

香港城市大學教學人員續聘程序和上訴機制摘要

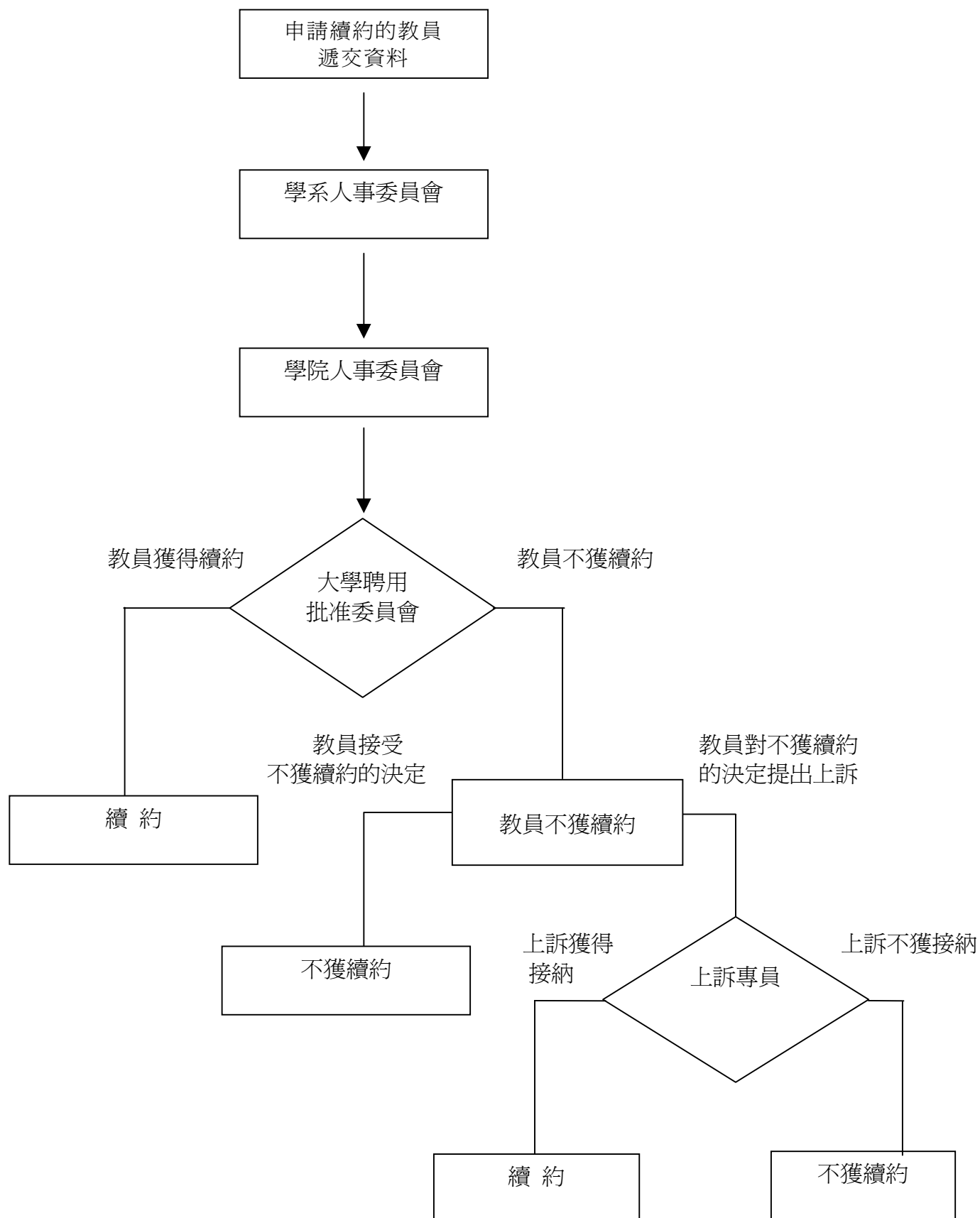
續聘程序

1. 以合約形式聘用的教員，當其合約屆滿時，將不會自動獲續約，這一點在聘書上已清楚列明。校方必須在這些教員合約屆滿前考慮是否繼續聘用他們。
2. 根據大學聘用程序，所有重要的人事安排，包括續約事宜，都經由三層議會審議。首先由申請續約的教員遞交詳細資料，供學系人事委員會考慮和作出續約建議，經學院人事委員會評審後，再交由大學聘用批准委員會決定（流程請參閱附錄一），程序詳情則見英文附錄二。
3. 由於法律學院和創意媒體學院都是由單一『學系』組成，故此只會透過兩層架構審議人事安排。在學院人事委員會（相等於學系人事委員會）作出建議後，便會呈交大學聘用批准委員會審核。
4. 大學審議教員續聘事宜，主要根據四項準則評審他們的表現，包括：教學、研究、專業活動和對大學及社會的服務（見英文附錄二）。同時亦會考慮大學按教員職級所公告的相關工作指標，作為指引（詳情見英文附錄三）。
5. 由於各學系對其本身學術領域和教職員的情況最為熟悉，因此管理議會於二零零一年十一月通過，將人事安排的決定權下放予各學系。由今年七月開始，經由學系人事委員會評審而不再續聘的決定，不需要再由學院人事委員會或大學聘用批准委員會重新審議。此舉亦是為了提高工作效率和善用資源。新的聘用程序詳情已於二零零一年十一月中通知所有教職員。
6. 然而，所有學系人事委員會的決定，不論續約與否，都需要向學院人事委員會或大學聘用批准委員會報告，供其查閱。此外，現行的上訴機制（詳情如下）並沒有因新的聘用程序而更改。

上訴機制

7. 教員必須在收到正式續聘結果通知後三個星期內，以書面向校長提出上訴申請，詳細列出申請上訴的理據。
8. 校長將委任上訴專員（通常由副校長出任）處理上訴申請，上訴專員有權決定處理上訴申請的程序。
9. 獲校長授權，上訴專員對上訴申請的決定，為最終裁決。

香港城市大學教學人員續聘程序及上訴機制（流程圖）



CITY UNIVERSITY OF HONG KONG

Academic Staff

**Initial Assessment for Continual Appointment/
Substantiation of Appointment/
Re-appointment on Completion of Fixed-term Contracts/Crossing of Salary Bar**

A. Criteria

The following criteria will apply for assessment of academic staff on initial assessment for continual appointment/substantiation of appointment, completion of fixed-term contracts, and crossing of salary bar. Details about the criteria are contained in the Guidance Notes on Performance Appraisal for Academic Staff at the website: <http://www.cityu.edu.hk/hro/stafflan/ppad/ppad-guide-acad.htm>.

Faculty Staff

1. Education - The Scholarship of Teaching and Learning

The scholarship of teaching and learning as demonstrated normally by the presentation of a Teaching Portfolio which contains the following evidence:

- (a) results of student evaluations of teaching based on properly conducted surveys, such as the Teaching Feedback Questionnaire, using procedures administered by the faculty/department concerned, or some other properly conducted surveys; results of peer evaluations and evaluations from other sources;
- (b) self-report evidence which demonstrates experience and accomplishments in curriculum planning, student supervision, scholarship in teaching and other related matters.

