

# **Information Note**

# Measures to ensure teaching quality of higher education in selected places

IN09/18-19

#### Introduction 1.

- 1.1 Higher education is considered a major driver of economic competitiveness, as it significantly contributes to the development of human capital and skill sets needed in today's knowledge-based economy. Quality teaching is the key to achieving high learning outcomes in higher education.
- 1.2 Although there has been no consensus among scholars concerning the definition of "quality teaching" until recent time, a study conducted by the Organisation for Economic Co-operation and Development ("OECD")<sup>2</sup> suggested that teaching quality be inextricably linked to recruitment of teaching staff, as higher education institutions wished to attract well prepared and effective teachers who would remain in teaching profession long enough According to OECD, institutional policies were to make a difference. important to foster quality teaching. In particular, institutions should "ensure human resources policies (recruitment, remuneration, progression, professional development etc.) support the strategic objective of quality teaching".3
- In Hong Kong, there have been discussions about teaching quality in 1.3 the higher education sector amid the trend towards casualization of academic staff in the sector. Recently, the matters have also drawn some Members' attention in the Council.<sup>4</sup> Nonetheless, casualization of academic staff in the higher education sector is not unique to Hong Kong.<sup>5</sup> In **Japan**, it is common

See OECD (2009) and Hornstein (2017).

In 2010, OECD conducted a study among 29 higher education institutions across 20 OECD and non-OECD countries to collect information and set benchmarks on the quality of their teaching in the higher education sectors. See OECD (2010).

See OECD (2012).

See, for example, GovHK (2018) and Official Records of Proceedings of the Legislative Council (2018a).

According to Percy (2008), "it is widely recognised that the gross casualisation of teaching in higher education has been materially produced as a cost-saving device for fiscally constrained and reform-ridden universities since the 1990s".

for higher education institutions to recruit teaching-only staff on a fixed-term contract or part-time basis. In 2015, about 48% of academic staff in **Europe** did not have a permanent contract. In **Australia**, casual work was the primary source of employment for 61% of academic staff in 2016, of whom 22% had worked without a continuous contract for 6-10 years and 31% for over 10 years. In 2014, about 70% of academic staff in the **United States** were off the tenure track.<sup>6</sup>

- The **United Kingdom** ("UK") and **New Zealand** are also faced with casualization of academic staff in the higher education sector. In the UK, 49% of teaching staff were on insecure contracts in 2013-2014 and many of them were employed on fixed-term contracts or hourly paid. While lecturers did much of the teaching in universities, they were more likely to be on fixed-term contracts. Likewise in New Zealand, an increasing proportion of teaching had been done by contract and/or part-time academic staff, in a move to free up tenured academic staff for research work. Reflecting this, about 40% of academic staff were contract or part-time employees in 2015.
- 1.5 While increasing contract/part-time academic staff in the higher education sector tends to be a global phenomenon, there are legal provisions in the UK and New Zealand to protect their rights. Meanwhile, both places have put in place institution-wide measures such as utilizing funding mechanism to help ensure the quality of teaching in higher education.
- 1.6 At the request of Hon AU Nok-hin, the Research Office has prepared this information note on the measures adopted by the UK and New Zealand to ensure teaching quality in the higher education sector. The information note will first summarize the findings from the literature review on casualization of academic staff and the potential impact on teaching quality. It will then discuss the casualization and perceived impact on the quality of teaching in higher education in Hong Kong,<sup>10</sup> followed by the study of (a) legal provisions to protect the rights of contract/part-time academic staff in the UK and New Zealand; and (b) other institution-wide measures to help ensure teaching quality in these two places.

See Education International (2017).

See University and College Union (2016).

See New Zealand Productivity Commission (2017).

<sup>&</sup>lt;sup>9</sup> See Canadian Association of University Teachers (2015).

The higher education sector in Hong Kong comprises public and private universities together with self-financed community colleges. For simplicity, this information note confines the study to the higher education institutions funded by the University Grants Committee.

# 2. Casualization of academics and potential impact on teaching quality

2.1 According to OECD, quality teaching is a controversial term which lacks a clear definition<sup>11</sup> and does not have a widely accepted approach for assessing teaching quality in higher education.

