

# THE CHINESE UNIVERSITY OF HONG KONG

## Duties and Functions of Boards of Faculties

### General

1. A Board of Faculty is a statutory body of this University established under each Faculty as governed by Statute 15.6 of The Chinese University of Hong Kong Ordinance, and shall consist of:
  - (a) the Vice-Chancellor;
  - (b) the Dean of the Faculty, who shall be Chairperson of the Board<sup>1</sup>;
  - (c) the Associate Deans and Assistant Deans of the Faculty;
  - (d) the Chairperson of each Department<sup>2</sup>, the Director of each School and the Directors of Studies within the Faculty;
  - (e) teachers representing varying teacher grades within the Faculty:
    - (i) all the Professors;
    - (ii) two Associate Professors, and four Assistant Professors, each to be elected by and from among themselves for a term of three years and that such elected members shall be eligible for re-election only for one more term of three years; and
    - (iii) four teachers on non-professoriate ranks (namely, Assistant Lecturer, Lecturer, Senior Lecturer, Principal Lecturer, Professional Consultant and Teaching Fellow) to be elected by and from among themselves for a term of three years;
  - (f) in relation to the original Colleges and Shaw College, one representative of each Assembly of Fellows who shall be a member of the Faculty; and
  - (g) one student elected by, and from among, full-time students of the Faculty pursuing approved courses of study for a degree of the University.
2. The Board of a Faculty may, at its discretion, make rules to govern the student members' participation in the discussion of reserved areas of business at the meetings of the Board of the Faculty, and these rules shall not, under any circumstances, be more lenient than those adopted by the Senate.
3. The Board of Faculty is presided over by the Dean of the Faculty, who shall see that the Board of Faculty carries out properly the duties and functions as described in detail below in accordance with the relevant policies, rules and guidelines of the University. Necessary arrangements or delegations can be made as deemed appropriate by the Faculty Board to suit the needs of individual Faculties.
4. For programmes of studies which are jointly offered by two or more Faculties, some of these functions of the Board may be entrusted to a Programme Committee as decided by the Faculty Board(s) concerned.

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<sup>1</sup> "Chairperson of the Board" means "Chairman of the Board of the Faculty" in The Chinese University of Hong Kong Ordinance.

<sup>2</sup> "Chairperson of each Department" means "Chairman of the Department" or "Chairman of each Department" in The Chinese University of Hong Kong Ordinance.

## **Duties and Functions**

A Board of Faculty shall carry out the duties and functions as described below in accordance with the relevant policies, rules and guidelines of the University.

### Faculty Policies/Planning

5. To consider and endorse Faculty policies and guidelines in alignment with and to facilitate implementation of University policies and guidelines.
6. To coordinate and submit short-term and long-term plans, as well as action plans of the Faculty as required by the University in accordance with the planning cycle of the University.

### Academic Matters

7. To encourage and coordinate quality research and teaching at the Faculty level, including interdisciplinary teaching and research.
8. To consider matters related to programmes of studies and course introduction or revisions, and where appropriate, to approve or make recommendations on these matters to the Graduate Council and/or the Senate Academic Planning Committee or Senate for approval.
9. To deal with matters concerning Visiting Committees, and/or External Examiners as deemed necessary.
10. To consider academic and/or non-academic partnerships or collaboration for consideration by the Committee on Academic Links, Senate Academic Planning Committee, the Senate, or other relevant University-level committees.

### Student Matters

11. To note matters related to the admission of students.
12. To consider student applications regarding their studies, and where appropriate, to approve or make recommendations on these matters to the Registrar/Graduate Council/Senate Academic Planning Committee/Senate for approval.
13. To recommend students for the award of scholarships or bursaries and to deal with related matters.
14. To consider matters related to unsatisfactory academic performance and make recommendations on these matters to the Graduate Council/Senate Academic Planning Committee/Senate as appropriate.
15. To consider matters related to assessment of student learning in taught programmes, including endorsement of graduate lists and degree honours classification of undergraduate students for consideration by the Undergraduate Examinations Board and approval by the Senate.

16. To note recommendations of the Faculty Disciplinary Committee on student disciplinary cases of an academic nature.

#### Staff Matters

17. To note nominations of staff to serve on various University boards and committees as appropriate.

#### **Board Meetings**

18. Each Board shall formulate its Standing Orders for the proper conduct of its business, which stipulates the frequency and quorum of Board meetings.
19. Each Board shall keep proper record of minutes of all its Board meetings. Copies of the minutes together with agenda papers shall be made available to the Registrar for the Senate's record and circulated to members of the Senate at their request.

