Dean of each Faculty and of the Graduate School;
  - (e) the Secretary;
  - (f) the Registrar;
  - (g) the Bursar; and
  - (h) the University Dean of Students.The Secretary or his deputy shall serve as secretary of the Committee.
2. Subject to the Ordinance and the Statutes, it shall be the duty of the Administrative and Planning Committee –
  - (a) to assist the Vice-Chancellor in the performance of his duties;
  - (b) to initiate plans of University development;

- (c) to assist the Vice-Chancellor in reviewing and co-ordinating the annual and supplementary estimates of recurrent and capital expenditures of the University, before transmitting them to the Finance Committee of the Council;
  - (d) to review or propose academic and administrative appointments that are at and above the level of Tutors and Demonstrators or their equivalent before these appointments are made;
  - (e) to deal with other matters referred to it by the Council.
3. The Administrative and Planning Committee shall report to the Council through the Vice-Chancellor.

# THE CHINESE UNIVERSITY OF HONG KONG

## Roles and Responsibilities of Deans of Faculties

(For approval by AAPC on 18 August 2009)

### General

1. The Dean is the academic and executive head of the Faculty who takes overall charge of staff, resource (financial and space) and student matters as well as quality assurance and control matters within the Faculty. The Dean is responsible to the Vice-Chancellor (or the Provost or a Pro-Vice-Chancellor designated by the Vice-Chancellor) and through the Vice-Chancellor to the University Council.

### Strategic planning

2. The Faculty Dean is expected to develop a Faculty Strategic Plan that sets out the goals of the Faculty in alignment with the University's Vision, Mission and Strategic Plan, and as agreed with the Vice-Chancellor (or the Provost or a Pro-Vice-Chancellor designated by the Vice-Chancellor), and an annually updated Action Plan within the envelope of available resources for achieving the said goals. Some of the duties below should be seen as part of the process for achieving the goals in the Faculty Strategic Plan.

### Academic Matters

3. The Faculty Dean shall formulate Faculty development proposals/reports such as triennial and annual development proposals.
4. The Faculty Dean shall receive and as appropriate act on the advice of Visiting Committees (appointed by the Vice-Chancellor) on the performance and future development of Departments/Schools in the Faculty.
5. The Faculty Dean shall:
  - (a) receive and as appropriate act on the report of the Programme Reviews pertaining to the programmes of studies;
  - (b) curb the unnecessary proliferation of programmes and courses, and make recommendations for endorsement of the Faculty Board as to which self-financed taught postgraduate programmes and sub-degree programmes should be supported for continuation after the valid period of approval by the Senate; and
  - (c) supervise course and teaching evaluation in the Faculty.
6. The Faculty Dean shall monitor the conduct of courses, the conduct of examinations and grading to ensure a certain degree of uniformity within the Faculty.
7. The Faculty Dean shall coordinate research and knowledge transfer efforts and set expectations within the Faculty, lead and coordinate the effort of the Faculty in seeking external grants and funding support for research.

8. The Faculty Dean shall lead in fostering collaborations and partnerships of the Faculty (in teaching and learning, research and other areas) with key institutions nationally and internationally.

#### Staff Matters

9. The Faculty Dean shall formulate recruitment, retention and succession strategies and lead recruitment efforts within the Faculty.
10. The Faculty Dean shall serve as Chairman of the Faculty Academic Personnel Committee (FAPC) and in that role be responsible for setting high standard in the reviews related to academic personnel, including appointment, contract renewal, substantiation/ conversion to continuous appointment, pay review, advancement, crossing of pay bands, retirement/ extension of service.
11. The Faculty Dean shall approve routine staff matters such as leave, outside practice, conference grants, reimbursement of staff training and development expenses, etc. in accordance with the University regulations, and make recommendations for consideration by the relevant authority in respect of those matters with an element of competition such as staff development grants, and those matters that require approval beyond the Faculty level, such as remunerative outside/visiting academic appointments.
12. The Faculty Dean shall handle staff discipline and grievance matters within the Faculty. In the event of staff grievances or discipline case, the Faculty Dean shall take part in or lead the relevant procedures, in accordance with University policies and guidelines.

