

Lingnan College

Submission to LegCo Panel on Education on 17th May 1999

1. History

Lingnan College was established in Hong Kong in 1967 by a group of dedicated alumni of Lingnan University of Canton, and officially registered under the Post Secondary Colleges Ordinance in 1978. The successful institutional review by the CNAA (Council of National Academic Accreditation) led to increased government funding. The Government also asked the University and Polytechnic Grants Committee (UPGC, now renamed the University Grants Committee) to advise on the upgrading of the College to tertiary status. In 1990, following a visitation to the College by a sub-Committee established especially for this purpose, the UPGC recommended to the government that the College should be upgraded to tertiary status as from 1991. There was a further institutional review by the Hong Kong Council of the Academic Accreditation which commended the commitment and qualifications of the staff, and expressed itself as particularly impressed by the quality of the College students. In July 1992, the College was formally incorporated under the Lingnan College Ordinance (“the Ordinance”) as a degree granting tertiary institution fully funded by the UPGC. In June 1998, the Executive Council of the HKSAR granted self-accrediting status to the College after a successful institutional review of the College conducted by the UGC in January 1998. Legislative process is now underway to enact an ordinance for the College to change to a University.

2. The roles of the College Council and the President

There are various provisions under the Lingnan College Ordinance 1992 as to the roles of the College Council and the President.

Under section 12 of the Ordinance, subject to any direction given by the Board of Governors, the Council is the executive body of the College and as such, may exercise all the powers conferred and shall perform all the duties imposed on the College by the Ordinance. Under Section 17, the Board of Governors shall, on the recommendation of the Council appoint a President who, subject to the control of the Council, shall be the principal academic and administrative officer of the College. Under section 18, the Council may in writing, with or without restrictions or conditions as it thinks fit, delegate to the President any of its powers and duties subject to certain exceptions enumerated under subsection (2) thereof which provides:-

“(2) The Council Shall not delegate to the President the power;

- (a) to approve terms and conditions of service of persons in the employment of the College;
- (b) to approve the programme and estimates required to be submitted under section 21;

- (c) to authorize the preparation of the statements required under section 22(2);
- (d) to make rules under section 27.”

(a) The Council and its Committees

For the purpose of properly discharging its duties, the Council has established the following Committees:-

- (1) Executive Committee
- (2) Staffing Committee
- (3) Finance Committee
- (4) Campus Development and Management Committee
- (5) Ethics and Discipline Committee
- (6) Appeals Committee
- (7) Honorary Degrees Committee
- (8) Management Committee for the Fong Sum Wood - Chang Han Tsiu Education Fund
- (9) Audit Committee

The terms of reference and their composition and membership are set out in Appendix “1”.

Under Section 13 of the Ordinance, all members of the Council are appointed by the Chief Executive of the Government of SAR, although some of them are elected from certain members of the Board of Governors for appointment. Among these members, 2 are elected among eligible staff and another 2 are nominated by the Academic Board for appointment, who are academic members of staff. It is firmly believed that all these Council members are responsible citizens of the community with an independent mind and are very much conscious of their duties and responsibilities for the management of the College entrusted by the Government and the community, the College being a public funded institution.

It is the policy of the Council that in making any decision on more important matters for the College, the Council or its committee will always take into consideration as a matter of principle the following:-

- (1) The established rules and procedures of the College relative to the matter;
- (2) The good principles of management;
- (3) The importance on the management being fair, just and open to all parties concerned;
- (4) The requirement to observe legal and equitable principles where applicable;
- (5) The good image and the best interest of the College; and
- (6) Our duty and responsibility owed to the Government and to the Community as a whole under the Ordinance.

For the last three academic years, the frequency of the meetings of the Council and its Executive Committee is as follows:-

- | | |
|---------------------------------|------------|
| (i) <u>Council</u> | |
| 1996-1997 | 4 meetings |
| 1997-1998 | 4 meetings |
| 1998-1999 (until April) | 4 meetings |
| (ii) <u>Executive Committee</u> | |
| 1996-1997 | 4 meetings |
| 1997-1998 | 2 meetings |
| 1998-1999 (until April) | 4 meetings |

As from May, 1999, it has been agreed by members of the Executive Committee that they should meet at least once a month regularly.

With the functions and work of the various Committees in operation as stated above, the administration or management of the College will be sufficiently supervised by the Council.

(b) The President and the Administration

As mentioned above, the President, subject to the control of the Council, is the principal academic and administrative officer of the College. On matters purely on academic programmes and administrative affairs, the Council always takes the view that these are the matters within the powers and duties which should be delegated to the President (subject to the supervision of the various Committees and certain statutory restrictions where applicable.)

The Council fully recognises the importance of good principles of management, and does not therefore propose to practise “micro management” or interfere in any way with the President or the Administration on routine or daily operational matters of the College.

The College will have to rely on the President as the academic and administrative leader to develop the College as a liberal arts institution of international standing with Hong Kong characteristics which will compass the best of Eastern and Western cultures.

3. Staffing Matters

The College has established a comprehensive mechanism to deal with staffing matters relating to recruitment, contract renewal and termination of employment. The mechanism has a built-in feature of staff participation and independent external assessment. To enhance efficiency and effectiveness, the Council and its Staffing Committee approve staffing actions such as appointment, renewal of contract for senior posts, such as Chair Professor and Associate Professor (Scale A), while the College administration approves staff actions on junior and general grade staff. The

following paragraphs set out the decision-making processes of three important staffing actions.

Recruitment

When a vacant post is identified, a specification of the post will be provided by the Department/Unit concerned. The established policy requires that any vacant post should be advertised internally and externally. External assessments are sought for shortlisted candidates of the rank of Associate Professor (Scale A) and above. A confidential list of external assessors is formulated and approved by the Academic Board for this purpose. The Recruitment Panel, which conducts interview of shortlisted candidates and makes recommendations for appointment to posts of Assistant Professor (Scale B) and below, usually include a staff member outside or within the Department/Unit concerned. The Recruitment Panel for posts of Associate Professor (Scale A) above is required to have member (one to two) outside of the College in its membership. The recommendations of the Recruitment Panel are to be considered by the Academic or Non-academic Staff Review Committee. The approving authority for appointment varies according to the rank as described in the responsibilities of the Staffing Committee under the paragraphs of “Staffing Committee”.

Renewal of Contract

Staff members appointed on renewable fixed term contract are invited at the last year of their current contract to initiate the application for contract renewal by filling a prescribed application form and forwarding it to the Human Resources Office. The form should be accompanied with the recommendation from the Head of Department/Unit. For academic staff, the Dean’s comments are also required. The Academic Staff Review Committee (ASRC) or the Non-Academic Staff Review Committee (NASRC), the memberships of both of which include three staff members appointed by the President on an annual basis, consider the applications with reference to criteria for contract renewal announced to the staff members. The President, upon advice of the ASRC/RASRC, makes decisions on applications of Assistant Professors (Scale B) and below. The Staffing Committee makes decisions on the recommendations of the ASRC/NASRC for contract renewal for posts of Professor/Associate Professor (Scale A), and endorses for the Council’s approval decisions on posts of Chair Professor and Administrative Heads of equivalent rank. In case of non-renewal of contract, the staff member concerned will be advised of the procedures for appeal.