#### **Committees under the Board**

20. To set up committees or ad hoc committees as deemed necessary to assist the Board in carrying out its duties and functions.

#### **Others**

21. To perform such other duties and functions as may be determined from time to time by the Council on the recommendation of the Senate.

Approved by the Senate at its 2nd Meeting (2024-25) held on 4 December 2024

# THE CHINESE UNIVERSITY OF HONG KONG

## Duties and Functions of Faculty Executive Committees

### **General**

1. In view of the need of Faculty Deans to consult and be advised on matters beyond those under the jurisdiction of the Faculty Boards, each Faculty should set up a Faculty Executive Committee as a separate *advisory* body to the Dean in discharging his/her duties as head of the Faculty.
2. Each Faculty shall establish a Faculty Executive Committee, which shall consist of:
  - (a) the Dean of the Faculty, who shall be the Chairperson of the Committee;
  - (b) the Associate Deans of the Faculty;
  - (c) all, or at least three of the Chairpersons of the Departments<sup>1</sup> and Directors of Schools (and with the approval of the Vice-Chancellor, the Directors of Studies) within the Faculty, nominated by the Dean of the Faculty; and
  - (d) alternatively for any Faculty without constituent Departments or Schools, at least three teachers within the Faculty, nominated by the Dean of the Faculty.The Faculty Dean shall appoint the Secretary of the Committee.

### **Duties and Functions**

3. To assist the Dean of the Faculty in the performance of his/her roles and responsibilities.
4. To initiate and formulate plans for development of Faculty policies and guidelines.
5. To assist the Dean of the Faculty in managing the budget, finances and space of the Faculty.
6. To note or consider student matters for submission to the Faculty Board or relevant University-level committees as appropriate.
7. To deal with any matters referred to it by the Vice-Chancellor, the Provost, the Administrative and Planning Committee or the Faculty Board, etc.

Approved by the Senate at its 2nd Meeting (2024-25) held on 4 December 2024

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<sup>1</sup> “Chairperson of Department” means “Chairman of the Department” or “Chairman of each Department” in The Chinese University of Hong Kong Ordinance.

# **THE CHINESE UNIVERSITY OF HONG KONG**

## **Roles and Responsibilities of Faculty Deans**

### **University Management**

1. Report to the Vice-Chancellor and the Provost and, as one of the principal officers of the University, work closely with other members of the University senior management team to develop and deliver the University's vision, mission and related strategic plan for the best interest of the University.
2. Serve as the academic and executive head of the Faculty to provide effective leadership and oversight to the Departments/ Schools and the Faculty-based Units within the Faculty, taking overall charge of staff, resource and student matters as well as quality assurance.
3. Advise the Vice-Chancellor and the Provost on the selection of Department Chairs/ School Directors and make recommendations regarding appointment of Department Chairs/ School Directors (including renewal and termination) for approval.
4. Ensure that relevant laws, government regulations and University policies and procedures are observed within the Faculty.

### **Strategic Planning**

5. Develop and execute the Faculty Strategic Plan in alignment with the University's vision, mission and strategic plan.
6. Develop and update the Faculty Action Plan regularly according to the goals of the Faculty and the envelope of available resources.
7. Conduct Faculty self-assessment and host the Faculty's Visiting Committee.

### **Teaching and Learning**

8. Attract, recruit and retain high-quality students with academic and/or non-academic accomplishments.
9. Offer high-quality undergraduate and graduate teaching, including integrative programmes crossing disciplinary boundaries as well as experiential learning experience, to equip students with up-to-date knowledge and skills required for future endeavors.
10. Conduct periodic review of programme curricula and consolidate or phase out programmes if necessary to ensure quality and relevance.
11. Provide a teaching and learning environment that fosters whole-person development and enhances students' sense of social responsibility, national identity and global perspectives and outlook.

### **Research and Innovation**

12. Lead and coordinate research and scholarly activities of the Faculty and create an environment conducive to impactful research.

13. Build a robust ecosystem for interdisciplinary and multi-disciplinary research across faculties and departments.
14. Promote collaborations with universities, centres of research excellence, industries and other key institutions to conduct cutting-edge research and strengthen the Faculty's presence on the global stage.
15. Build a strong record of competitive research grants and industry research support.
16. Promote innovation and enable the translation of research findings into tangible benefits for the society and the world.