#### Resource Matters

13. The Faculty Dean shall be responsible for the effective and efficient allocation and deployment of Faculty funds and space in pursuit of agreed Faculty objectives.
14. The Faculty Dean shall manage the budget of the Faculty and determine whether the budget allocated to the Faculty should be sub-allocated to each Department/School and if so, the internal allocation for each Department/School.
15. The Faculty Dean shall finalize the budget plan (and its revision) of the Faculty, after receiving the advice of the Faculty Executive Committee, for presentation to the University for approval, if the Faculty budget is not sub-allocated to the Departments/Schools.
16. The Faculty Dean shall approve the budget plans (and their revision) of Departments/Schools and Faculty-based units within the Faculty, after consultation with the Faculty Executive Committee, for presentation to the University for final approval, if the Faculty budget is sub-allocated to the Departments/Schools.
17. The Faculty Dean shall be held ultimately accountable for the financial sustainability of all activities supported by private funds within the Faculty (including those of self-financed programmes) and the deployment of resources generated by such activities.
18. The Faculty Dean shall approve expenditure applications for travelling and related expenses of academic visitors and staff members of the Faculty, and other expenditure items as may be determined by the University from time to time.

19. The Faculty Dean shall be responsible for the utilization and efficient use of space within the Faculty and shall, in consultation with the Faculty Executive Committee, sub-allocate, re-distribute, clawback and withhold space within the Faculty, if needed, and submit requests to the Committee on Space Allocation (COSA) in case of space shortage.

#### Student Matters

20. The Faculty Dean shall lead and be responsible for the quality of student admissions, the monitoring of student progress and the performance of graduating students.
21. The Faculty Dean shall ensure that relevant University regulations are observed.
22. The Faculty Dean shall lead and coordinate experiential learning opportunities for students in the Faculty.
23. The Faculty Dean shall lead and coordinate efforts to enhance career opportunities for graduates of the Faculty.

#### Others

24. The Faculty Dean shall ensure that the achievements and contributions of the staff and students in the Faculty are suitably made known to stakeholders and the wider community.
25. The Faculty Dean shall liaise with potential supporters and to seek funding support for the educational and research endeavours of the Faculty.
26. The Faculty Dean shall ensure that relevant laws, applicable government regulations and University policies are observed within the Faculty, such as policies on work place and laboratory safety, copyright and intellectual property rights, prevention of sexual harassment and discrimination, and protection of personal data privacy.
27. The Faculty Dean shall carry out any additional duties as may be requested by the Vice-Chancellor (or the Provost or a Pro-Vice-Chancellor designated by the Vice-Chancellor) from time to time.

#### Deliverables

28. As part of the Faculty Strategic Plan and through the above tasks, the Faculty Dean is expected to be responsible through the Provost (or a Pro-Vice-Chancellor designated by the Vice-Chancellor) to the Vice-Chancellor for the following:
  - (a) the quality of student admission;
  - (b) the quality of teaching and learning;
  - (c) the quantity of research grants and the success rate in securing such grants; the quality, quantity and impact of research output; and the setting of research standards;
  - (d) the extent and impact of knowledge transfer and community engagement; and
  - (e) the quality of staff appointment, especially for substantiated staff.

