

D1 Appointments Committees **聘任委員會**

D1.1.1 University Staffing Committee (Chair Professors) **大學人事委員會(講座教授)**

Terms of Reference

1. To conduct reviews and make recommendations on new appointment and promotion of staff at Chair Professor level ^(see note 1) and on special cases of new appointment/promotion of academic staff ^(see note 2) as referred to it by President (P) or his designate, the procedures for which shall include:
 - (i) reviewing the new appointment/promotion dossier of the applicants including current curriculum vitae, reference letters, external assessment, documents on teaching and research accomplishments, and any other information as deemed appropriate by the Committee;
 - (ii) reviewing the recommendations from Faculty Staffing Committee (Chair Professors)/School Staffing Committee (Chair Professors) [FSC(CP)/SSC(CP)];
 - (iii) requesting additional information regarding the candidate, where necessary, and in which case, the Chairman of University Staffing Committee (Chair Professors) [USC(CP)] should convey the request to the Chairman of FSC(CP)/SSC(CP);
 - (iv) reaching a decision on the suitability for new appointment/promotion of the recommended candidate by taking an anonymous vote in accordance with the University guidelines and notifying Departmental Staffing Committee/School Staffing Committee (DSC/SSC) and Faculty Staffing Committee (FSC) concerned (if applicable) of its decision on new appointments at an academic rank other than Chair Professor; and
 - (v) compiling a report which shall include the pros and cons of the Committee's deliberations, a decision on the performance levels of the candidates in teaching, research and service, and the voting record.

Composition

1. The Committee shall be chaired by P or his designate.
2. The Committee shall consist of at least two academic staff members at Chair Professor level.
3. Members are appointed on individual merit and do not serve as official representatives of their respective Department/Faculty/independent School. Normally, members appointed to this Committee shall not be a member of FSC(CP)/SSC(CP).
4. A member of staff of the Human Resources Office shall be appointed by P or his designate as the Secretary to the Committee.

Notes:

1. Excluding senior management executives who are Chair Professors and serving Chair Professors who are recommended for re-determination of retirement age beyond 60.
2. USC(CP) is also the Committee to consider and approve the suitability of candidates as Professor in case they are not considered appointable as Chair Professor (irrespective of whether the candidates are considered for headship post).

D1.1.2 Faculty Staffing Committee (Chair Professors)

學院人事委員會 (講座教授)

Terms of Reference

1. To conduct reviews and make recommendations on new appointment and promotion of staff at Chair Professor level ^(see note 1) and on special cases of appointment/promotion of academic staff ^(see note 2) as referred to it by President (P) or his designate, the procedures for which shall include:
 - (i) drawing up of the shortlist of applicants who should be considered for new appointment/promotion in accordance with the University guidelines;
 - (ii) reviewing the new appointment/promotion dossier of the applicants including current curriculum vitae, reference letters, external assessment, documents on teaching and research accomplishments, and any other information as deemed appropriate by the Committee;
 - (iii) reviewing all other relevant inputs sought in accordance with the University guidelines;
 - (iv) requesting additional information regarding the candidate, where necessary;
 - (v) reaching a recommendation on the suitability for new appointment/promotion of the recommended candidate by taking an anonymous vote in accordance with the University guidelines; and
 - (vi) submitting report to University Staffing Committee (Chair Professors) [USC(CP)], which shall include the pros and cons of the Committee's deliberations, a decision on the performance levels of the candidates in teaching, research and service, the voting record, and minority reports, if any, submitted by one or more of its member(s).
2. To ensure that the Faculty-wide appointment and promotion standard is maintained.

Composition

1. The Committee is chaired by Dean and its members are appointed by Dean in consultation with Deputy President & Provost (DP). If Dean is not a Chair Professor, a Chair Professor of the relevant Faculty shall be appointed as the Chairman by DP.
2. The Committee shall normally consist of at least two academic staff members at Chair Professor level of the Faculty. Chair Professors from outside the Faculty who are from the related field of study may be appointed to the Committee, where necessary.
3. Members are appointed on individual merits and do not serve as official representatives of their respective Departments.
4. The Secretary to the Committee shall be a member of staff of the Faculty Office to be appointed by Dean.