### **Staff and Resource Management**

17. Formulate staff recruitment, induction, development, mentorship, retention and succession strategies that enhance the quality of human capital.
18. Lead recruitment efforts within the Faculty and set high standards in the reviews related to academic personnel.
19. Decide strategically on the budget of the Faculty for the Departments/ Schools and Faculty-based units to advance the University's Strategic Plan and overall interests, and ensure sustainable development.
20. Handle staff discipline and grievance matters within the Faculty. Take part in or lead the relevant procedures in the event of staff grievances or discipline case, in accordance with University policies and guidelines.

### **Global Engagement**

21. Reinforce the reputation of the University and the Faculty as the partner of choice for education and research, both nationally and internationally.
22. Proactively and strategically recruit faculty members and students from overseas countries and regions.
23. Expand and enhance collaborations with international partners in educational and scholarly activities.
24. Foster collaborations and partnerships with mainland institutions, capitalizing on opportunities arising from the GBA Development Plan.

### **Institutional Advancement**

25. Develop and implement fundraising strategies to seek philanthropic support within and outside Hong Kong for Faculty initiatives.
26. Play an active role in establishing and maintaining strong ties with alumni, donors and other external stakeholders that have provided the needed support for Faculty development.

### **Others**

27. Promote a culture of diversity, equality and inclusiveness within the Faculty.

28. Encourage social responsibility initiatives and activities that contribute to the sustainable development of the society and the environment.
29. Ensure the health and safety of staff and students in accordance with University requirements.
30. Carry out any additional duties as may be requested by the Vice-Chancellor or the Provost.

(April 2024)

# THE CHINESE UNIVERSITY OF HONG KONG

## Duties and Functions of Boards of Departments

### **General**

1. A Board of Department is a statutory body of this University established under each Department as governed by Statute 17.3 of The Chinese University of Hong Kong Ordinance, and shall consist of:
  - (a) the Vice-Chancellor;
  - (b) the Dean of any Faculty to which the Department is affiliated;
  - (c) the Chairperson of the Department<sup>1</sup>, who shall be Chairperson of the Board<sup>2</sup>;
  - (d) all of the professoriate teachers assigned to the Department or School of Studies;
  - (e)  $x$  non-professoriate teachers who are assigned to the Department or School of Studies, where  $x$  equals to the whole number nearest to 30% of the professoriate teachers in (d) above, to be elected by and from among all of the non-professoriate teachers for a term of three years;
  - (f) on the approval of the Senate, teachers of other Departments who contribute substantially to the teaching of students pursuing courses of study within the purview of a Department and are nominated by the Board of the Department become members of the Board; and
  - (g) the Board of a Department may, at its discretion, nominate such students as it deems fit as student members for such period as the Board may in its absolute discretion determine.
2. The Board of a Department may also determine whether student members of the Board are allowed to participate in that part of meetings considering reserved areas of business, and if so, the manner of their participation.
3. The Chairperson of the Board of a Department will be responsible for coordinating the duties and functions of the Board as detailed below in accordance with the relevant policies, rules and guidelines of the University. Necessary arrangements or delegations can be made as deemed appropriate by the Department Board to suit the needs of individual departments.
4. For programmes of studies which are jointly offered by two or more Departments, some of these functions of the Board may be entrusted to a Programme Committee as decided by the Faculty Board(s) concerned.

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<sup>1</sup> “Chairperson of the Department” means “Chairman of the Department” or “Chairman of each Department” in The Chinese University of Hong Kong Ordinance.

<sup>2</sup> “Chairperson of the Board” means “Chairman of the Board” of the Department in The Chinese University of Hong Kong Ordinance.



## **Duties and Functions**

### Departmental Policies/Planning

5. To formulate departmental policies and guidelines in alignment with and to facilitate implementation of University policies and guidelines.
6. To coordinate and submit short-term and long-term plans, as well as action plans of the Department as required by the Faculty Dean in accordance with the planning cycle of the University.

### Academic Matters

7. To encourage and coordinate quality research and teaching at the departmental or programme level, including interdisciplinary teaching and research.
8. To plan, review and evaluate undergraduate and postgraduate programmes and courses, with a view to updating and strengthening their contents, improving their delivery, avoiding unnecessary proliferation of courses, and meeting professional recognition requirements, wherever applicable.
9. To establish Assessment Panel(s), which should have ultimate responsibility and authority over all matters related to assessment.
10. To endorse the establishment of Thesis Assessment Committees by the Graduate Divisions concerned to consider theses submitted by postgraduate students.
11. To deal with matters concerning Visiting Committees, and/or to make recommendations on the appointment of External Examiners.
12. To foster and consider academic links and exchange activities.
13. To recommend the purchase and allocation of books in the subjects concerned.