2. Research - The Scholarship of Discovery and Integration

The scholarship of discovery and integration will normally be demonstrated by presentation of the following evidence :

- (a) published works including books, book chapters, monographs, refereed publications in journals, refereed conference proceedings and publications in non-refereed journals or other printed media, books or conference proceedings edited; acceptance for publications will also be taken into account;
- (b) grants and external funding;
- (c) evidence of substantial commitment to research and creative projects;

3. Professional Activities - The Scholarship of Engagement and Application

The scholarship of engagement and application will include :

- (a) conducting applied research and evaluation;
- (b) consultancies with business, industry or public bodies;
- (c) contribution to professional service.

4. Campus and Community Citizenship

Campus and community citizenship will be demonstrated by evidence which indicates effective and significant work carried out in roles on committees, working parties and boards; representation at functions for institutional advancement; attendance and support of university activities; degree of involvement in professional organisations, and, degree of participation in public affairs. The ability to foster a harmonious working relationship with colleagues and evidence of good interpersonal skills and participation in teamwork will also be considered.

College Staff

1. Education - The Scholarship of Teaching and Learning

The scholarship of teaching and learning as demonstrated normally by the presentation of a Teaching Portfolio which contains the following evidence:

- (a) results of student evaluations of teaching based on properly conducted surveys, such as the Teaching Feedback Questionnaire, using procedures administered by the faculty/department concerned, or some other properly conducted surveys; results of peer evaluations and evaluations from other sources;
- (b) self-report evidence which demonstrates experience and accomplishments in curriculum planning, student supervision, scholarship in teaching and other related matters.