# Assessing teaching quality

2.2 Currently, many higher education institutions rely on student evaluation surveys to assess teaching quality. The method is popular because the measurement is straightforward and it appears to be objective simply as the results are expressed quantitatively. Recent research, however, suggested that these surveys were unreliable measures of teaching performance. Meanwhile, other methods of assessing teaching quality such as measuring learning gain and student engagement also faced methodological challenges. According to OECD, "there are in fact, no widely accepted methods for measuring teaching quality". According to OECD, "there are in fact, no widely accepted methods for measuring teaching quality".

# <u>Institutional consideration of casualization</u>

2.3 Despite the lack of a world-recognized standard instrument to assess teaching quality, teaching is undoubtedly an influential factor on students' learning outcomes. Quality of teaching and cost of education delivery are two key aspects that most higher education institutions have been striving to balance, especially after the cost-saving policies have been implemented in many institutions over the past years. The increasing fixed-term contract and part-time appointments in the sector tend to be attributable to cost savings and flexibility in staff management:

<sup>&</sup>lt;sup>11</sup> See OECD (2009).

<sup>&</sup>lt;sup>12</sup> See Hornstein (2017).

According to Hornstein (2017), students' objectives might be different from those of teaching staff. Students might simply care about their grades, whereas in most cases, teaching staff cared about student's learning. Some scholars commented that the student evaluation surveys were measures of popularity and liking rather than bona fide measures of teaching quality.

For details, see Greatbatch & Holland (2016).

<sup>&</sup>lt;sup>15</sup> See OECD (2010).

- (a) **Cost-saving policies:** short-term contract/part-time academic staff usually enjoy fewer employment benefits as compared to their tenured counterparts such that "substantial cost savings can be achieved ... by not providing employee benefits". <sup>16</sup> It is particularly important to institutions amid declining government funding coupled with increasing operating expenditure; <sup>17</sup> and
- (b) **Flexibility in staff management:** short-term contract/part-time academic staff often have little advance notice of course assignments. Their contracts are often made in relation to student intake. It allows the institutions to be more responsive to fluctuating enrolment levels. <sup>18</sup>
- 2.4 While employing contract/part-time staff may achieve cost savings and flexibility in staff management, some studies considered that there might be hidden costs of workforce casualization, including (a) burden on tenured staff to develop course materials and supervise non-tenured staff; (b) administrative work for processing employment contracts; (c) students' reduced access to part-time academic staff compared to full-time ones; and (d) staff turnover related to feeling undervalued.<sup>19</sup>

# Possible impacts of casualization of academic staff on teaching quality

2.5 According to OECD, individual performance of each academic staff is a crucial factor in quality teaching. Casualization of academic staff may hamper the casual staff's commitment to a career in academia. Yet, there is not much literature about human resources matters in the higher education sector and the literature tends to discuss the possible factors that may impact on teaching quality from a qualitative perspective. Staff's knowledge and experience in teaching, continuity in teaching, time allocation

<sup>&</sup>lt;sup>16</sup> See Halcomb et al (2009).

See International Labour Organization (2018).

<sup>18</sup> Ihid.

<sup>19</sup> See Halcomb et al (2009).

<sup>&</sup>lt;sup>20</sup> See OECD (2012).

<sup>&</sup>lt;sup>21</sup> See Lama (2015).

See Education International (2017).

As there is a lack of a standard assessment of teaching quality, it tends to be difficult to establish a quantitative causal relationship between casualization of academic staff and teaching quality.

of teaching staff on preparation before giving lessons, access to teaching resources and commitment to teaching are among the areas identified in the literature:

- (a) Lacking teaching knowledge or experience: Contract/part-time academic staff may be employed on an ad hoc basis dependent on urgency of staff recruitment to "fill the gaps". While some may have significant knowledge of the discipline area in which they are employed, they may have limited knowledge of pedagogy, or teaching experience, and may not have professional development opportunities in pedagogy;
- (b) Lacking continuity in teaching: Contract/part-time academic staff may be assigned to teach different courses every year. Therefore, hardly can they improve their teaching quality by building on the experience of teaching the same course previously;<sup>25</sup>
- (c) Limited preparation time: Staff under short-term contract or part-time appointments may have little advance notice of course assignments. Furthermore, some of them may work in multiple institutions and deliver a number of units simultaneously to earn a living. These raise the question as to whether they are able to afford a desirable level of time for preparation before giving lessons;
- (d) Limited access to basic resources: Some contract/part-time staff may have difficulties in accessing basic resources fundamental to their teaching, such as computer facilities, emails, office space, office equipment, library services and text books; and
- (e) Lacking commitment to teaching: Casual academic staff are generally appointed on a semester-by-semester basis, meaning that their job is guaranteed only for the semester for which they are contracted. They may have no commitment beyond that

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For example, academic staff may be urgently required for covering for other staff members on leave, or teaching in new classes which have secured sufficient student intakes.