Notes:

- 1a. Excluding senior management executives who are Chair Professors and serving Chair Professors who are recommended for re-determination of retirement age beyond 60. With effect from the 2017/18 staffing exercise, the work of the Search Committee for recruitment of new Chair Professors will be subsumed under the existing Faculty Staffing Committee (Chair Professor) [FSC(CP)]/School Staffing Committee (Chair Professors) [SSC(CP)] structure. This covers the review of the relevant post specification in consultation with Head of the recruiting Department, solicitation of preliminary views from the relevant Head and Central Management Team prior to making arrangements for the shortlisted candidates to meet with staff members of the Department and Central Management Team of the University as part of the visit programmes.
- 1b. For the joint appointment of Chair Professors involving two Faculties/Independent Schools, the Chairman of FSC(CP) shall be Dean of Faculty/Independent School from the Faculty/Independent School taking up the major fraction of joint appointment. The Co-Chairman shall be Dean of Faculty/Independent School from the Faculty/Independent School taking up the minor fraction of joint appointment. The Committee shall have a total of four members, two from each of the Faculties/Independent Schools having the joint appointment. Members may be selected from FSC(CP) of each Faculty or SSC(CP) as appropriate or otherwise. Chair Professors from outside the Faculty with the relevant expertise may be appointed to the Committee for a particular search, where necessary.
2. FSC(CP) is also the Committee to consider the suitability of candidates as Professor in case they are not considered appointable as Chair Professor (irrespective of whether the candidates are considered for headship post) and submit its recommendation to USC(CP) for approval or otherwise.

D1.1.3 University Staffing Committee

大學人事委員會

Terms of Reference

1. To conduct reviews and make decisions on new appointment, Major Review, promotion, conversion to regular terms and further appointment of academic staff at Associate Professor or above up to Professor levels and Principal Teaching Fellow/Principal Clinical Associate, non-renewal cases of Assistant Professor, further appointment of Lecturer, and on special cases of new appointment/Major Review/promotion/conversion to regular terms/further appointment of academic staff as referred to it by the President or his designate, following receipt of recommendations from Faculty Staffing Committee/School Staffing Committee (FSC/SSC), the procedures for which shall include:
 - (i) reviewing the new appointment/Major Review/promotion/conversion to regular terms/further appointment dossier of the recommended candidate including current curriculum vitae, reference letters, external assessment (where applicable), documents on teaching and research accomplishments, and any other information as deemed appropriate by the Committee;
 - (ii) reviewing the recommendations from Faculty Staffing Committee (FSC) and Departmental Staffing Committee/School Staffing Committee (DSC/SSC);
 - (iii) requesting additional information regarding the candidate via DSC/SSC, where necessary and in which case, the Chairman of University Staffing Committee should convey the request to the Chairman of DSC via the Chairman of FSC where applicable;
 - (iv) reaching a decision on the suitability for new appointment/Major Review/promotion/conversion to regular terms/further appointment of the recommended candidate by taking an anonymous vote; and
 - (v) compiling a report which shall include the pros and cons of the Committee's deliberations, a decision on the performance levels of the candidates in teaching, research and service, the voting record, and minority reports, if any, from one or more member(s) of the Committee.
2. To review and approve application which are not shortlisted/ by FSC/SSC for new appointment (if it is accompanied by a minority report)/promotion/conversion to regular terms.

Composition

1. The Committee shall be chaired by Deputy President and Provost (DP) and members are appointed by DP in consultation with President. The Secretary to the Committee shall be appointed by DP.
2. The Committee shall consist of at least one academic staff at Professor level or above from each Faculty/independent School who is not Dean or Head of Department.
3. Members are appointed on individual merit and do not serve as official representatives of their respective Department/Faculty/independent School. Normally, members appointed to this Committee shall not be a member of FSC/SSC.