2. Contribution to Applied Work

- (a) applied studies, outcomes, grants, etc;
- (b) service to the community, Hong Kong, China and internationally;
- (c) consultancy;
- (d) linkages with employers, professional bodies, and Government;
- (e) scholastic leadership.

3. Professional Activities - The Scholarship of Engagement and Application

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The respective Departments/Faculties/College may add supplementary criteria as appropriate. However, the additional supplements required must not be in conflict with the University-wide criteria/guidelines. Moreover, individual Faculties/College should announce the criteria to staff and approval authority should adhere to the criteria announced in making decisions.

B. Points to Note

1. When assessing the suitability of staff for continual appointment/substantiation of appointment, the following arrangements will apply:
 - a) Staff whose performance is assessed as satisfactory may be recommended for continual appointment/substantiation.
 - b) Staff who are due for substantiation and whose performance is assessed as not entirely satisfactory, but likely to improve over a further period of service may be recommended for a further period of evaluation of up to three years.
 - c) Staff whose performance is assessed as not satisfactory should be considered for termination of employment with the University.
 - d) For serving Lecturers/University Assistant Lecturers in the Faculties appointed on superannuable terms, substantiation of appointment will not be possible until they are able to satisfy the requirements for promotion to Assistant Professor.
2. When recommending staff members for re-appointment, the following arrangements will apply:
 - a) Staff whose performance is assessed as satisfactory may be recommended for re-appointment either on superannuable terms or gratuity-bearing contract terms, subject to the ratio of 80% : 20% for Academic & Equivalent Administrative Staff on superannuable : contract terms respectively.
 - b) Staff whose performance is assessed as not entirely satisfactory, but likely to improve over a further period of service may be recommended for an extension of their current contract for one year, with deferral of gratuity and benefits earned.
 - c) Other factors to take into account on offering superannuable terms of appointment may include years of service, recognised performance and contribution to the department, departmental manpower planning and succession planning, call for long-term commitment of the staff member to the University, etc.
 - d) For departments where the ratio of Academic & Equivalent Administrative Staff employed on superannuable terms to fixed-term contract is likely to exceed 80:20, the offer of re-appointment on fixed-term contracts with contract-end gratuity, instead of superannuable terms, may be considered.

- e) In cases where superannuable terms is offered, a further period of evaluation may be included taking into consideration that the normal period of evaluation for substantiation is 6 years for Assistant Professors and 5 years for other Academic Staff; the length of service of the staff member whilst appointed on gratuity-bearing terms; the performance of the staff member, etc. The period of evaluation can range from 1 to 5 or 6 years for substantiation purposes.
 - f) Staff whose performance had been assessed satisfactory for re-appointment on superannuable terms, but were only offered re-appointment on gratuity-bearing contract terms due to the ratio constraint, might be allowed, at the recommendation of their Head of Department and approval of the Line Manager, a change to substantiated superannuable terms, or non-substantiated superannuable terms with a further evaluation period ranging from 1 to 5 or 6 years, before completion of the re-appointment contract when the ratio in the department permits as a result of staff changes.
 - g) Lecturers (Faculty) and Assistant Lecturers (College) are appointed on gratuity-bearing contract terms. They are expected to qualify for promotion to Assistant Professors (Faculty)/Lecturers (College) during the contract period. Should continuation of employment at Lecturer (Faculty) or Assistant Lecturer (College) level be considered necessary for a further period, they may be recommended for an extension of the current contract period or for a new contract period.
3. For cases that are recommended for application for substantiation of appointment, 4 external assessments are required for Associate Professor (Scale A)/Principal Lecturer and above and 2 for those below that level, subject to the discretion of the Faculty/College Staffing Committee to waive the requirement, such as :
- (a) cases involving very eminent scholars;
 - (b) cases for which a further evaluation period is being recommended;
 - (c) cases for which an appropriate number of external assessments has been solicited recently.

For other cases, individual Faculties/College or Line Managers may decide whether to establish the practice of seeking external assessments, as one of the forms to solicit general feedback, for all the cases to be presented to the Approving Committee for consideration. External assessments will however be strongly recommended for controversial cases.