# THE CHINESE UNIVERSITY OF HONG KONG

## Duties and Functions of Boards of Departments

### 1. General

1.1 A Board is established under each Department and shall consist of:

- (1)
    - (a) the Vice-Chancellor;
    - (aa) the Dean of any Faculty to which the Department is affiliated;
    - (b) the Chairman of the Department, who shall be Chairman of the Board;
    - (c) all of the professoriate teachers assigned to the Department; and
    - (cc)  $x$  non-professoriate teachers, where  $x$  equals to the whole number nearest to 30% of the professoriate teachers in (c) above, to be elected by and from among all of the non-professoriate teachers for a term of three years.
  - (2) On the approval of the Senate, teachers of other Departments who contribute substantially to the teaching of students pursuing courses of study within the purview of a Department and are nominated by the Board of the Department become members of the Board.
  - (3) The Board of a Department may, at its discretion, nominate such students as it deems fit as student members for such period as the Board may in its absolute discretion determine, provided that such student members shall not be entitled to participate in that part of meetings considering reserved areas of business or have access to or read papers or any other documents relating thereto.
- 1.2 The Chairman of the Board of a Department will be responsible for coordinating the duties and functions of the Board as detailed in the following paragraphs.
- 1.3 For courses of study which are jointly offered by two or more Departments, some of these functions of the Board may be entrusted to a Faculty Committee or coordinated by the Faculty Board as decided by the Faculty Board.

### 2. Duties and Functions

#### Departmental Policies

- 2.1 To formulate departmental policies and guidelines designed to give more specific interpretation of University policies and guidelines.

#### Course Planning and Teaching

- 2.2 To plan, review and evaluate undergraduate and postgraduate programmes and courses, with a view to updating and strengthening their contents,



improving their delivery, avoiding unnecessary proliferation of courses, and meeting professional recognition requirements, wherever applicable.

- 2.3 To define policies for assignment of teaching duties pertaining to the Department.
- 2.4 To recommend the purchase and allocation of books in the subjects concerned.

#### Student Matters

- 2.5 Admission -  
To appoint an Admission Coordinator(s), who will work with the Chairman of the Faculty Admission Committee in considering applications for admission as regular, associate or auditing students.
- 2.6 Academic Counselling -  
To appoint Academic Advisers who are responsible for giving full academic guidance to undergraduate students in respect of their selection of courses and pace of academic progress, and for endorsing their leave of absence.
- 2.7 Academic Performance -  
To review students' general academic performance, monitor their progress, make recommendations on borderline cases and students with unsatisfactory performance, consider applications for transfer from one Department to another, and decide on the classification of honours.

#### Examinations

- 2.8 To advise the Senate on the appointment of Examiners, and in case of absolute necessity, on the appointment of Associate Examiners below the rank of Assistant Lecturer.
- 2.9 To establish an Examination Panel\* to administer examinations under its purview, to approve course grades given by teachers and to make adjustments when found necessary. The Chairman of the Board will serve as Chairman of the Examination Panel.

#### Other Matters

- 2.10 To coordinate and submit short term and long term plans of the Department to the Faculty Dean in accordance with the planning cycle of the University.
- 2.11 To approve the Annual Departmental Records prepared by the Department Chairman.
- 2.12 To consider estimates of expenditure prepared in respect of the Department, and to report thereon to the Chairman of Department or Faculty Dean; and to

*\*equivalent to an Assessment Panel*

endorse such items of expenditure as required from time to time and specified in the One-line Budget Operation Manual, for approval (or otherwise) by the Faculty Dean and the University.

2.13 To encourage and coordinate quality research and teaching.

2.14 To foster and consider academic link and exchange activities.

3. Board Meetings

3.1 Frequency -  
At least three times a year.

3.2 Quorum -  
One half of its members who are not on approved leave.

3.3 Minutes -  
Proper minutes shall be kept for all Board meetings. Copies of the minutes together with agenda papers shall be sent to the Pro-Vice-Chancellors for information, to the Registrar for the Senate's record, and to each Faculty Office (minutes only) for the perusal of Senate members on request.

4. Committees under the Board

Each Board may set up such committees as deemed necessary to assist the Board in carrying out its functions, which shall include but not be restricted to the following:

4.1 Department Executive Committee

4.2 Staff-Student Consultative Committee, except for Boards in those Faculties which offer integrative programmes of study and have Staff-Student Consultative Committees already established under the Faculty Board in respect of the integrative programmes.