D1.1.4 Faculty Staffing Committee

學院人事委員會

Terms of Reference

1. To conduct reviews and make recommendations on new appointment, Major Review, promotion, conversion to regular terms and further appointment of academic staff up to Professor levels and teaching/clinical staff (except for new appointment of staff at Assistant Professor level and teaching/clinical staff at Band T3 and below, other than non-renewal cases), and on special cases as referred to it by President or his designate, following receipt of recommendations from Departmental Staffing Committee (DSC), the procedures for which shall include:
 - (i) reviewing the new appointment/Major Review/promotion/conversion to regular terms/further appointment dossier of the recommended candidate including current curriculum vitae, reference letters, external assessment (where applicable), documents on teaching and research accomplishments, and any other information as deemed appropriate by the Committee;
 - (ii) reviewing the recommendations from DSC;
 - (iii) requesting additional information regarding the candidate via DSC, where necessary and in which case, the Chairman of Faculty Staffing Committee (FSC) should convey the request to the Chairman of DSC;
 - (iv) reaching a recommendation on the suitability for new appointment/Major Review/promotion/conversion to regular terms/further appointment of the recommended candidate by taking an anonymous vote;
 - (v) submitting report to University Staffing Committee (USC) which shall include the pros and cons of the Committee's deliberations, a decision on the performance levels of the candidates in teaching, research and service, the voting record, and minority reports, if any, submitted by one or more of its member(s); and
 - (vi) reviewing and approving the staff appraisal cases (excluding non-academic staff) that are rated as "Less than Satisfactory" or "Excellent".
2. To ensure that the Faculty-wide appointment, Major Review, promotion, conversion to regular terms and further appointment standard is maintained.
3. To review and approve applications which are not shortlisted by DSC for new appointment (if it is accompanied by a minority report)/promotion/conversion to regular terms.

Composition

1. The Committee is chaired by Dean and its members are appointed by Dean in consultation with Heads of Department concerned.
2. The Committee shall normally consist of at least one academic staff member at Professor level *(see note 1)* and above from each Department of the Faculty who is not Head of Department.
3. Members are appointed on individual merits and do not serve as official representatives of their respective Departments.
4. The Faculty Secretary shall serve as Secretary to the Committee.

Note:

1. For smaller Departments or where the number of senior academic staff is limited in the Department, Associate Professors may be appointed to serve on the Committee at Faculty level but these members shall not be involved in considering cases of same and higher ranks.

D1.1.5 Departmental Staffing Committee

學系人事委員會

Terms of Reference

DSC shall make recommendations in respect of various staffing matters and functions in the Department, such as:

- (a) recommending staffing requirements (including the position and disciplines of new academic staff to be recruited);
- (b) recommending new appointment, promotion, conversion to regular terms and further appointment of academic staff at Lecturer, Assistant Professor or above up to Professor levels, teaching/clinical staff and non-academic staff according to University policies *(see notes 2 and 3)*;
- (c) reviewing nomination for re-determination of retirement age or further appointment of serving non-academic staff beyond the age of 60 on an exceptional basis and indicating its support or otherwise for approval by the authority concerned;
- (d) drawing up of the departmental guidelines on staff development activities (including sabbatical leave);
- (e) determining the performance level of individual staff (excluding non-academic staff) in a performance review exercise, e.g., Staff Appraisal;
- (f) drawing up of the shortlist of staff who should be considered for appointment/promotion/conversion to regular terms in accordance with the University guidelines;
- (g) making arrangements for the appointment-related visit programmes; and setting up of interview panels, where necessary; and
- (h) other staffing matters referred to it by the Head of Department/Dean of School.

Composition

1. Chairman: The Head of Department
2. Members: (i) The most senior academic staff (by rank of appointment) from each discipline *(see note 4)* of the Department to be appointed by Head of Department, unless there are good reasons *(see note 5)*
(ii) Elected academic staff members (no less than 40% of DSC membership, unless otherwise approved by the University Management)
3. All members of DSC shall consider and make recommendations on staffing matters, including staff appointment/promotion/conversion to regular terms/further appointment, based on the academic merits of each case.