According to Lama (2015), some academic staff considered it an issue of continuity because they were always giving lectures "for the first time". Therefore, it was rare for them to have an opportunity to improve, for example, by streamlining a lecture of the same course.

semester. It is also a source of anxiety especially when they start to worry for the next semester. These frustrations can hamper their commitment to a career in academia.

# 3. Hong Kong

- 3.1 In Hong Kong, there have been reports of higher education institutions recruiting more academic staff on a fixed-term contract or part-time basis. In some instances, these contract/part-time staff were employed for only one semester or six months and had to find another job after their employment contracts concluded. There were also contract/part-time staff reportedly teaching simultaneously at several institutions in order to earn a living. Some of them were employed on a contract basis after engaging with teaching in the same institution for the ninth successive years. Meanwhile, it was reported that some contract/part-time academic staff had no office space, resulting in the difficulties for students to find their teachers on school campus. Each of the part of the staff of the staff of the difficulties for students to find their teachers on school campus.
- 3.2 According to the statistics provided by the higher education institutions funded by the University Grants Committees ("UGC")<sup>30</sup> except Lingnan University, the average share of contract academic staff ranged from 45% to 86% in the past five years. Over the same period, the growth in number of contract academic staff ranged from 9% to 25%<sup>31</sup> (**Table 1**).

<sup>26</sup> See, for example, 香港 01 (2018), 明報 (2019) and 信報 (2019).

Since its establishment in 1965, UGC has been serving as the funding body for higher education in Hong Kong, as well as providing assurance to the Government and the community on the standards and cost-effectiveness of the operations and activities of the UGC-funded institutions.

<sup>&</sup>lt;sup>27</sup> See 香港教育專業人員協會(2019).

<sup>&</sup>lt;sup>28</sup> See 明報(2019).

<sup>&</sup>lt;sup>29</sup> Ibid.

The results covered four UGC-funded institutions which provided the trend data from 2013-2014 to 2017-2018. As for CityU, which only provided the data between 2013-2014 and 2016-2017, the number of contract academic staff dropped by 11% during the period.

Table 1 – Number of academic staff by employment term in UGC-funded institutions, 2013-2014 and 2017-2018

Institutions		2013-2014			2017-2018			From 2013-2014 to 2017-2018		
		Substantive/ long-term	Contract		Substantive/ long-term	Contract		Contract staff		
		No.	No.	Share	No.	No.	Share	Share	Growth	
нкиѕт		322	932	74%	358	1 169	77%	75%	+25%	
нки		567	969	63%	587	1 102	65%	64%	+14%	
СПНК		590	704	54%	573	796	58%	57%	+13%	
HKIEd/EdUHK <sup>(1)</sup>		153	171	53%	127	186	59%	57%	+9%	
CityU		445	634	58%	462 <sup>(2)</sup>	566 <sup>(2)</sup>	55% <sup>(2)</sup>	57% <sup>(2)</sup>	-11% <sup>(2)</sup>	
PolyU	Academic	Not provided			467	382	45%	45%	NA	
	Teaching/ clinical	Not provided			56	344	86%	86%	NA	
нкви		Not provided							NA	
LU		Not provided								

Notes: (1) Since May 2016, the former Hong Kong Institute of Education (HKIEd) has been retitled "The Education University of Hong Kong (EdUHK)".

Data source: GovHK (2018).

3.3 Like elsewhere in the world, Hong Kong's higher education sector attaches an importance to cost savings and flexibility in staff management, which may be attributable to (a) financial pressure in view of an increasing expenditure of institutions coupled with slowing down in the growth of UGC funding; and (b) various academic developments such as the introduction of new programmes and courses in recent years.

# Financial pressure

Over the past decade, total expenditure of UGC-funded institutions surged by 69.1% from HK\$21,250 million in 2007-2008 to HK\$35,938 million in 2017-2018. Yet the grants increased from HK\$12,479 million in 2007-2008 to HK\$20,329 million in 2017-2018, representing a growth rate of 62.9% that could not keep up with the pace of growing expenditure. Under the financial pressure, the institutions have been relying on other sources of income such as interest and investment income, donations and benefactions, and tuition and programmes and other fees to make up the shortfall. Added to the concern

<sup>(2)</sup> The latest figures of CityU are up to 2016-2017. The average share and the growth in number of contract staff were compiled for the period between 2013-2014 and 2016-2017.

over the financial pressure, the amount of grants as a percentage of the total government expenditure has decreased from 5.3% to 4.3% over the same period (**Table 2**).