4.3 Curriculum Committee

4.4 Research Committee

4.5 Library Committee

# THE CHINESE UNIVERSITY OF HONG KONG

## Duties and Functions of Department Executive Committees

### 1. Composition

Chairman: Chairman of the Department

Members: (1) At least two Category 1(c) and 1(cc) members of the Board of Department to be elected by and from among themselves; and  
(2) Such other Category 1(c) members of the Board of Department, who have special administrative responsibilities (e.g. Head of Graduate Division, College Co-ordinators, etc) as the Board of Department may decide.

Secretary: Secretary of the Board of Department  
(who will also be a member of the Department Executive Committee if he/she is a teacher)

### 2. Terms of reference

2.1 To act as an executive arm of the Board of Department and assist the Board in the formulation of policies and implementation of decisions.

2.2 To advise the Chairman in drawing up (and revising) the budget plan of the Department. (Note: In budgetary matters, a Department Executive Committee should give advice on the addition or deletion of posts in relation to the allocation, taking into consideration the teaching, research and administrative needs in the Department. It should not discuss, query or comment on personnel matters involving individual staff members such as substantiation, crossing of efficiency bar, contract renewal, promotion, retirement or extension of service.)

2.3 To act and make decisions on behalf of the Board of Department in routine and non-controversial matters that require immediate action by the Board of Department, and to report all such decisions to the Board of Department for record/information. Matters that either involve policy making or are controversial in nature can be discussed by a Department Executive Committee but should be referred to the Board of Department for consideration and approval.

3. Relationship between Department Executive Committees and Faculty Boards

The Executive Committee of a Department will be directly responsible to the Board of Department in all matters. Direct relation exists between a Department Executive Committee and a Faculty Board only when a Department Executive Committee acts and makes decisions on behalf of the Board of Department in matters that require immediate action for further consideration by the Faculty Board.

# THE CHINESE UNIVERSITY OF HONG KONG

## Duties of Chairman of Department \*

### General

1. The Department Chairman is the executive head of the Department and reports to the Faculty Dean.
2. A Board of Department shall be established under each Department. The Department Chairman shall be the Chairman of the Board. This document should be read in conjunction with the "Duties and Functions of Boards of Departments".
3. The Department Chairman is responsible for assisting the Faculty Dean concerned in the formulation of the Faculty strategic plan and academic development proposals; and preparing the Annual Departmental Record for approval by the Board of Department.
4. The Department Chairman is also responsible for the general administration of the Department in consultation with the Executive Committee of his Department which is to be constituted according to a method determined by the Board of Department. This document should also be read in conjunction with the "Duties and Functions of Department Executive Committees".

### Academic Matters

5. To ensure that teaching and research in the Department attain the highest international/professional standard.
6. To formulate departmental policies, development proposals/reports and the forward planning of the Department, in conjunction with the Board of Department.

### Staff Matters

7. To chair the Department Academic Personnel Committee for consideration of academic personnel matters according to its terms of reference.
8. To initiate action relating to recruitment of staff (all grades), including preparation of post specifications for advertisement, screening of applications and to help new staff members settle in and monitor their progress.
9. To prescribe the teaching and/or administrative duties of academic and non-academic staff members in the Department.
10. To review and make recommendations/nominations in respect of staff members of the Department for substantiation/conversion to continuous appointment, contract

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\* Throughout this document, reference to a "Department" shall include a "School of Studies"; and to a "Chairman of Department" shall include a "Director of School" appointed in accordance with Statute 17.2 of The Chinese University of Hong Kong Ordinance.

renewal, promotion, retirement and extension of service after due process within the Department.

11. To make recommendations/nominations in respect of staff members for staff development grants and special research grants; to endorse applications for engaging in outside practice or outside activities; and to endorse leave of absence (e.g. annual/long/conference leave) in the light of teaching and other duties in the Department.
12. To conduct appraisal or oversee the conduct of the appraisal process on the performance of academic and non-academic staff in the Department, including making recommendations under the performance-linked pay review systems.
13. To handle staff discipline and grievance matters in accordance with University policies and guidelines; and to give views and, upon appointment by the Vice-Chancellor, to serve on ad hoc review panels concerning staff discipline cases.