4. The DSC Chairman shall appoint a departmental administrator as the Secretary, or a member of the Committee to serve as its Secretary, if deemed appropriate.
5. The Staffing Committee for the independent Schools shall be chaired by Dean of the School. The SSC serves the function of a DSC and adopts the same composition as a DSC. Its recommendations shall be submitted to University Staffing Committee for consideration.
6. Normally DSC will be able to deal with all the staffing matters of the Department. However, a sub-committee of DSC can be formed, if necessary, in order to deal with staffing issues of non-academic staff, temporary and part-time staff (except those as specified in paragraph 5). This is for the purpose of ensuring that the assessment made by DSC is based on an adequate knowledge of the staff concerned and is therefore appropriate and evidence based. The membership of this sub- committee is to be decided by DSC.
7. For reasons of confidentiality and effective operation of DSC, the Committee shall consist of at least 4 and normally no more than 10 members (including the Chairman).
8. There should be the greatest transparency in drawing up the membership of DSC; and the relevant system shall be documented and disclosed to all departmental staff as soon as it is approved.
9. The electoral system and the committee structure of DSC shall be endorsed by Dean for approval by the Deputy President and Provost (DP) or his designate.
10. Departments may set departmental guidelines for their DSC within the existing Terms of Reference and Composition which may cover the election of staff members to serve on the Committee, subject to paragraphs 8.8 and 8.9. In addition, Departments shall observe the following guiding principles in respect of election of academic staff for serving on DSC:
 - (i) Departments should make reference to the statute governing the holding and conduct of election of members of the Senate for the organisation of their DSC election.
 - (ii) Dean/Interim Dean of Faculty/School and the Head/Interim Head shall be excluded from the electorate of the Department.
 - (iii) The Head of Department who chairs DSC and the discipline representatives who are senior staff by academic rank, usually take up 4 to 5 seats (based on a survey of the past DSC membership).
 - (iv) Taking a DSC with 10 persons (this being the maximum size of the Committee) as an example, there shall be at least 4 elected academic staff members.
 - (v) To ensure a more balanced representation of different disciplines and ranks, the appointment of members under paragraph 8.2(i) shall be made after the conduct of the election of academic staff.
 - (vi) It is strongly recommended that an anonymous vote in the Committee be taken to encourage more active participation in the election.

Operation of DSC

1. The recommendations of DSC on academic appointment/Major Review/promotion/conversion to regular terms/further appointment should be summarized in DSC Report. The summary should include DSC's evaluation of the candidates' performance and a decision on their performance levels in the three activity blocks, namely teaching, research & scholarship, and services as detailed in the appointment criteria of academic appointments in Appendix 1. In order to streamline the process, minutes of meeting are not required.
2. When DSC considers a staffing issue on a particular staff member, his/her discipline representative must be present regardless of whether he/she is a member.
3. The criteria recommended by DSC to be used on staff members must be transparent and should be presented to DMC and the Departmental Meeting for discussion/information.
4. The recommendations of DSC must be presented to the relevant Faculty Staffing Committee (FSC), along with results of the anonymous vote taken to indicate the degree of support for the case. In principle, the different views of members should have been incorporated into DSC Report. Should there be any minority reports and/or individual members' views, DSC Secretary shall present these to FSC as a part of the DSC Report. DSC shall tabulate the votes recorded for "Supported", "Not Supported" and "Abstained".
5. The recommendation of DSC is not final. Therefore, the outcome shall be kept confidential until a final decision is made and the outcome is announced. DSC should also be kept informed (by the Head of Department/its Chairman) of the decisions made by the relevant authorities.
6. DSC and DMC have no hierarchical relationship, but will have overlap in membership.
7. DSC should meet as often as required.

Notes:

1. The Departmental Review Committee (DRevC) was instituted in connection with the staff appraisal exercise. As agreed by the University Council as a part of the proposal for the re-development of the staff appraisal system at its June 2010 meeting, the membership of DRevC shall provide for no less than 40% of it being elected staff representatives.
2. For Chair Professorship appointments, the Faculty Staffing Committee (Chair Professor) [FSC(CP)]/School Staffing Committee (Chair Professors) [SSC(CP)] chaired by Dean of the Faculty/School assumes the responsibility of DSC/SSC.
3. For re-determination of retirement age or further appointment of serving academic and teaching/clinical staff beyond the age of 60, DSC's involvement is not needed and DSC will be informed of the approved cases.

4. (a) The same discipline categorization used in the department staffing planning (DSP) exercise should be adopted. Disciplines with fairly few members should be subsumed under the relevant broad discipline; and (b) appointment of members as discipline representatives should be made in consultation with Dean, or DP (in his capacity as the Chairman of the School Board for the independent Schools).
5. (a) The appointment of members under this category should be considered in connection with the membership appointments to FSC and University Staffing Committee (USC) to reduce overlapping of membership; and (b) if there is more than one eligible candidate from the same discipline, the Department should then make a decision based on the principle in (a) and regardless of the candidate's length of service at PolyU

D2.2.1 Search Committee for Non-academic Staff (Bands 9 to 11)¹

遴選委員會(非教學人員) (9 至 11 職級)¹

Terms of Reference

1. To consider and approve the appointment (whether new or through promotion) of candidates to non-academic posts at Bands 9 to 11 and for posts at Head of Unit (HoU) level. However, terms of appointment and remuneration package require approval from President (P) for HoU posts or DP/EVP for posts other than HoU.
2. To consider and approve other appointment-related matters for staff members at the levels stated above, referred to it by P.