4. In conducting the review for crossing of salary bar under the Merit-Based Reward Scheme, the following arrangements will apply :
- (a) Staff members assessed to have attained the required standard will cross the salary bar and proceed to the next salary point.
 - (b) Staff members who are found to be unable to attain the required standard will be barred from progressing along the salary scale. Assistance will be given to enable them to achieve the standard while their ensuing performance will be brought up for review in the following year.

C. Procedures

The recommending authority and the approving authority for initial assessment for continual appointment/substantiation/re-appointment/crossing of salary bar are as follows :-

Level of Post	Recommending Authority	Approval Authority
Professor (Chair)	Faculty Staffing Committee / Line Manager via Departmental Staffing Committee	Chairman : President Members : Two Vice-Presidents Deans of Faculties, School of Law and Director of School of Creative Media
Professor (Scale A)	Faculty Staffing Committee / Line Manager via Departmental Staffing Committee	Chairman : A Vice-President nominated by the President Members : another Vice-President Deans of Faculties, School of Law and Director of School of Creative Media
In Faculties / Schools: Associate Professor (Scale A) / Associate Professor (Scale B) / Assistant Professor / Lecturer	Faculty Staffing Committee / Line Manager via Departmental Staffing Committee	Chairman : Dean of Faculty (for FB, FHS, FSE) Line Manager or nominee (for SLW, SCM) Members : All Heads of Departments in the Faculty (for FB, FHS, FSE) Dean of School with two other Heads of Department / Division (for SLW) Director of School with two other Heads of Department / Division (for SCM) 1 or 2 Associate Professors (Scale A) or above of another Faculty or School selected by a Vice-President from amongst those elected by the Faculty and School Boards (one from each Faculty and School) on an annual basis
In College: Principal Lecturer / Senior Lecturer / Lecturer / Assistant Lecturer	College Staffing Committee / Line Manager via Divisional Staffing Committee	Chairman : Provost Members : All Heads of Divisions in the College 1 or 2 Associate Professors (Scale A) or above of Faculty or School selected by the President from amongst those elected by the Faculty and School Boards (one from each Faculty and School) on an annual basis
Instructor	Departmental Staffing Committee	Dean / Line Manager
In Centres and SCOPE: Senior Tutor / Tutor	Centre / SCOPE Staffing Committee	Line Manager

For detailed procedures, please refer to the following documents:-

- Staffing Procedures for Academic Staff (available at web site: <http://www.cityu.edu.hk/hro/stafflan/staffing-2001.htm>);
- Procedural Manual on Merit-Based Reward Scheme (available at web site: <http://www.cityu.edu.hk/hro/stafflan/merit/index.htm>).

D. Appeal Mechanism

1. An appeal must be submitted in writing to the President within 3 weeks of receipt of the results, giving in full the grounds for the appeal.
2. The President will decide on the appointment of the appeal authority (in most cases, a Vice-President) to consider the appeal. The appeal authority will determine the procedures to follow for considering the appeal.
3. The decision made by the appeal authority, with delegated authority from the President, will be final.

Professor (Professorial Scale)

1. Duties

Duties of a Professor (Professorial Scale) in the University will include:

- a) providing academic leadership in teaching and research;
- b) facilitating and supporting research and teaching activities of the Department and individual staff members;
- c) promoting the achievement of excellence in teaching and research; and
- d) participating in the administration of the Department as required.

A Professor (Professorial Scale) may advise the President, the Deans of the Faculties, the Heads of Departments and other appropriate persons or bodies within the University, on studies which might be offered in new areas of higher education and any other matters of importance to the work of the University. He/She shall, from time to time, undertake such other duties and assume such responsibilities as may be required by the Head of the Department, the Dean of the Faculty or the President of the University.

A Professor (Professorial Scale) may be appointed concurrently to serve as Head of Department as and when required, who shall be responsible to the President through the Dean of Faculty.

2. Qualifications for Appointment

- a) appropriate academic qualifications and distinguished achievement in research and scholarship;
- b) outstanding reputation and contribution as a teacher with a background in curriculum design;
- c) demonstrated academic leadership in higher education;
- d) successful involvement in relevant professional and community activities; and
- e) experience in the management of an academic department is preferred.

3. Salary Scale

Salary will be within the professorial range and not less than HK\$107,550 per month.