Table 2 – UGC grants and expenditure of UGC-funded institutions, 2007-2008 to 2017-2018

(HK\$ million)

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	2007-2008	2009-2010	2011-2012	2013-2014	2015-2016	2017-2018	Growth	
UGC grants	12,479	12,816	16,335	17,500	19,030	20,329	+62.9%	
Expenditure	21,250	22,874	24,819	28,561	32,882	35,938	+69.1%	
Difference (UGC grants – expenditure)	-8,771	-10,058	-8,484	-11,061	-13,852	-15,609	+78.0%	
Grants as a percentage of government expenditure	5.3%	4.4%	4.5%	4.0%	4.4%	4.3%		

Data source: University Grants Committee.

#### Academic development

- 3.5 To address the changing demand of students for higher education and facilitate recent education reforms, the higher education institutions have developed new academic programmes. For example, there were over 210 general education programmes (known as Common Core Curriculum) offered by the University of Hong Kong in 2017. Besides revamping the general education programmes, some institutions had also incorporated new elements such as service learning and experiential learning into new curriculum. 33
- 3.6 Although a considerable amount of new programmes had been developed, there was no guarantee that these programmes could secure sufficient student intakes. Therefore, institutions might make use of short-term contract/part-time academic staff, who were more flexible and responsive, and accepted little advance notice of course assignments.
- 3.7 The perceived importance of cost savings and flexibility in staff management created the need for short-term contract/part-time academic staff, who might just receive statutory employment benefits provided under the Employment Ordinance (Cap. 57).

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<sup>&</sup>lt;sup>32</sup> See Lam (2017).

<sup>33</sup> See University Grants Committee (2013).

# Legislation to protect contract/part-time staff

- 3.8 In Hong Kong, all higher education institutions have their own human resources policy. Academic staff may be appointed on either a substantive term or a fixed-term contract (for both full-time and part-time staff). Initial academic appointments are usually on fixed-term contracts.
- 3.9 Short-term contract/part-time academic staff are entitled to basic labour protection as set out in the Employment Ordinance including payment of wages, restrictions on wages deductions and granting of statutory holidays (without holiday pay), but they may or may not enjoy further entitlement to such benefits as rest days, paid annual leave, sickness allowance, severance payment and long service payment.

# <u>Institution-wide measures</u>

- 3.10 UGC has been making use of its funding mechanism to help ensure the teaching quality in UGC-funded institutions. At present, UGC provides two types of funding to the institutions, namely **capital grants** for capital works projects and **recurrent grants** for supporting on-going academic work and related administrative activities.
- 3.11 To determine the amount of the recurrent grants, UGC takes into account (a) the student number targets and manpower requirements as considered by the Government; and (b) academic development proposals submitted by the applicant institutions which set out, among other things, the administrative and academic support services required. While individual institutions may sometimes include the **staff terms and conditions** in the proposals, UGC can do "no more than note the position **for information only**" as stated in the UGC Notes on Procedures.<sup>34</sup>
- 3.12 Recurrent grants comprise a block grant and funds provided for specific purposes. Determination of the block grants to UGC-funded institutions is largely based on an established funding methodology, under which UGC allocates the block grant broadly in the proportion of 75% for teaching, 23% for research, and 2% for professional activities.

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<sup>&</sup>lt;sup>34</sup> See University Grants Committee (2017).

- 3.13 As stated in the UGC Notes on Procedures, once the grant allocations are approved, individual UGC-funded institutions have "a high degree of freedom and responsibility for determining the best use of the resources vested in them". In other words, how the block grant is divided is a matter of internal decision by each institution, and such arrangement is designed to provide the institutions with maximum flexibility in internal deployment. 36
- 3.14 The function of UGC as a funding body has its limitations in spite of controlling a significant proportion of income of higher education institutions. The established funding methodology and the financial autonomy accorded to UGC-funded institutions might limit the room for the involvement of UGC in resource allocation decisions made by individual institutions.