Composition

Chairman¹: P or his/her delegate

Members: (a) Overseeing Senior Management Executive (SME)
(to be appointed by the Chairman unless otherwise as specified) (b) Head of recruiting unit (or another SME for post at HoU level)
(c) Normally, one Academic Head² / Non-academic Head. Where appropriate and with due justifications, this membership may be replaced by one internal member or external member at the discretion of the President (or a Dean of Faculty/School for post at HoU level)

For post at HoU level

(d) Normally, one other internal member or an external member to be co-opted onto the Committee at the discretion of the President. Where appropriate and with due justifications, this category of membership may be left vacant or two members may be co-opted onto the Committee, at the discretion of the President

Secretary: A staff member of Human Resources Office, to be appointed by Director of Human Resources

Notes:

¹ As a general guideline, the Chairmanship will be delegated to the overseeing SME except for posts at HoU level. If deemed appropriate, the overseeing SME as the Chairman has the discretion to appoint a category (a) member who may be another SME or an external member outside the University, or leave the category (a) membership vacant. The formation of Committee, if deviated from the standard composition, is subject to approval by the President with justifications provided.

² For recruitment in an academic unit, member should be from outside the faculty of the recruiting unit.

D2.2.2 Search Committee for Non-academic Staff (Bands 7 to 8)¹

遴選委員會(非教學人員) (7 至 8 職級)¹

Terms of Reference

1. To consider and approve the appointment (whether new or through promotion) of candidates to non-academic posts at Bands 7, 8 and for posts at Head of Unit (HoU) level. However, terms of appointment and remuneration package require approval from President (P) for HoU posts or overseeing Senior Management Executive (SME) for posts other than HoU.
2. To consider and approve other appointment-related matters for staff members at the levels stated above, referred to it by P.

Composition

Chairman¹: Overseeing SME or his/her delegate

Members: (a) Head of recruiting unit
(to be appointed by the Chairman unless otherwise as specified) (b) One non-academic staff member at Band 9 level or above²
(c) One academic staff member at Professor level or above²

Secretary: A staff member of Human Resources Office, to be appointed by Director of Human Resources

Notes:

¹ Overseeing SME has the discretion to delegate the Chairmanship and part of the process or the whole process (shortlisting and/or interview) to the Head of recruiting unit or other persons, as appropriate. If the Chairmanship is delegated to the Head of recruiting unit, the Committee should be composed of Members (b) and (c) apart from the Chairman. The Chairman can delegate the approving authority for the terms of appointment and remuneration package to HoU concerned who should be at a rank higher than that of the appointee (with inputs from Human Resources Office). The formation of Committee, if deviated from the standard composition, is subject to approval by P/DP/EVP for units under their respective purview with justifications provided.

² Member should be from outside the recruiting unit. For recruitment in academic unit, member from outside the faculty of the recruiting unit will be appointed.

D2.2.3 Search Committee for Non-academic Staff (Bands 1 to 6)¹

遴選委員會(非教學人員) (1 至 6 職級)¹

Terms of Reference

1. To consider and approve the appointment (whether new or through promotion) of candidates to non-academic posts at Bands 1 to 6. However, terms of appointment and remuneration package require approval from Head of Unit (HoU) concerned (with inputs from HRO).
2. To consider and approve other appointment-related matters for staff members at the levels stated above, referred to it by P.

Composition

Chairman: HoU or his/her delegate

Members: Up to two staff members of at least one level higher than the position under consideration from the recruiting unit², to be appointed by the Chairman unless otherwise as specified

Secretary: A member of the Committee, to be appointed by the Chairman

Notes:

¹ *The formation of Committee, if deviated from the standard composition, is subject to approval by P/DP/EVP for units under their respective purview with justifications provided.*

² *Member can be from outside the recruiting unit subject to approval by the HoU.*

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