Termination of Employment

The termination of employment can be in the form of contract non-renewal. Prior to expiration of the contract, termination of employment can only be had on “good cause” shown. Termination of employment on continuous basis can also be made on

the grounds of performance according to established procedures. The processes are triggered when the supervisor judges that the overall performance of a member of staff is unsatisfactory. The supervisor meets with the staff member concerned and record in writing actions of improvement and performance targets within an agreed timeframe. A date should also be set for the further review at the meeting. If, after the further review, the supervisor recommends termination of employment for the staff member concerned, he/she should forward the relevant report to the ASRC or NASRC for consideration. If the ASRC or NASRC approves the recommendation for termination as well as the method for termination, the Human Resources Office should notify the staff member concerned and advise him/her of the appeals procedures.

Staffing Committee

As already mentioned, the Staffing Committee is established by the Council to deal with staffing matters including advising and making recommendations thereon to it. Its terms of reference and membership composition are already included in Appendix "1". To be in line with the principle of staff participation, the membership of the Committee includes a staff member. This member participates in all the deliberations on personnel policies except for personnel matters in his/her department/unit on a case by case basis on grounds of conflict of interest.

On staff matters relating to the appointment, contract renewal, substantiation, efficiency bar crossing, promotion and termination of employment, the Staffing Committee:

- (a) receives reports on decisions made by the relevant requisite committees for staff at Lecturer/Assistant Professor/Associate Professor (Scale B) level or equivalent and below;
- (b) approves recommendations from the requisite committee for staff at Professor/Associate Professor (Scale A) levels or equivalent and report thereon to the Council;
- (c) endorses recommendations from the requisite committee for Council's approval for staff at Chair Professor level or equivalent, including Administrative Heads remunerated within the Chair Professorial range.

The procedures for recruitment are described in Appendix "2", and the procedures for efficiency bar crossing, promotion, substantiation, renewal of contract and termination of employment are set out in Appendix "3".

The Staffing Committee discharges its responsibilities with powers as delegated by the Council. It facilitates the College administration in managing the staffing matters of the College, while at the same time monitoring compliance with established policies on the part of the College administration. In the past three years, the number of meetings held by the Committee is as follows:

1996-97	4 meetings
1997-98	6 meetings
1998-99 (until April)	3 meetings

4. The Appeal Mechanism

Any member of staff of Groups 1 and 2 employed on a fixed term or continuous basis (but not substantiated) whose contract is not renewed or whose continuous employment is terminated on grounds relating to performance of his or her duties may appeal to the Appeals Committee of the Council in accordance with the procedures set out in Appendix “4”.

It will be of interest to note that although the Appeals Committee is a Committee of the Council, the Committee is expected to act independently (i.e. without interference by anyone from the Council or the College Administration) impartially, and judiciously and its decision is final. It will also be noted that although the President is one of the members of the Committee, he will have no vote on any decision reached by the Committee.

In practice, of the appointed members of the Committee, one is always a member of the Council who is a senior academic member of other tertiary institution. Likewise, of the co-opted members of the Committee, one is invariably a senior academic member of other tertiary institution. The result is that there will be two “external” members from other tertiary institutions in the Committee.

So far, all appeals to the Appeals Committee are from academic members of staff against non-renewal of contract decisions. The number of the appeals and the results thereof are set out hereunder:-

	<u>No. of Appeals</u>	<u>Results</u>
1995/1996	2	contract renewed
1996/1997	12	6 contract renewed; 6 non-renewal upheld
1997/1998	3	1 contract renewed; 2 non-renewal upheld
1999	2	2 non-renewal upheld

All the appellants in these appeals were allowed to appear and did appear in person before the meeting or hearing of the appeals and to make representation with supporting documents or submissions. Their respective Heads of Department and/or the Dean concerned who made the appraisal on performance on the appellant also appeared in person to give their further comments and answer questions raised by

members of the Committee. The appeal is by way of review of the decision of contract non-renewal by the Academic Staff Review Committee (or the Non-Academic Staff Review Committee as from 1999) by going through by the Committee all the relevant documents, submissions or representation by the appellants and the response by the Head of Department and/or the Dean concerned. It is believed that in all these appeals, each and every appellant did have a fair hearing. In fact, it is only by going through the Reports of the Appeals Committee setting out the relevant facts and reasons in support of its decision in each case that one could really appreciate the function and work of the Committee.

The Council takes pride in the establishment of the appeal mechanism which was originally requested by the Staff Affairs Committee and supported by all members of staff, including the Academic Board and Heads of Non-Academic Units and approved by the Staffing Committee and the Council in 1994.

Council Committees

1. Executive Committee
2. Staffing Committee
3. Finance Committee
4. Campus Development and Management Committee
5. Ethics and Discipline Committee
6. Appeals Committee
7. Honorary Degrees Committee
8. Management Committee for the Fong Sum Wood - Chang Han Tsiu Education Fund
9. Audit Committee

Executive Committee

Terms of reference:

- a) In accordance with the general policies prescribed by the Council, and subject to reporting to the Council at the next available opportunity, to deal with items of Council business which, being urgent, cannot await full Council resolutions.
- b) To consider and take action on behalf of the Council, in between plenary sessions of the Council, any matter not requiring full Council approval, or any matter formally delegated to a Council Committee.
- c) To make initial consideration of any proposal in line with the development of the College and to make recommendations to the Council accordingly.
- d) To give initial consideration to major items of Council business.
- e) To monitor the implementation of the Council's decisions.
- f) To coordinate the work of the major Committees of the Council.
- g) To consider and to make recommendations on any matter referred to it by the Council, any Committee of the Council, or the President.
- h) To receive regular reports from the President on the developments of the College.

Membership:

Chairman	:	Chairman of the Council
Vice-Chairman	:	Deputy Chairman of the Council
Members	:	Treasurer President Chairmen of the standing committees of the Council, where such are not already members mentioned above *Up to two co-opted members appointed by the Chairman from among Council members (Approved by the Council on 15 April 1999)
Secretary	:	Secretary to the Council

Executive Committee

Membership

Chairman	:	Dr CHIU Hin-kwong
Vice-Chairman	:	Mr Joseph PANG Yuk-wing
Members	:	Dr David Pun CHAN Prof Edward CHEN Kwan-yiu Mr Timothy HA Wing-ho Dr TONG Tin-sun Mr Patrick WU Po-kong
Secretary	:	Secretary to the Council

Staffing Committee

Terms of Reference:

- a) To advise and make recommendations to the Council on the following personnel matters:
 - (i) staffing and establishments;
 - (ii) conditions of service of all staff and the interpretations of such conditions;
 - (iii) matters relating to staff salary scales;
 - (iv) recruitment, appointment, re-appointment, substantiation, bar crossing and promotion criteria and procedures; and
 - (v) staff development policy.
- b) To endorse for Council's approval recommendations from the requisite committees for the appointment, re-appointment and substantiation of staff at Chair Professorial level or equivalent, including Administrative Heads remunerated within the Chair Professorial Range.
- c) To approve recommendations from the requisite committees and to report thereon to the Council on the appointment, re-appointment, substantiation, bar crossing, and promotion of staff at Professor/Associate Professor (Scale A) levels or equivalent.
- d) To receive reports from the President on decisions relating to the appointment, re-appointment, substantiation, bar crossing, promotion of staff at Lecturer/Assistant Professor/Associate Professor (Scale B) level or equivalent and below.
- e) To deal with any personnel matters prescribed by the Council.
- f) To form sub-committees or working group when necessary to consider personnel matters as specified in a) or as prescribed by the Council.

Membership:

The Chairman and Vice-Chairman and five to seven other members to be appointed by the Council. The Committee will have power to co-opt up to two additional members subject to ratification by the Council.