Professor (Salary Scale A)

1. Duties

A Professor (Salary Scale A) is required to work in conjunction with his/her Head of Department to:

- a) provide leadership in teaching and undertake teaching duties;
- b) provide leadership in research activities undertaken by the Department; and
- c) assist the Head of Department in the development and administration of the Department including liaison work with other departments, institutions, industry and the community.

2. Qualifications for Appointment

- a) a doctorate with a distinguished record of teaching, scholarship, administration & research;
- b) significant contribution to research;
- c) commitment to teaching and professional experience, and
- d) active participation in academic administration

3. Salary Scale

The salary scale for Professor (Salary Scale A) is Salary Scale A points 2 – 10 (\$78,605 - \$104,430 per month).

Associate Professor (Salary Scale A)

1. Duties

An Associate Professor (Salary Scale A) is expected to:

- a) be subject leaders in individual's specialism providing leadership in teaching;
- b) be assigned responsibility as course co-ordinators, contributing to the planning and development of courses and study programmes of the Department, and of other departments for which the Department has servicing courses;
- c) undertake research and scholarly activities;
- d) undertake teaching duties; and
- e) undertake administrative duties as required by the Head of Department.

2. Qualifications for Appointment

- a) a doctorate with substantial teaching, professional or research experience;
- b) a good record of research and published work;
- c) consultancy and professional developmental achievements; and
- d) administrative ability.

3. Salary Scale

The salary scale for Associate Professor (Salary Scale A) is Salary Scale A points 1 – 9 (\$75,345 - \$101,215 per month).

Associate Professor (Salary Scale B)/Assistant Professor

1. Duties

As a member of a subject team, an Associate Professor (Salary Scale B)/Assistant Professor is expected to:

- a) be involved in the design of individual courses;
- b) undertake teaching duties as directed by the Head of Department that may include teaching for up to two evenings per week;
- c) supervise student projects and other activities of learning, including preparation of study materials, setting and moderating examination papers;
- d) undertake research and scholarly activities that may involve consultancy;
- e) co-ordinate the work of part-time tutors, liaise with other departments and institutions as and when appropriate; and
- f) share the administrative work of the Department and may be assigned duties as course coordinators.

2. Qualifications for Appointment

- a) a higher degree, preferably a doctorate;
- b) relevant teaching, professional, research experience, a record of publications and professional qualifications are preferred.

3. Retitling from Assistant Professor to Associate Professor (Salary Scale B)

Assistant Professors at Salary Scale B points 11 - 15 (\$68,055 - \$81,015 per month) may be recommended by the Dean of School of Law, who acts on behalf of the School Staffing Committee, to apply for the title of Associate Professor (Salary Scale B), submitting to an academic review. The following criteria are adopted for academic review:

- a) Formal academic and professional qualifications

Applicants must fulfill the basic requirements for university level appointment, i.e. normally a doctorate, (or in exceptional circumstances, a higher degree) plus a record of teaching, professional, and research experience.

- b) Creditable in-service performance achieved in the following areas:

- | | |
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| i) education and research | 30% |
| ii) professional activities and campus and community citizenship | 70% |

Staff members who are weak in one area must achieve excellent performance in other areas in order to be awarded the title of Associate Professor, subject to their achieving a minimum of 60% in the overall weighting in the performance assessment as well as a minimum of 35% in (i) and 15% in (ii).

The relative proportion of each criterion would be determined at the Faculty level with input from academic departments as appropriate. Individual Faculties/Schools should announce the criteria to staff and approving authority should adhere to the criteria announced when making decisions.

Lecturer

1. Duties

As a member of a subject team, a Lecturer is expected to:

- a) be involved in the design of individual courses;
- b) undertake teaching duties as directed by the Head of Department that may include teaching for up to two evenings per week;
- c) supervise student projects and other activities of learning, including preparation of study materials, setting and moderating examination papers;
- d) undertake research and scholarly activities that may involve consultancy; and
- e) co-ordinate the work of part-time tutors, liaise with other departments and institutions as and when appropriate.

2. Qualifications for Appointment

- a) a higher degree, preferably a doctorate;
- b) good industrial or research experience, and professional qualifications preferred.

3. Salary Scale

The salary scale for Lecturer is Salary Scale B points 1 – 4 (\$35,325 - \$45,210 per month).