### Student Matters

14. To appoint Admission Coordinator(s) from among the teaching staff of the Department to coordinate matters relating to admission of students and to deal with relevant matters.
15. To appoint Academic Advisors for giving full academic guidance to undergraduate and postgraduate students in respect of their studies, including selection of courses and academic progress.
16. To review students' academic performance, monitor their progress, and handle student matters or applications related to unsatisfactory academic performance and programme transfer, and where appropriate, to approve or make recommendations on these matters for consideration or endorsement by the Board of Faculty concerned.
17. To consider the graduate lists and the degree honours classification of undergraduate students, for consideration or endorsement by the Board of Faculty concerned.

### Staff Matters

18. To define policies for assignment of teaching duties pertaining to the Department.
19. To process relevant applications, e.g., applications for sabbatical leave and duty trips from teachers other than Faculty Deans, as appropriate, in accordance with University regulations.

### Budget Matters

20. To endorse budget plans or revised budget plans of the Department before they are submitted to the Faculty Dean for approval; and to endorse such items of expenditure as required from time to time and specified in the University's financial guidelines, for approval (or otherwise) by the Faculty Dean and the University.

### **Board Meetings**

21. Each Board shall formulate its Standing Orders for the proper conduct of its business.
22. The number of meetings to be held each academic year should not be less than that of the respective Faculty Board.
23. The quorum for a Board meeting shall be one half of its members who are not on approved leave.
24. Each Board shall keep proper record of minutes of all its Board meetings. Copies of the minutes together with agenda papers shall be made available to the Registrar for the Senate's record and circulated to members of the Senate at their request.

### **Committees under the Board**

25. To set up committees or ad hoc committees as deemed necessary to assist the Board in carrying out its duties and functions.

### **Others**

26. To perform such other duties and functions as may be determined from time to time by the Council on the recommendation of the Senate.

Note: In this document, "Departments" are taken to include "Schools of Studies", and "Boards of Departments" include "Boards of Schools of Studies".

Approved by the Senate at its 2nd Meeting (2024-25) held on 4 December 2024

# THE CHINESE UNIVERSITY OF HONG KONG

## Duties and Functions of Department Executive Committees

### **General**

1. Each Department shall establish a Department Executive Committee, which shall consist of:
  - (a) Chairperson of the Department<sup>1</sup>, who shall be the Chairperson of the Committee;
  - (b) at least two members from Category 1(c) and/or 1(d) of the Board of Department in accordance with Statute 17.3 of The Chinese University of Hong Kong Ordinance to be elected by and from among themselves; and
  - (c) such other members of the Board of Department, who have special administrative responsibilities (e.g., Head of Graduate Division, College Co-ordinators, etc.) as the Board of Department may decide.
2. The Secretary of the Board of Department, who will also be a member of the Department Executive Committee if he/she is a teacher, will serve as Secretary of the Department Executive Committee.

### **Duties and Functions**

3. To act as an executive arm of the Board of Department and assist the Board in the formulation of policies and implementation of decisions.
4. To act and make decisions on behalf of the Board of Department in routine and non-controversial matters that require immediate action by the Board of Department, and to report all such decisions to the Board of Department for record/information. Matters that either involve policy making or are controversial in nature can be discussed by a Department Executive Committee but should be referred to the Board of Department for consideration and approval.
5. To advise the Chairperson in drawing up (and revising) the budget plan of the Department. (Note: In budgetary matters, a Department Executive Committee should give advice on the addition or deletion of posts in relation to the allocation, taking into consideration the teaching, research and administrative needs in the Department. It should not discuss, query or comment on personnel matters involving individual staff members such as substantiation, crossing of efficiency bar, contract renewal, promotion, retirement or extension of service.)

### **Reporting**

6. The Executive Committee of a Department will report directly to the Board of Department in all matters. Direct relation exists between a Department Executive Committee and a Faculty Board only when a Department Executive Committee acts

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and makes decisions on behalf of the Board of Department on matters that require immediate action for further consideration by the Faculty Board.

Note: In this document, “Departments” are taken to include “Schools of Studies”, and “Boards of Departments” include “Boards of Schools of Studies”.