Secretary : Secretary to the Council

Staffing Committee

Membership

Chairman	:	Mr Joseph PANG Yuk-wing
Vice Chairman	:	Dr KWOK Man-cho
Members	:	Prof Edward CHEN Kwan-yiu Mr Timothy HA Wing-ho Prof LIU Pak-wai Mr NG Kwai-wah Mr PANG Yiu-kai The Hon Madam Justice YUEN Ka-ning Mr YUNG Kar-chark
Secretary	:	Secretary to the Council

Finance Committee

Terms of reference:

- a) To advise and make recommendations to the Council on all matters within the jurisdiction of the Council which have important financial implication, with special attention to the following:
 - (i) The regulations and management of the finances of the College, the raising and investment of funds and the facilities for borrowing moneys for any purpose;
 - (ii) the preparation, amendment and final submission of an annual estimate of recurrent expenditures for Council's approval and the monitoring of spending against approved budget;
 - (iii) the appointment of an auditor and the submission to the Council prepared statements of income and expenditure, and assets and liabilities for the past financial year;
 - (iv) the allocation of financial resources amongst the academic and administrative and other conceivable areas of activities of the College, and the monitoring of the usage of such funds where appropriate; and
 - (v) the setting of the levels of fees charged to the students attending academic programmes and courses offered by the College.
- b) To organise and manage any superannuation schemes as agreed upon by the Council.
- c) To form sub-committees and working groups when necessary to handle functions prescribed in a).

Membership:

- Chairman : Treasurer of the Council
- Members : One Vice-Chairman and five to seven other members to be appointed by the Council. The Committee will have the power to co-opt up to two additional members subject to ratification by the Council
- Secretary : Comptroller

Finance Committee

Membership

Chairman : Mr Patrick WU Po-kong

Members : Mr Donald CHIA (Vice-Chairman)
Prof Edward CHEN Kwan-yiu
Mr Valiant CHEUNG Kin-piu
Dr Kenneth LAW Wing-kin
Mr Richard LO
Mr Bill POON Pak-wai
Mr Peter WONG Pak-heung

Secretary : Mr Herdip SINGH

Campus Development and Management Committee

Terms of Reference:

- a) To advise and make recommendations to the Council on all matters relating to the overall planning and development of the College campus, especially with regard to the following:
 - (i) the purchase, lease, erection, alteration and maintenance of buildings and the acquisition of land;
 - (ii) the appointment of architects and other professional consultants for the execution of capital projects for the development of the College campus;
 - (iii) the examination and approval of sketch plans and estimates;
 - (iv) the establishment of operational guidelines, standards, and procedures in connection with the College campus;
 - (v) the addition to existing accommodation, buildings and other facilities as may be required to meet the developing needs of the College; and
 - (vi) the lists of main tenderers.
- b) To monitor the progress of the master development plan and recommend any modifications if necessary.
- c) To prepare a detailed brief in conformity with the standards stipulated by the University Grants Committee (UGC) and the College for each project which the UGC has approved in principle and to despatch such document(s) to the consultants concerned.
- d) To perform any other duties as delegated by the Council in connection with campus planning and development and the management of the related estates.
- e) To formulate policies and monitor the management and maintenance of the estates of the College campus.
- f) To form sub-committees or working groups when necessary to handle functions prescribed in a) to d).
- g) To co-opt any members as required and not necessarily from within the Council.

Membership:

Chairman and Vice-Chairman and five to seven other members to be appointed by the Council. The Committee will have the power to co-opt up to two additional members subject to ratification by the Council.

Secretary: Comptroller/Assistant Building Development Officer

Campus Development and Management Committee

Membership

Chairman	:	Dr David Pun CHAN
Vice-Chairman	:	Dr CHAU Cham-son
Members	:	Prof Edward CHEN Kwan-yiu Mrs Gennie LEE Gen-hwa Dr LI Pang-kwong Ms Klare Ng Kit-yee Dr WAI Kee-kau Dr WONG Bing-lai
Secretary	:	Comptroller/Assistant Building Development Officer

Ethics and Discipline Committee

Terms of reference:

To deal with staff discipline and other problems such as plagiarism and sexual harassment on campus, and to formulate policies and guidelines thereof.

Membership:

Convener: Member of the Council

Members : Up to four members to be appointed by the Council

Secretary : Secretary to the Council

Ethics and Discipline Committee

Membership

Convenor : Prof Edward CHEN Kwan-yiu

Members : Dr LI Pang-kwong
Dr TONG Tin-sun
Prof WONG Hoi-kwok
The Hon Madam Justice YUEN Ka-ning

Secretary : Secretary to the Council

Appeals Committee

Terms of reference: (Approved by the Council on 11 February 1999)

To consider and make decisions on appeals from any member of staff of Groups 1 and 2 (whether academic or non-academic) employed on a fixed term or continuous basis (but not substantiated), whose contract is not renewed or whose continuous employment is terminated on the grounds relating to performance of his or her duties.

Membership:

Chairman	:	One member of the Council who is not member of the Staffing Committee
Members	:	*One member of the Council who is not member of the Staffing Committee President
		** Not more than two co-opted members if deemed necessary by the Chairman
Secretary	:	Secretary to the Council

* *This member is a senior academic member of other tertiary institution.*

** *Of these co-opted members, one is invariably a senior academic member of other tertiary institution.*

Appeals Committee

Membership

Chairman : Dr TONG Tin-sun

Members : Prof Edward CHEN Kwan-yiu

Prof WONG Hoi-kwok

*Two co-opted members if deemed necessary by the Chairman

Secretary : Secretary to the Council

Honorary Degrees Committee

Terms of reference:

To select candidates for recommendation to the Council for the conferment of honorary degrees.

Membership:

- Chairman : Chairman of the Council
- Members : Deputy Chairman of the Council
Treasurer
President
Chairmen of the standing committees of the Council, where such are not already members mentioned above
The Committee will have the power to co-opt two to three additional members subject to ratification by the Council
- Secretary : Secretary to the Council

Honorary Degrees Committee

Membership

Chairman : Dr CHIU Hin-kwong

Members : Dr David Pun CHAN
Prof Edward CHEN Kwan-yiu
Prof NYAW Mee-kau
Mr Joseph PANG Yuk-wing
Dr TONG Tin-sun
Prof John WONG
Mr Patrick WU Po-kong

Secretary : Secretary to the Council

Management Committee
for the Fong Sum Wood - Chang Han Tsiu Education Fund

Terms of Reference:

To make recommendations to the Council on:

- (i) policies and procedures to manage the shares of stocks; and
- (ii) policies and procedures for the use of cash dividends attributable to the shares to make grants to designated secondary schools in Hong Kong and to support the development of the College.

Membership:

Chairman	:	President
Ex officio Members	:	Ms Chang Han Tsiu or her representative Mrs Kwok Chan Yuk-yee
Members	:	One member from among the Council members One member nominated by the Academic Board
Secretary	:	The Comptroller or his representative

**Management Committee
for the Fong Sum Wood - Chang Han Tsiu Education Fund**

Membership

Chairman	:	Prof Edward CHEN Kwan-yiu
Ex officio Members	:	Ms CHANG Han Tsiu represented by Ms Tang Min-ying Mrs KWOK Chan Yuk-yee
Members	:	Prof CHAN Tsang-sing Mr Timothy HA Wing-ho
Secretary	:	Mr Herdip SINGH

Audit Committee

Terms of reference: (Approved by the Council on 15 April 1999)

- a) To formulate an audit plan to measure and evaluate the adequacy and effectiveness of the various units in discharging their responsibilities, and to review established systems to ensure compliance with policies, procedures, regulations, ordinances and other relevant laws.
- b) To recommend to the Council the appointment of external auditors.
- c) To direct and supervise the work of the internal auditor.