# 4. The United Kingdom

4.1 In the UK, there are regulations setting out the employment rights of employees under a fixed-term contract or part-time basis. The regulations are of particular relevance to higher education in the UK, as the problems of "insecurity" and "inequity" associated with casualization of academic staff might hamper casual academics' commitment to a career in academia and as a consequence, to teaching quality. Added to the statutory protection, the UK has also put in place certain institution-wide measures including making use of its funding mechanism and introducing a national teaching excellence framework with a view to ensuring the quality of teaching in higher education.

# Regulations to protect fixed-term/part-time staff

4.2 In the UK, the Fixed Term Employees (Prevention of Less Favourable Treatment) Regulations 2002 ("FTER") protects fixed-term employees from being treated less favourably than permanent employees. Regulation 3 of FTER provides that fixed-term employees have the rights to be employed on no less favourable terms than comparable permanent employees, unless there is objective justification for such difference in treatment. The equal treatment

<sup>35</sup> Ibid.

<sup>&</sup>lt;sup>36</sup> UGC has neither statutory nor executive powers. Each of the higher education institutions is an autonomous body with its own Ordinance and governing council.

applies not only to pay, but also to other benefits such as pension, holiday, sick pay entitlement and access to promotion opportunities.<sup>37</sup>

- 4.3 FTER also prevents the abuse arising from successive periods of fixed-term employment. Under Regulation 8 of FTER, an employee who has been continuously employed on fixed-term contracts for four years or more, if re-engaged on a fixed-term contract without his or her continuity being broken, the new contract has effect under the law as a permanent contract unless the renewal on a fixed-term basis is objectively justified.<sup>38</sup>
- In addition to FTER, the Part-Time Workers (Prevention of Less Favourable Treatment) Regulations 2000 ("PTWR") has also come into force in the UK. Under PTWR, all part-time employees, irrespective whether their employment is their principal employment or not, should enjoy all the entitlements due to comparable full-time employees, on a pro-rata basis calculated on the weekly hours worked. Pro-rata entitlements include statutory bonus and weekly allowance, all public holidays, sick leave, injury leave and any other leave in terms of law.

# <u>Institution-wide measures</u>

#### Funding mechanism

4.5 At present, the higher education institutions in the UK rely on tuition fees paid by students as a major source of funding for teaching.<sup>39</sup> The government provides funding for teaching not by giving grants to institutions

<sup>&</sup>lt;sup>37</sup> See GovUK (2002).

It is worth noting that the Employment Tribunal has ruled in a case that "no guarantee of future funding" was not an objective justification to successively use fixed-term contracts. In *Ball v University of Aberdeen*, the Employment Tribunal made a declaration that a research fellow had permanent status following the successive use of three fixed-term contracts from April 1999 to May 2008 by the University of Aberdeen. Earlier on, the university argued that the arrangement was due to the business need of coping with the nature of research funding, which tended to be short-term in nature. The advantage of using fixed-term contracts was that it cut down on the cost of employing researchers beyond the term for which they had fixed funding. See XpertHR (2010).

At present, students are required to pay a tuition fee up to £9,000 (HK\$90,450) a year. The UK government provides upfront loans to cover tuition fees and living costs of students. Students will repay the loans after graduation and repayment will begin only when they earn above £21,000 (HK\$211,050) a year. Any debt not repaid after 30 years will be written off.

but by channelling funds through tuition fees. Underlying the measure is the view that the best means of securing quality is greater competition between institutions where students are able to make well-informed choices. In turn, institutions will improve their teaching or risk losing students and income.<sup>40</sup>

# Teaching Excellence and Student Outcomes Framework

- 4.6 In 2017, the UK government introduced the Teaching Excellence and Student Outcomes Framework ("TEF") as a system to **assess the quality of teaching** in higher education institutions and to recognize and reward high quality teaching. TEF also provides a resource for students to judge teaching quality of the institutions.
- 4.7 Participation in TEF is voluntary, the institutions, however, must first meet the existing national baseline quality requirements for higher education as set out in the UK Quality Code for Higher Education. TEF carries out an additional assessment of institutions' performance in the area of teaching and learning quality above the baseline. In 2017, a total of 134 out of some 180 higher education institutions in the UK participated in TEF and received an award. Publicly-funded higher education institutions in England with a TEF award may increase their fees in line with inflation.

#### 5. New Zealand

In New Zealand, it is considered that one of the main factors driving quality is the "commitment to quality teaching by academic staff and the satisfaction derived by teaching and their role in developing students" <sup>44</sup>. Institutions are required to be prudent to use fixed-term contracts to employ

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See Higher Education Policy Institute (2014).