Approved by the Senate at its 2nd Meeting (2024-25) held on 4 December 2024

## THE CHINESE UNIVERSITY OF HONG KONG

### **Duties of Chairperson of Department\***

#### **University Management**

1. Serve as the executive head of the Department and report to the Faculty Dean.
2. Chair the Board which is established under each Department.
3. Assist the Faculty Dean concerned to advocate the interests and goals of the University and serve as liaison with the Faculty, other Departments/Units in the University, and outside bodies.
4. Oversee the general administration of the Department in consultation with the Executive Committee of the Department which is to be constituted according to a method determined by the Board of Department.

#### **Planning**

5. Assist the Faculty Dean concerned in the formulation of the Faculty strategic plan and planning exercise proposals; and coordinate and submit short-term and long-term plans, as well as action plans of the Department as required by the Faculty Dean.
6. Formulate departmental policies, development proposals/reports and the forward planning of the Department, in consultation with the Board of Department and the Faculty Dean.

#### **Teaching and Research**

7. Ensure that teaching and research in the Department attain the highest international/professional standard.
8. Monitor self-financed programmes under the Department, with due regard to alignment with the strategic goals of the Faculty and in consultation with the Faculty Dean and Head of the Graduate Division concerned, including endorsement of the overall programme plans (covering manpower and budget), recommendation for appointment of programme directors as well as assessment of their management of the programmes, and overseeing other matters pertinent to the effective operation of the programmes.
9. Coordinate research and scholarly activities of the Department and create an environment conducive to innovation and research.
10. Promote interdisciplinary and multi-disciplinary teaching and research and foster collaborations across and beyond departments.
11. Lead effort in student recruitment, including outreaching and promotion activities.
12. Raise students' awareness of the University's expectations and requirements on their academic and personal conduct.

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\* "Chairperson of Department" means "Chairman of the Department" or "Chairman of each Department" in The Chinese University of Hong Kong Ordinance, and this document should be read in conjunction with the "Duties and Functions of Boards of Departments" as well as "Duties and Functions of Department Executive Committees". Reference to a "Department" shall also include a "School of Studies"; and to a "Chairperson of Department" shall include a "Director of School" appointed in accordance with Statute 17.2 of the Ordinance.

## **Staff and Resource Management**

13. Implement the strategies formulated in the Faculty on staff recruitment, induction, development, mentorship, retention and succession, to enhance the quality of human capital.
14. Chair the Department Academic Personnel Committee which shall review relevant academic personnel matters and make recommendations according to its terms of reference.
15. Initiate action relating to recruitment of staff (all grades), including preparation of post specifications for advertisement, screening of applications and help new staff members settle in and monitor their career progression.
16. Supervise academic and non-academic staff members in the Department and prescribe their teaching and/or administrative duties.
17. Make recommendations/nominations in respect of staff members for staff development grants and special research grants; endorse applications for engaging in outside practice or outside activities; and endorse leave of absence (e.g. annual/academic/long/sabbatical leave) in light of teaching and other duties in the Department.
18. Conduct appraisal or oversee the conduct of the appraisal process on the performance of academic and non-academic staff in the Department, including making recommendations under the performance-linked pay review systems.
19. Handle staff discipline and grievance matters in accordance with University policies and guidelines; and give views and, upon appointment by the Vice-Chancellor, serve on ad hoc review panels concerning staff discipline cases.
20. Ensure the effective and efficient application of departmental funds in pursuit of agreed departmental objectives, and supervise and control all departmental financial accounts.
21. Draw up the budget plans/revised budget plans of the Department, including both block grant and any self-financed programmes, in consultation with the Executive Committee for submission to the Board of Department, before consideration for approval by the Dean and the University.
22. Report and/or present to the Board of Department for endorsement on the use of departmental funds for such expenditure items as may be determined by the University from time to time.
23. Report to the Board of Department and the Faculty Dean on the financial accounts when all expenditures are concluded in the financial year.

## **Others**

24. Support the Faculty's efforts in global engagement, institutional advancement and social responsibility.
25. Promote a culture of diversity, equality and inclusiveness within the Department.
26. Be responsible for the safety and occupational health matters within the Department.
27. Ensure that relevant laws, government regulations and University policies and procedures are observed.

# THE CHINESE UNIVERSITY OF HONG KONG

## Duties of Directors of Studies

### General

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

### Course Planning and Teaching

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

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

#### 8. Admission

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

#### 9. Academic Counselling

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

10. Academic Performance

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

Examinations

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

Financial Matters

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

Other Matters

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

*\*equivalent to an Assessment Panel*

Approved by AAPC at its 21st (2003) Meeting held on 30 September 2003