Membership:

Chairman : President

Members : Mr Valiant Cheung Kin-piu
Mr Joseph Pang Yuk-wing

Secretary : Secretary to the Council

Note: Members of the Audit Committee should come from Council members.

(III) Personnel Services

The detailed procedures for the recruitment and appointment of staff are described in the following pages for the attention of members of Academic Staff who will also be involved in this work.

A. Procedures for the Recruitment and Appointment of Staff

1. Confirming requests

1.1 Posts are identified early in the academic year with a view to advertising early in November. Vacancies arise from:

- i) newly established posts
- ii) replacements for existing one-year contracts and for retirements
- iii) replacements for contracts which have not been renewed
- iv) replacements for holders of existing posts who do not apply for renewal

1.2 Confirmation with the Comptroller's Office on funding for posts is sought, where appropriate, before proceeding to advertise.

2. Sourcing of candidates

2.1 Accurate specifications for posts are essential to assist the potential applicants, and the shortlisting and interviewing processes. The purpose is to clarify for both the applicants and the recruitment panel what will be expected of the successful candidate: in particular his/her likely teaching requirements must be clearly specified. A Specification of Post proforma is used to acquire such information from Heads of Departments/Units.

3. Advertising

3.1 Upon receipt of the Specification of Post form, the Human Resources Office prepares and places the advertisement after consulting the head of department/school/unit as appropriate.

3.2 In addition to recruiting via both local and international sources, Faculty Deans, Director of School and Department/Unit Heads are invited to identify key professional journals for the placing of general advertisements early in the academic year.

4. Shortlisting of candidates

4.1 The Human Resources Office creates a computer data base for all the applications from which a shortlisting summary form is produced.

- 4.2 Two copies of the Shortlisting Summary form, together with a dossier containing the original copies of applicants' curricular vitae and a statement of the criteria for assessment are forwarded to the Head of the Department/Unit concerned who proceeds with the shortlisting in consultation with appropriate senior staff of his Department/Unit. The recruiting officer also encloses an appropriate proforma requesting the Head to recommend Recruitment Panel members and the arrangements for interview, and a Shortlisting Reply Slip.
- 4.3 Reasons for not shortlisting should be given for each applicant; codes may be used for this purpose.
- 4.4 The final page of the form should record the names of the shortlisting group and the signatures of both the Head and the endorsing authority. The Vice-President endorses the shortlisting when the same person is concurrently Dean and Head of Department.
- 4.5 Normally three to five applicants are shortlisted for interview; such applicants, whether local or overseas, should clearly show "on paper" that they meet the specification of the post.
- 4.6 For professorial appointments, the Dean/Director concerned may wish to initially shortlist more than five applicants; in that case, he is invited to advise the Secretary to the Professorial Selection Committee on this and two copies of a Shortlisting Reply Slip will be forwarded to him and the other members of the Committee for completion for the President's reference and final decision.
- 4.7 The shortlisting exercise should be completed within two weeks from the date of receipt of the dossier which must be returned to the Human Resources Office together with ONE copy of the shortlisting summary form and, where applicable, ONE copy of the Shortlisting Reply Slip.
- 4.8 The recruiting officer, upon receipt of the shortlisting summary, proceeds at once to seeking external assessment and references for the shortlisted candidates. At a later stage, he should confirm the date(s) and venues for phone/personal interviews with the Panel members.
- 4.9 Referees nominated by the shortlisted candidate are invited to submit references. This applies to all posts.
- 4.10 External assessors (three for chair professorial posts and two for Scale A posts) are nominated by the Vice-President from a list approved by the Academic Board. They are invited to submit written comments on the shortlisted candidates and are appropriately reimbursed.

4.11 In compliance with the provisions of the Personal Data (Privacy) Ordinance, personal data including referees' and external assessors' reports, used for determining the outcome of applications for appointment, will be erased on completion of the appointment procedures. It is the responsibility of the Recruitment Panel's Secretary to secure and erase all such data.

4.12 Arrangements for interviews are finalised upon the completion of the processes as described above and official letters of invitations for interviews are issued (by email, fax or regular airmail). Candidates are asked to bring the originals of their academic or professional certificates and their identification documents to the interview for verification.

5. Pre-interview arrangements (applicable only to recruitment of Chair Professors)

5.1 As soon as an agreement on the date and times for interviews is reached between the Professorial Selection Committee and the candidates on the final shortlist, arrangements are made by the Secretariat for the latter's passage to and accommodation while in Hong Kong. All the candidates for professorships who have been shortlisted for interview are required to give a one-hour presentation on a topic of their choice, usually on the day before the day of interview. Such presentations are attended by the Dean or Director concerned as well as by members of the relevant Department's teaching staff.

5.2 A short campus tour and brief visit to the Faculty/School are also arranged on the same day as for the presentation.

5.3 A brief report on the presentations is presented by the Dean to the Chairman of the Professorial Committee prior to the interview.

6. Interviews and immediate follow-up

6.1 A format and guidelines for a structured interview are provided to members of a recruitment panel.

6.2 Each member receives a file which contains:

- the Recruitment Panel membership list;
- a list of candidates and schedule of interviews;
- a copy of the relevant advertisement;
- criteria for appointment;
- the candidates' application forms/CVs and reports from referees and external assessors where appropriate; and
- Interview Assessment Form and Recommendation for Appointment Form.

6.3 The Chairman is expected to summarize the Committee or Panel's reasons for both recommending and rejecting candidates so as to assist the Secretary in subsequently preparing a report of the interviews. To facilitate prompt processing of recommendations, the Recommendation for Appointment Form is completed immediately at the end of the interview session.

6.4 All Recruitment Panel reports should be reasonably full in content and should reflect more precisely the reasons for the Panel's recommendations: in particular, any deviations from the recommendations of the External Assessors and from the post's specifications should be explained.

6.5 The Chairman should conclude by stressing the confidentiality of all of the proceedings.

7. Endorsement of decisions

7.1 For posts below Chair Professor/Professor or their equivalent, recommendations of Recruitment Panels are considered by circulation by the Academic Staff Review Committee (ASRC) or by the Non-Academic Staff Review Committee (NASRC) on the basis of a file of documents provided by the Panel Secretary. The file comprises a recruitment report, the successful candidate's curriculum vitae and completed application form, reference letters and external assessment reports; this file is prepared for circulation within 6 days from the date of interview.

7.2 The ASRC/NASRC endorses or otherwise the recommendation of the Recruitment Panel. The Chairman determines the starting salary.

8. Appointing candidates

8.1 The Panel Secretary, on receipt of the ASRC/NASRC's final decision, prepares a letter of appointment for the signature of the President/Director of Human Resources.

8.2 All letters of appointment include the following:

a statement of the level and period of appointment, with conditions where appropriate;

an indication of the commencing salary and salary scale for the level of appointment concerned;

duties and obligations relating to the appointment; and

a specification of benefits and allowances.