#### Financial Matters

14. To be responsible for the effective and efficient application of departmental funds in pursuit of agreed departmental objectives, and to supervise and control all departmental financial accounts.
15. To draw up the budget plan (and its revision) of the Department in consultation with the Executive Committee for submission to the Board of Department, before consideration for approval by the Dean and the University.
16. To report and/or to present to the Board of Department for endorsement on the use of departmental funds for such expenditure items as may be determined by the University from time to time.
17. To report to the Board of Department and the Dean on the financial accounts when all expenditures are concluded in the financial year.

#### Administrative Matters

18. To be generally responsible for the day-to-day administration of the Department and for liaising with the Faculty, other Departments/Units in the University, and outside bodies.
19. To be responsible for safety matters within the Department and ensure that all reasonably practicable actions are taken there to prevent the occurrence of accidents that may produce injury or illness.
20. To be responsible for the training and supervision of the administrative and other support staff in the Department.

Student Matters

21. To ensure that relevant University regulations are observed.

Approved by AAPC at its 20<sup>th</sup> (2010) Meeting held on 7 December 2010 (last revised in October 2010)

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# THE CHINESE UNIVERSITY OF HONG KONG

## Duties of Director of Studies

### General

1. A Director of Studies is appointed by the University Council on the recommendation of the Senate for an academic subject not subsumed under a Department.
2. The Director of Studies is responsible for assisting the Faculty Dean(s) concerned in the formulation of the Faculty development proposals/reports such as triennial and annual development proposals.
3. The Director of Studies is also responsible for the general administration of the programme(s) in the academic subject for which he/she is appointed. He/she shall be the Chairman of the Programme Committee established for the programme(s) concerned, and is responsible for coordinating the duties and functions of the Programme Committee as detailed in Paragraphs 5 to 16 below.
4. The Director of Studies shall also perform duties prescribed by the Board of the Faculty concerned or, in the case of University General Education, by the Senate Committee on University General Education.

### Course Planning and Teaching

5. To plan, review and evaluate undergraduate and postgraduate programmes and courses, with a view to updating and strengthening their contents, improving their delivery, avoiding unnecessary proliferation of courses, and meeting professional recognition requirements, wherever applicable.
6. To define policies for assignment of teaching duties pertaining to the programmes.
7. To recommend the purchase and allocation of books in the subjects concerned.

### Student Matters (applicable to an academic subject where there is at least a major undergraduate programme or a postgraduate programme)

#### 8. Admission

To appoint an Admission Coordinator(s), who will work with the Chairman of the Faculty Admission Committee in considering applications for admission as regular or associate students.

#### 9. Academic Counselling

To appoint Academic Advisers who are responsible for giving full academic guidance to undergraduate students in respect of their selection of courses and pace of academic progress, and for endorsing their leave of absence.

#### 10. Academic Performance



To review students' general academic performance, monitor their progress, make recommendations regarding students with unsatisfactory performance, consider applications for transfer from and to the programme, and decide on the classification of honours.

### Examinations

11. To advise the Senate on the appointment of External/Visiting Examiners.
12. To establish an Examination Panel\* to administer examinations under its purview, to approve course grades given by teachers and to make adjustments when found necessary. The Director of Studies will serve as Chairman of the Examination Panel.

### Financial Matters

13. To endorse the budget plan (and its revision) of the academic programmes concerned for approval by the Faculty Dean (or the supervising Pro-Vice-Chancellor in the case of the University General Education Programme) and the University.

### Other Matters

14. To coordinate and submit short term and long term plans for the academic subject concerned to the Faculty Dean(s) in accordance with the planning cycle of the University.
15. To encourage and coordinate quality research and teaching in the subject concerned.
16. To foster academic links and exchange activities.

*\*equivalent to an Assessment Panel*