The UK Quality Code for Higher Education is the "definitive reference point" for all UK higher education institutions with a view to assuring the standards and quality of education provided. Higher education institutions in the UK are required to fulfil the requirements set out in the Code. Reviews are conducted by the Quality Assurance Agency for Higher Education to ensure that the institutions are compliant with the Code. See UK Quality Assurance Agency (2014).

<sup>&</sup>lt;sup>42</sup> TEF measures teaching quality, learning environment, and student outcomes and learning gain.

Participating institutions will be given a gold, silver or bronze award. A participating institution will get a provisional award if there is not enough data for a full assessment.

See Universities New Zealand (2018b).

academic staff. In fact, there are legal provisions setting out the relevant requirements. Added to this, the statutory New Zealand Vice-Chancellors Committee has also put in place standardized measures for New Zealand's eight universities to develop teaching practice, and recognize and reward good teaching of academic staff.

# Regulations to protect fixed-term staff

- 5.2 The Employment Relations Act 2000 provides the legal backdrop for building employment relationships between employees, employers and unions through promotion of good faith and fair process. Section 66 of the Act sets out specific terms and conditions of fixed-term employment. In particular, Section 66(2) provides that an employer is required to have a **genuine reason based on reasonable grounds** to use fixed-term contracts. Before entering into the employment agreement, the employer must advise the employee when or how the employment will end and for what reasons.
- Based on the legal requirement, New Zealand's universities had developed their guidelines on fixed-term employment. For example, the University of Otago set out in its Fixed Term Employment Guidelines the examples of genuine reasons, including (a) additional staffing for peak workload periods; (b) projects of a specific and limited duration; (c) covering for staff members on leave or undertaking alternative duties; and (d) covering vacant positions until the recruitment process is complete. In the University of Auckland, teaching positions for the trial of an entirely new course of study or programme can also be considered a reasonable ground.
- Notwithstanding the above, the universities cannot use fixed-term contracts as an arrangement to assess the employee's suitability for permanent employment<sup>47</sup> or to limit the rights of the academic staff such as his or her annual leave entitlement. Fixed-term staff who work for less than 12 months can agree with their employer to receive holiday pay at a rate no less than 8% of the employee's gross earnings.<sup>48</sup>

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<sup>45</sup> See University of Otago (2016).

See University of Auckland (2018).

<sup>&</sup>lt;sup>47</sup> See State Services Commission (2000).

In New Zealand, both fixed-term contract and permanent staff are entitled to at least four weeks of paid annual leave after each 12 months of continuous employment for their employer. For those who are employed on fixed-term agreements for less than 12 months, they can agree with their employer to get no less than 8% of gross earnings instead of taking annual leave.

5.5 Furthermore, the Employment Relations Act 2000 also allows for employees the rights to organize and bargain collectively. In fact, most academic staff maintain collective employment agreements with the universities, covering such matters as workloads, remuneration, training and professional development, disciplinary principles, leave and terms of employment.<sup>49</sup>

# Institution-wide measures

In addition to the statutory protection, there are standardized, institution-wide measures to develop teaching practice, and recognize and reward good teaching of academic staff laid down by the New Zealand Vice-Chancellors Committee by consultations among the vice-chancellors of the eight universities. Aside from these, the New Zealand government also tried to leverage on funding arrangement to help ensure the quality of teaching in the higher education sector.

# Developing teaching practice

- 5.7 **All universities** provide new academic staff and tutors including those working on a contract and part-time basis with access to training and on-going support. In addition to workshops, seminars as well as leadership and mentoring programmes, teaching staff may complete formal tertiary teaching qualifications offered by universities across the country. <sup>51</sup>
- 5.8 **For staff with less experience** in teaching at tertiary level regardless of their terms of contract, universities generally mandate between 12 and 20 weeks of attendance at relevant professional development programmes within their first two years of employment. Furthermore, refresher courses are provided for those incumbent staff.

See, for example, University of Auckland (2017) and University of Canterbury (2015).

The New Zealand Vice-Chancellors Committee was established pursuant to the Education Amendment Act 1990. The Committee has a statutory responsibility for quality assurance in the university sector. The eight universities, represented by their vice-chancellors, make up the membership of the Committee. Formal meetings are held six times a year with the position of the chair rotating every two years.