8.3 The signing persons of such letters of appointment are:

Posts of Associate Professor (Scale A) and above The President
and their equivalents

Posts of Associate Professor (Scale B) and below Director of Human Resources
and their equivalents

8.4 Two copies of the letter of appointment, duly signed, are sent by post to all local appointees who should return one copy of the signed letter to the Secretariat within 7 days from the date of the letter. For overseas appointees, both copies of the letter are first faxed or e-mailed (whichever is appropriate) to them and then sent by express service. The appointee is required to sign the original copy only of the letter which must be returned to the Human Resources Office within two weeks from the date of the letter. The commencing salary as stipulated on the letter of appointment is not negotiable.

8.5 Enclosed with the letters of appointment are a copy of each of the:

- a) “Summary of Benefits and Allowances”;
- b) “Terms of Service”;
- c) “Pre-employment Medical Examination” forms for local appointees and for overseas appointees;
- d) Record/Update of Personal Particulars form;
- e) Benefits Option Form;
- f) Medical Insurance Programme;
- g) Group Dental Scheme;
- h) Regulations Governing Outside Practice By Full-time Staff;
- i) Prevention of Bribery Ordinance;
- j) Agreement to Release of Personal Data; and
- k) other relevant forms.

8.6 A Statement of Personal Particulars is forwarded to new appointees for completion upon receipt of the signed copy of appointment letter. This statement assists the officer-in-charge to determine an appointee’s eligibility for housing and other benefits.

9. Re-appointment of staff on special funding

9.1 Around mid-April, the data sheet is checked concerning the expiry of the contracts of staff appointed on conversion or other special funding. A proforma is completed and forwarded to the Head of Department.

9.2 Upon receipt of the recommendations from the Head of Department, a memorandum is forwarded to the Faculty Dean for his completion.

9.3 A letter of re-appointment is prepared immediately upon receipt of the Dean's advice which is forwarded to the staff member concerned, preferably 2 months before the expiry of their contract.

10. Issue of part-time teaching contracts

10.1 Upon receipt of a Request Form for issuing Part-time teaching contracts, the officer-in-charge checks the form to assure the request has been properly endorsed by the Comptroller.

10.2 If all the details are in order, part-time teaching contracts (in duplicate) will be prepared for Director of Human Resources signature.

10.3 After the Director of Human Resources signs the contracts, the officer makes arrangement to distribute the contracts to the staff concerned.

10.4 The member of staff concerned is required to indicate his/her acceptance of the appointment by signing and returning one copy of the contract to the Director of Human Resources as soon as possible.

10.5 The clerical officer in the Human Resources Office then files the copy of contract in the P-file of the staff concerned.

11. Procedures for Appointment of Temporary Replacements

11.1 Requests from Heads of Departments/School/Centres/Units/ Offices are made from time to time to the President for approval to recruit general grades staff (e.g. Clerical Officers, Departmental Secretaries, Personal Secretaries, Technical Staff, etc.) for a short duration to fill temporary replacement posts vacated by staff being absent on maternity leave or prolonged sick leave.

11.2 To facilitate the processing of such requests, the following guidelines and procedures shall be followed:

11.2.1 The Head of Department/School/Unit /Centre/Office concerned should, where possible, make internal arrangements to cover the duties of a member of staff during the period of his/her prolonged leave of absence. This should include re-deployment of staff and/or re-allocation of duties on a temporary basis to cover the duties of the absent staff member.

11.2.2 Should re-deployment of staff/re-allocation of duties result in existing staff being required to work overtime, time off in lieu of payment should normally be given; exceptionally, payment for overtime work may be considered.

- 11.2.3 Approval for hiring temporary replacements would be granted only by the President when re-deployment of staff proved impossible in a small office with a limited staff.
- 11.2.4 The hiring of temporary replacements should normally be restricted to only Groups 3-4 staff and subject to confirmation of availability of funds by the Comptroller.
- 11.2.5 Requests for hiring temporary replacements should be made in a pro forma available from the Human Resources Office.

Efficiency Bars in Non-academic Salary Scales (Groups 1, 2 and 3A)

- 1 The University Salary Scales have the following structural efficiency bars:

For non-academic staff

- (i) Scale B: between Salary points 4 and 5 and between salary points 11 and 12.
 - (ii) Scale A: between salary points 6 and 7.
- 2 Assessment for crossing the efficiency bar will however, be postponed for one year for staff who are appointed on the salary point below an efficiency bar.
- 3 Applications, on forms provided by the Human Resources Office, together with an updated abridged curriculum vitae and a statement from the applicants' immediate supervisor are considered by the Non-academic Staff Review Committee (NASRC).
- 4 The President on the advice of the NASRC makes final decisions on Scale B applications and the NASRC submits its recommendations for approval for Scale A applications to the Staffing Committee.

Efficiency Bars in Non-academic Salary Scales (Groups 3B and 4)

- 1 For progression through the BAR of the Technician scale, a member of staff must have completed one year of service, have reached the salary point immediately below the BAR (i.e. MPS Pt. 17), and have satisfactory performance. A person whose salary has been held at the BAR for more than one year may appeal to the President.
- 2 The criteria for assessment for the purpose of crossing the bar for Departmental Secretary are:
 - (i) normally having satisfied the criteria for appointment to the post concerned; and
 - (ii) having received good appraisals of the appointee's performance

Efficiency Bars in Academic Salary Scales

- 1 The University Salary Scales have the following structural efficiency bars:

For academic staff

- (i) Scale B: between Salary points 8 and 9 and between salary points 12 and 13.
 - (ii) Scale A: between salary points 6 and 7.
- 2 Assessment for crossing the efficiency bar will however, be postponed for one year for staff who are appointed on the salary point below an efficiency bar.
- 3 Applications, on forms provided by the Human Resources Office, together with an updated abridged curriculum vitae and a statement from the applicants' immediate supervisor are considered by the Academic Staff Review Committee (ASRC) which will consider the performance of each applicant in relation to:
 - Teaching effectiveness
 - Scholarship (Research and related scholarly activities)
 - Contributions to Unit/College
 - Service to the community
- 4 The President on the advice of the ASRC makes final decisions on Scale B applications and the ASRC submits its recommendations for approval for Scale A applications to the Staffing Committee.

5. Promotion of members of academic staff

5.1 Subject to the availability of funds and to any limitation on the permitted numbers of senior posts, eligible academic staff may apply or be nominated for consideration for promotion in the following categories:

5.1.1 From Assistant Language Instructor to Language Instructor

Applicants should have a first degree plus a relevant postgraduate degree or appropriate postgraduate teaching diploma, and have at least 4 years relevant teaching experience.

5.1.2 From Language Instructor to Senior Language Instructor

Applicants should have a first degree plus a relevant postgraduate degree and have at least 6 years relevant teaching experience and experience in curriculum development and course design.

5.1.3 From Lecturer to Assistant Professor

Applicants should have a doctoral degree or equivalent qualification in a relevant discipline and where applicable other professional qualifications with evidence of teaching ability and the potential to engage in research and scholarly activities.

5.1.4 From Associate Professor (Scale B) to Associate Professor (Scale A)

Applicants should have a doctoral degree or equivalent qualification and where applicable other professional qualifications and substantial teaching experience and a research record including scholarly outputs and publications.

5.2 Applications shall be made on the prescribed form and accompanied by an updated abridged curriculum vitae, a supporting statement by the applicant and a statement by the Head of Department/Director of School/Head of Unit and by the Dean or Supervisor concerned.

5.3 The ASRC considers each applicant in relation to the criteria stated above and makes final decisions on applications from categories 5.1.1 to 5.1.3 and, subject to the receipt of satisfactory reports from two external assessors, makes recommendations for approval to the Staffing Committee for applications from category 5.1.4.

6. Promotion Criteria and Procedures for Non-academic staff

6.1 Promotion Criteria

Subject to the availability of funds and to any limitation on the permitted number of senior posts, staff members may be considered for promotion:

- 6.1.1 normally after having served for not less than two years at the College;
- 6.1.2 normally after having reached the top of the salary scale for their existing grade and having met the requirements for external appointment to the higher grade;
- 6.1.3 upon their demonstrating the following: a good service record in terms of professional growth, initiative and commitment, relations with colleagues and general co-operation, and participation in College affairs; and
- 6.1.4 upon their demonstrating administrative ability and effectiveness of a standard which is clearly appropriate to the grade to which promotion is sought.

6.2 Promotion Procedures (Groups 1 - 2)

- 6.2.1 Each year the Human Resources Office sends lists of staff who have satisfied conditions 6.1.1 and 6.1.2 above to Heads of Units for consideration for promotion.
- 6.2.2 Heads of Units will submit nominations for promotion with confidential written recommendations to the President.
- 6.2.3 Recommendations must be supported by an appraisal of the candidate by the Head of Unit concerned in terms of the criteria for promotion. An updated curriculum vitae must be enclosed.
- 6.2.4 Heads of Units may nominate staff who do not satisfy conditions 6.1.1 or 6.1.2 but whose case for promotion they consider merits

special consideration.

6.2.5 Members of staff may themselves apply for promotion directly to the Chairman of the Non-academic Staff Review Committee on the stipulated application form. In such cases the Head of the Unit concerned will be asked to comment on the application and to submit an appraisal as above.

6.2.6 Applications and recommendations will be considered by a Non-academic Staff Review Committee comprising

The President as Chairman

The Associate Vice President (Development)

Three members of senior staff appointed on an annual basis by the President

One member appointed by the Chairman of the Staffing Committee from among the members of the Board of Governors or the Council

The Director of Human Resources - in attendance

The Head of the Unit concerned may be invited to give background information

6.2.7 The Committee will make recommendations on promotion to the Council's Staffing Committee or the Council for approval depending on the level of appointment.

6.2.8 In normal circumstances, promotion will take effect on 1 September.

6.3 Promotion Criteria (Groups 3 - 4 General staff)

6.3.1 (Executive Officer II and Equivalent grades. Technical. Secretarial and Clerical Staff)

Promotion will only be considered for members of staff whose performance is well above the average expected of a staff member, subject to other considerations (such as establishment limitations, extension and level of responsibilities, and qualification requirements) and a strong positive recommendation from the Dean or Head of the Unit concerned.

6.3.2 The Executive Officer and Equivalent grades

Subject to the availability of funds and to any limitation on the permitted number of senior posts, staff members may be considered for promotion:

- (i) normally after having served for not less than two years at the College;
- (ii) normally after having reached the top of the salary scale for their existing grade and having met the requirements for external appointment to the higher grade;
- (iii) upon their demonstrating the following: a good service record in terms of professional growth, initiative and commitment, relations with colleagues and general co-operation, and participation in College affairs; and
- (iv) upon their demonstrating administrative ability and effectiveness of a standard which is clearly appropriate to the grade to which promotion is sought.

6.3.3 The Clerical Grade

For consideration of promotion from COII (MPS Pt. 3-15) to COI

(MPS Pt. 16-21). a candidate should have:

- (i) several years of good service at the College;
- (ii) normally reached at least MPS Pt. 13 of the COII scale; and
- (iii) a strong recommendation from the Head of the Unit.

Notes: (1) The clerical grade includes all posts that are remunerated on the clerical scales such as Library Assistants II & I, and Audio-Visual Assistants II & I.

- (2) Normally, a COI is expected to undertake supervisory duties for the junior clerical staff in the office. In circumstances where the clerical staff under consideration for promotion is the only member of clerical staff in the Unit, the scope of the responsibilities that the clerical staff has to undertake would be a justifiable criterion for consideration of promotion.

6.3.4 The Secretarial Grade

6.3.4.1 For consideration of promotion from PSII (MPS Pt. 4-15) to PSI (MPS Pt. 16-21), a candidate should have:

- (i) several years of good service at the College;
- (ii) normally reached at least MPS Pt. 13 of the PSII scale; and
- (iii) a strong recommendation from the Head of Unit concerned.

6.3.4.2 For consideration of promotion from PSI to Senior Personal Secretary (MPS Pt. 22-27), a candidate should have:

- (i) several years of good service at the College;

(ii) reached at least MPS Pt. 19 of the PSI scale; and

(iii) a recommendation from the Head of Unit concerned.

6.3.5 The Technical Grade

6.3.5.1 For consideration of promotion from Sub-Technician Trainee (MPS Pt. 1-2) to Sub-Technician (MPS Pt. 3-8), the candidate should:

(i) possess the basic qualification of a School Leaving Certificate including 5 subjects at grade E or above;

(ii) have obtained a relevant Diploma or Certificate; and

(iii) be recommended by the Head of Unit concerned.

6.3.5.2 For consideration of promotion from Sub-Technician (MPS Pt. 3-8) to Technician II (MPS Pt. 9-12), the candidate should have several years of relevant experience, of which 2 should normally have been gained at the College, and be recommended by the Head of Unit concerned.

6.3.5.3 For consideration of promotion to the Technician I grade (MPS Pt. 13-17 BAR 18-23), a Technician II should have satisfied the basic requirements for appointment to the Technician I grade and have served the College for several years with well-rated performance. For appointment to the Technician I grade, a candidate should have either a Higher Diploma or a Diploma plus several years of post-qualification experience;

6.3.5.4 Exceptionally, a Technician II who does not possess the

relevant qualification but has served the College for a substantial period of years with good service records and demonstrated possession of the practical skill knowledge required for the post may be promoted to the Technician I grade on the condition that he shall not progress through the BAR beyond MPS Pt. 17.

6.3.5.5 For progression through the BAR of the Technician scale, a member of staff must have completed one year of service, have reached the salary point immediately below the BAR (i.e. MPS Pt. 17), and have satisfactory performance. A person whose salary has been held at the BAR for more than 1 year may appeal to the President.

6.3.5.6 For consideration of promotion from the Technician I grade (MPS Pt. 13-17 BAR 18-23) to the Senior Technician grade (MPS Pt. 24-28), the candidate should:

- (i) have normally at least 5 years of relevant post-qualification experience for Higher Certificate/Diploma holders; or 2 years for those with higher qualifications;
- (ii) have normally served a minimum of 2 years at the College;
- (iii) be recommended by the Head of Unit concerned as having demonstrated good ability in the supervision/co-ordination/management of a workshop or laboratory.

Note: A Senior Technician is expected to:-

supervise a team of technical staff and to coordinate the provision of technical support;

be responsible to the Head of Unit for overseeing the effective operation of one or more of the specialist areas of services; and

give advice to subordinate technical staff and help them overcome technical difficulties in their job.

6.4 Promotion procedures

6.4.1 Heads of Units submit confidential written recommendations on candidates for promotion to the President normally in the first week of January each year. Recommendations must be supported by an appraisal of the candidate's service to date.

6.4.2 These recommendations are considered by a Non-academic Staff Review Committee comprising

The Associate Vice-President (Development) as Chairman

Two Heads of Unit to be appointed by the President

One member of academic staff appointed by the President

One member of administrative staff who is not head of unit appointed by the President

The Director of Human Resources-in attendance

The Head of Unit concerned may be invited to give background information.