Examples of formal tertiary teaching qualification include Postgraduate Certificate in Academic Practice offered by the University of Auckland and Postgraduate Higher Education Learning and Teaching offered by Victoria University of Wellington.

# Performance-based career advancement

All university staff are subject to annual performance review. Where a staff has teaching responsibilities, universities must require the staff to demonstrate his or her competence in teaching, assessment and curriculum development as a condition for promotion. Meanwhile, it is mandatory at two universities and strongly encouraged at the other six universities by linking teaching performance to pay increases and promotion.

# Recognition of teaching excellence

All universities have annual awards to recognize and reward teaching excellence. These span disciplines and can apply to teaching staff (including those contract/part-time staff) and/or teams just starting out in their teaching career to recognition of those who have a long, sustained commitment to excellent teaching over their career. Looking ahead, New Zealand universities have been watching closely the introduction of the UK's TEF (as discussed in paragraphs 4.6-4.7), at which the New Zealand government are interested in adopting a similar framework of standard for teaching in higher education. <sup>52</sup>

# Performance-linked funding condition

5.11 In 2012, New Zealand introduced a performance-linked funding condition in its funding mechanism, with 5% of funding for teaching is contingent on the institution's performance against four educational performance indicators<sup>53</sup> in the previous year to assess the teaching quality.<sup>54</sup> According to the Tertiary Education Commission,<sup>55</sup> the performance-linked funding aims to encourage institutions "to reach an acceptable standard of educational performance". <sup>56</sup> However, the New Zealand Productivity

The educational performance indicators comprise (a) students' first year retention rate; (b) cohort-based qualification completion rate; (c) course completion rate; and (d) progression of students to a higher level of study after completing a qualification.

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<sup>&</sup>lt;sup>52</sup> See Universities New Zealand (2018b).

Institutions performed above the upper threshold will be granted the 5% contingent funding, whereas all 5% contingent funding will be withheld for those performed below the lower threshold. A portion of the 5% funding is withheld for institutions whose performance scores fall between the upper and lower thresholds.

The Tertiary Education Commission was established in 2003 charged with allocating funding and monitoring the tertiary education sector comprising universities in New Zealand.

See Tertiary Education Commission (2011).

Commission <sup>57</sup> recently commented that the performance-linked funding provided "weak incentives for good performance and an insufficient sanction for below-threshold performance" <sup>58</sup> and recommended the government considering a new mechanism to incentivize providers to improve their performance in adding value to students.

#### 6. Observations

- 6.1 In Hong Kong, there have been discussions about casualization of academic staff in the higher education sector and the ensuing concern over the quality of teaching. Yet, casualization of academic staff is not unique to Hong Kong. In many developed economies, increasing contract and part-time academic staff has been one of the most noticeable trends over the past years, attributable to institutional cost savings and managerial flexibility.
- In the UK and New Zealand, legal provisions have come into force to protect the rights of fixed-term contract and part-time academic staff. In the UK, the regulations require equal treatment of fixed-term and permanent employees and limit the use of successive fixed-term contracts to a period of four years. In New Zealand, fixed-term contract staff who work for less than 12 months can agree with their employer to receive holiday pay at a rate no less than 8% of their gross earnings. Fixed-term contracts cannot be used as an arrangement to assess staff's suitability for permanent employment. Meanwhile, most New Zealand's academic staff maintain collective employment agreements with the universities, covering such matters as workloads, remuneration, training and professional development, disciplinary principles, leave and terms of employment.
- 6.3 For institution-wide measures, UGC's block grant is allocated broadly in the proportion of 75% for teaching, 23% for research, and 2% for professional activities, how the block grant is divided is a matter of internal decision by each institution. After all, the funding mechanism coupled with the financial autonomy accorded to institutions may limit the room for the involvement of UGC in resource allocation decisions made by individual institutions.

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New Zealand Productivity Commission is an independent Crown entity. It provides advice to the New Zealand government on improving productivity.

<sup>58</sup> See New Zealand Productivity Commission (2017).

By comparison, the UK and New Zealand have made use of their funding mechanism to ensure teaching quality in the higher education sector. The UK has moved from a mechanism of funding entirely by public money to the one with significant students' contribution. In New Zealand, the performance-linked funding condition for 5% subject to the institution's performance was introduced. These features were added with a view to encouraging institutions to reach an acceptable standard of educational performance and to make a commitment to quality teaching.

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