6.4.3 The Committee will make recommendations to the President, whose decision is final.

6.4.4 In normal circumstances, promotion will take effect on 1 September following the Council's approval.

Non-Academic Staff Review Committee (NASRC) (for Groups 1¹ and 2)
(Approved by the Council on 11 February 1999)

Membership

- Chairman : The President
- Members : The Associate Vice-President (Development)
Three members of senior staff appointed on an annual basis by the President
One member appointed by the Chairman of the Staffing Committee from among the members of the Board of Governors or the Council
- Secretary : A staff member of the Human Resources Office

Director of Human Resources-in attendance

The Head of Unit concerned may be invited to give background information.

Terms of Reference

- (1) To consider and review applications from non-academic staff in Groups 1 and 2 for contract renewal, substantiation, promotion and bar crossing; and to make recommendations thereon to the appropriate approving authority.
- (2) To consider recommendations for the termination of employment of Groups 1 and 2 members of non-academic staff and to make recommendations thereon to the appropriate approving authority.
- (3) To consider for approval recommendations made by Recruitment Panels for appointments of Group 2 non-academic staff².
- (4) To consider matters relating to starting salary, length of contract and other conditions for appointment of staff at the levels stated in (3) above.

Procedures

- (1) The Committee may invite members of staff concerned to appear before the Committee to respond to members' questions.
- (2) Members shall abstain from deliberations on staff belonging to their Unit and from deliberations on appointment of staff to their Unit.

¹ With the exception of the Presidential Group, i.e. the President, the Vice-President, and the Associate Vice-Presidents, whose review will be conducted by the Board of Governors.

² Recommendations for appointments of Group 1 non-academic staff are made by the Selection Committee for the Recruitment of Administrative and Professional Staff Remunerated within the Chair Professorial Range for endorsement to the Staffing Committee and for approval to the Council.

Non-Academic Staff Review Committee (NASRC) (for Groups 3 and 4 staff)

(Approved by the Council on 11 February 1999)

Membership

Chairman : Associate Vice-President-Development

Members : Two Heads of Units appointed by the President

One member of academic staff appointed by the President

One member of administrative staff who is not head of a unit, appointed by the President

Secretary : A staff member of the Human Resources Office

Director of Human Resources-in attendance

The Head of Unit concerned may be invited to give background information.

Terms of reference

1. To consider applications from Groups 3 and 4 members of non-academic staff for the renewal of contract, bar crossing and promotion and to make recommendations thereon to the appropriate approving authority.
2. To consider recommendations for the termination of employment of Groups 3 and 4 members of non-academic staff and to make recommendations thereon to the appropriate approving authority.

Staff Grades in Groups 1 and 2 Eligible for Substantiation

I. Academic Staff (Groups 1 and 2)

(A) University Salary Scale (USS)

	<u>USS Points</u>
Chair Professor	(Professorial Range)
Professor	A2-A6 BAR A7-A10
Associate Professor (Scale A)	A1-A6 BAR A7-A9
Associate Professor (Scale B)	B10-B12 BAR B13-B15
Assistant Professor	B5-B8 BAR B9-B12 BAR B13-B15
Senior Language Instructor	B5-B7 BAR B8-B11

II. Equivalent Administrative & Professional Staff (Groups 1 and 2)

	<u>USS Points</u>
Registrar	(Professorial Range)
Comptroller	(Professorial Range)
Librarian	(Professorial Range)
Director, Information Technology Services Centre	(Professorial Range)
Senior Assistant College Secretary	A1-A6 BAR A7-A9
Director of Student Affairs	A1-A6 BAR A7-A9
Assistant College Secretary	B8-B11 BAR B12-B15
Assistant Registrar	B8-B11 BAR B12-B15
Assistant Comptroller	B8-B11 BAR B12-B15
Senior Estates Officer	B8-B11 BAR B12-B15

Senior Computer Officer	B8-B11 BAR B12-B15
Assistant Director of Student Affairs	B8-B11 BAR B12-B15
Associate Librarian	B8-B11 BAR B12-B15
Head, Counselling and Career Unit	B1-B7 BAR B8-B15
Student Counsellor	B1-B7 BAR B8-B15
Educational Development Officer	B1-B7 BAR B8-B15
University Administrative Assistant	B1-B4 BAR B5-B7
Computer Officer I	B1-B4 BAR B5-B7
Senior Assistant Librarian	B1-B7 BAR B8-B11
Research Officer	B1-B4 BAR B5-B7
Accounting Officer	B1-B4 BAR B5-B7
Estates Officer	B1-B4 BAR B5-B7
Audio-Visual Officer	B1-B4 BAR B5-B7

6. Criteria and Procedures for Renewal of Contract

6.1 Staff appointed on a fixed term renewable contract who wish to be considered for the renewal of their contracts should apply on a prescribed application form issued by the Human Resources Office at the beginning of the final year of their current contracts.

6.2 The completed application form should be accompanied by an updated curriculum vitae, a personal supporting statement, and for academic staff, samples of recent publications and evidence of teaching effectiveness.

6.3 Staff whose contract renewal is conditional on studies leading to a qualification should provide a progress report from their supervisor of studies which will include the expected date of completion of such studies.

6.4 For members of academic staff, the application form and supporting documentation should be forwarded to the Academic Staff Review Committee (ASRC) via the Head of Department and Dean of Faculty (Vice-President for the School of General Education).

6.5 For non-academic staff, the application form and a personal supporting statement should be forwarded to the Non-academic Staff Review Committee (NASRC) through the member of staff's Unit Head.

6.6 The ASRC/NASRC considers all applications and may invite applicants and their supervisors to appear before the Committee to answer members' queries.

6.7 The President on the advice of the ASRC/NASRC makes final decisions on Scale B applications and the ASRC/NASRC submits recommendations for approval for Scale A applications to the Staffing Committee and for Chair Professor (or equivalent) applications to the Council.

6.8 In reaching its recommendations, the ASRC will take into account the overall performance of the member of staff since initial appointment and will be guided by the following factors:

6.8.1 Teaching Effectiveness

Effective teaching as demonstrated normally in the form of a teaching portfolio indicating inter alia, quality of course organization, mastery of course content, preparation of instructional materials, student feedback, supervisor's/peers reviews, assignments and evaluation methods employed, course development skills and teaching leadership.

6.8.2 Scholarship (Research and related scholarly activities)

Scholarship commensurate with the level of appointment as demonstrated inter alia, by articles in refereed journals; books; book chapters; other published manuscripts; conference papers/proceedings papers; successes in obtaining project grants; citations in journals and books; articles in non-refereed journals; supervision of postgraduate research students; research-based consultancies; contributions to the academic community.

6.8.3 Service to the College

Service to the College as measured inter alia, by; participation in committees/boards/working groups; administration; e.g. Courses, Department, Faculty; counselling/advising/supervision of students; achieving and fostering the College's educational goals.

6.8.4 Collegiality

Collegiality as demonstrated inter alia by relationships with staff; contributions to, and the fostering of, the mission of the College.

6.8.5 Service to the Community

Service to the community as shown inter alia by contribution to the relevant profession; consultancies; contribution to the wider community of Hong Kong and beyond including service on Government and other committees/boards.

6.8.6 Other Factors

Other factors, such as, the qualifications and the potential of the member of staff to contribute to future academic developments in the Department/School and Faculty; staff redundancy and financial exigency.

6.9 In reaching its recommendations the NASRC will take into account the overall performance of the member of staff since initial appointment and will be guided by the following factors:

- 6.9.1 administrative effectiveness and/or professional competence;
- 6.9.2 professional development and activities;
- 6.9.3 contributions to the College;
- 6.9.4 relevant service to the community and/or the profession;
- 6.9.5 other factors such as the qualifications and the potential of the member of staff to contribute to future developments of the College; staff redundancy and financial exigency.

Procedures for Termination of Employment of Non-academic Staff on Fixed or Continuous Terms

Where the supervisor judges that the overall performance of a member of staff is unsatisfactory, the following procedures shall be followed:

The supervisor of the member of staff concerned shall meet with him/her and shall record in writing improvement actions to be taken and performance targets to be achieved by that member of staff within an agreed timeframe and shall also agree a date by which a further review will take place; a copy of this written record shall be given to the member of staff concerned and a copy placed in his/her Personal File in the Human Resources Office;

If the outcome of the further review is a recommendation that the member of staff's current employment be terminated, the supervisor shall forward a report on a form available from the Human Resources Office, together with all related documentation through his/her supervisor, to the appropriate Review Committee via the Human Resources Office; and

If the Review Committee approves the recommendation, including the method of termination, i.e. either by due notice or by payment in lieu of notice or that the member of staff shall be redeployed, the Human Resources Office shall inform the member of staff accordingly and shall advise him/her of the appeal procedures.

Procedures for Termination of Employment on grounds of performance

- Re: (1) Academic Staff on Part-time/Half-time Appointments**
(2) Non-academic Staff on Probation or on Part-time/Half-time Appointments

1. The following procedures for termination of employment on grounds of performance is applicable to academic staff on part-time/half-time appointments and to non-academic staff on probation or part-time/half-time appointments whose performance is considered “unsatisfactory”. Here “unsatisfactory” performance applies when a staff member fails to meet his/her contractual obligations by such actions as rudeness, tardiness, inefficiency, failure to obey standing instructions, performing his/her duties below the required level of competence or producing work below the required standard or of the required quality.
2. The following sub-paragraphs spell out the procedures for termination of employment:
 - i) The supervisor of the member of staff concerned shall meet him/her and shall record in writing improvement actions to be taken and performance targets to be achieved by that member of staff within an agreed timeframe and shall also agree on a date by which a further review will take place; a copy of this written record shall be given to the member of staff concerned and a copy to be sent to the Human Resources Office.
 - ii) If the performance of the staff member concerned has not improved at the end of the agreed period or has deteriorated within the agreed timeframe, the supervisor shall conduct a further review of his/her performance according to the procedures detailed in 2(i) above.
 - iii) If the staff member concerned has failed to perform satisfactorily within the agreed timeframe for a performance review, the supervisor shall issue an oral and/or written warning(s) to the staff member of his/her failure to perform his/her duties satisfactorily, sending to the Human Resources Office a copy of the record of the oral/written warning. It is advisable that the staff member be asked to signify on record that he/she has received the warning and understands its contents. The supervisor may conduct a further review of his/her performance, if deemed necessary.
 - iv) If the outcome of the second or any further review is a recommendation that the member of staff’s current employment be terminated, the supervisor shall forward a report on a form (Form 1) available from the Human Resources Office, together with all related documentation through his/her supervisor, to the appropriate Review Committee via the Human Resources Office.
 - v) The appropriate Review Committee shall consider the recommendation of termination. If the Review Committee supports the recommendation (that the staff member’s employment be terminated), the Review Committee will then forward its endorsement to the appropriate approving authorities, i.e. President/Staffing Committee/Council for consideration. If the recommendation is approved, the Human Resources Office shall inform the staff member concerned the decision.

3. For non-academic staff members who are on probation,
 - i) the performance reviews shall take place within the probationary period, with the first performance review meeting to be conducted before the end of the first month (for staff on probation of less than three months) or before the end of the second month (for staff on probation of more than three months) of the probationary period. The supervisor shall submit a report on the performance review to the Human Resources Office within five days of the first performance review meeting; and
 - ii) the “agreed timeframe” [as listed in paragraph 2(i) above] and “further review” [as listed in paragraphs 2(i) and 2(ii) above] should be set in such a way that it would not exceed/commence after the respective staff member’s probationary period to ensure that a decision of confirmation or termination of employment can be resolved and the staff member concerned be informed of the decision before the end of the probationary period.
4. The abovementioned performance review will be conducted at any time as and when appropriate.
5. Academic staff on part-time/half-time appointments, and non-academic staff on probation or on part-time/half-time appointments shall have no right of appeal if their employment has been recommended for termination.

Approving Authorities for Termination of Employment on grounds of performance
 (Approved by the Council on 11 February 1999)

		Endorsement	Approval	Right of Appeal
Academic Staff/Non-academic Staff on contract or continuous terms	Chair Professor or equivalent	Sub-Committee of ASRC/NASRC	Council	Yes
	A1-A10 Associate Professor (Scale A)/Professor or equivalent	ASRC/NASRC	Staffing Committee (SC)	
	On or below B15 Associate Professor (Scale B) or equivalent and below	ASRC/NASRC	President (P)	
	Part-time/Half-time Staff	Head of Department/School	President	No
Non-academic Staff	On probation	Head of Department/Unit/Centre	President	No
Academic and Non-academic Staff	On substantiated terms	ASRC/NASRC	P/SC/Council	Yes

Appeals Committee

Revised Procedures *(Approved by the Council on 11 February 1999)*

- (1) Any member of staff of Groups 1 and 2 employed on a fixed term or continuous basis (but not substantiated) whose contract is not renewed or whose continuous employment is terminated on the grounds relating to performance of his or her duties may appeal to the Appeals Committee (“the Committee”) of the Council in accordance with the following procedures.
- (2) Such appeal before the Committee is by way of a review of the decision made by the ASRC/NASRC and endorsed/ approved as appropriate by the Staffing Committee of the Council.
- (3) The member of staff concerned (“the Appellant”) who intends to appeal against the decision of the ASRC/NASRC must give to the Secretary of the Committee (“the Secretary”) notice in writing of his/her intention to appeal to the Committee and at the same time lodge his/her written submission together with all relevant supporting documentation with the Secretary within ten days from the date of the notification concerning the non-renewal of contract or termination of the continuous employment.
- (4) The Secretary shall forward a copy of the notice of intention to appeal and a copy of the written submission of the appellant to the ASRC/NASRC for its written comments, which must reach the Secretary within ten days from the receipt of such copies of documents.
- (5) The Committee, so far as practicable, shall meet and consider the appeals not more than one month after receipt of the notice of intention to appeal, and in an appropriate case, the Committee may, prior to its formal meeting of the appeals, hold a preliminary meeting for the purpose of determining whether further information or clarification may be required from the ASRC/NASRC and from the Head of Department/Director of School/Dean and/or supervisor of the Appellant and/or from the Appellant, who may be invited to appear before the Committee at its formal meeting.
- (6) The Appellant who wishes to appear before the Committee in person at its formal meeting must indicate such a request in his/her notice of appeal, but the Committee reserves its right whether or not to accede to such request.
- (7) In arriving at a decision in its deliberation, the Committee may take into consideration all the relevant circumstances as to whether the non-renewal of the contract or the termination of the continuous employment is fair and reasonable, and in accordance with the established procedure and practice of the College and the legal and equitable principles.
- (8) The decisions of the Committee on the appeals shall be final and a report thereof shall be made to the Council by the Committee.