

**Guidelines on Annual Performance Evaluation
for the State Key Laboratories and the Hong Kong Branches of Chinese National
Engineering Research Centres**

Background

1. The re-organisation of State Key Laboratories (SKLs) conducted in 2024 underscores the vital role played by the state laboratories. While SKLs and China National Engineering Research Centers (CNERCs) have the autonomy to design their own research strategies, it is crucial for the directors of these units to align their research initiatives with the broader national strategic objectives. This alignment should include the formation of collaborative research teams that focus on addressing significant national issues, rather than concentrating solely on specific research interests. By adopting this approach, these laboratories can enhance their impact and demonstrate their unique contributions to national development and elevating the research excellence of PolyU to new heights.
2. To ensure that PolyU's SKLs and CNERCs fulfill their roles effectively, a set of performance review guidelines and criteria has been established. Assessments will be conducted annually to serve as a continuous improvement mechanism for identifying issues, taking follow-up actions, and developing future plans.

Review Process

3. The Review will be conducted annually, and each SKL and CNERC is required to complete the Annual Internal Report Form (Attachment). A Review Committee, consisting of the President (Chair), DP, VPRI, AVPRI, DoRI, is established to assess the performance of the SKLs and CNERCs. This committee will also determine the University funding support and make decision on the appointment of directors of SKL and CNERC, if necessary. The review process is summarised as follows:



Timeline

4. Schedule for Preparation of Internal Annual Report by SKLs and CNERCs to the Review Committee (from 2026 onwards)

Action	Action by
Call for submission of Internal Annual Report with the new template	2 nd week of December
Report submission to RIO with Dean/FRC concerned endorsement	3 rd week of January
RIO internal checking	4 th week of January
Report submission to Review Committee	2 nd week of February
Directors of SKLs and CNERCs present the reports to the Review Committee	1 st to 2 nd week of March
Review Committee provide final results	End of March
<i>The final result shall be confirmed no later than 30 June of each year.</i>	

Scores and Results

5. Rating

Score range	Rating
85 or above	Outstanding
65 – 84	Good
51 – 64	Pass
Below 50	Fail

6. Results

If the assessment result is rated as Fail (i.e., scored 50 or below), the Review Committee will decide on appointing new directors/heads of the SKL or CNERC.

Assessment criteria

7. For State Key Laboratories (SKL) – (Reference: 國家重點實驗室評估指標體系說明)

	Performance indicators	Weighting	Evidence		
1	External Research Grant Acquisition	50%	<ul style="list-style-type: none">• National projects, e,g, NSFC, MOST projects• International collaboration projects, e.g. Horizon 2020, 中科院國際合作項目• Provincial and ministerial major science and technology projects, e.g. ITF, RGC• Collaboration research with corporates <table><tr><td>External Funding Acquired (HK\$) *</td><td>Score Ranges</td></tr></table>	External Funding Acquired (HK\$) *	Score Ranges
External Funding Acquired (HK\$) *	Score Ranges				

	Performance indicators	Weighting	Evidence								
			<table><tr><td>\$15M or more</td><td>40%-50%</td></tr><tr><td>\$10M - \$15M</td><td>30%-39%</td></tr><tr><td>\$8M -\$10M</td><td>20%-29%</td></tr><tr><td>Less than \$8M</td><td><20%</td></tr></table>	\$15M or more	40%-50%	\$10M - \$15M	30%-39%	\$8M -\$10M	20%-29%	Less than \$8M	<20%
\$15M or more	40%-50%										
\$10M - \$15M	30%-39%										
\$8M -\$10M	20%-29%										
Less than \$8M	<20%										
			<i>* Only research grant acquired over HK\$2 million will be counted.</i>								
2	Research contribution, Outcomes and impact	20%	<ul style="list-style-type: none">• Prestigious provincial/ ministerial/ national/ international awards and other awards related to the research conducted in SKL• High quality journal publications, e.g. in Nature/ Science/ PNAS series journals• Patents• Monographs• Standards• Development of new products/ new devices/ new processes/ new technologies• Successful cases of technology transfer• Development of equipment and modification of equipment (prototypes demonstrating the application of research conducted by the SKL)								
3	Team building and talent training	20%	<ul style="list-style-type: none">• Establishment of high-level research team with external funding (創新團隊)• High-level personnel, e.g. 正高, 副高• Recognition from high-level external bodies, e.g.千人計劃, 長江學者, RGC Fellows/Croucher Fellows.• Editorship of leading journals• Key position of academic and research society• Talent cultivation, e.g. post-doc, PhD and MPhil								
4	Open projects, research exchange and operation management	10% (no more than 3% of each indicator)	<i>Research exchange & International collaboration</i> <ul style="list-style-type: none">• International and national scholars and experts in the Academic Committee Organisation or co-organisation of conference globally, regionally or locally• Keynote speeches made• Other exchange activities, e.g. inbound/outbound visits from/to Mainland China and foreign countries, participating conferences• Visiting scholars <i>Open to the public and Science Communication</i> <ul style="list-style-type: none">• Visits, summer camp, seminars, experiments conducted by students								

(Version: March 2025)

	Performance indicators	Weighting	Evidence
			<ul style="list-style-type: none"> Media coverage on key innovations from the SKL
			<i>Open projects and the usage of facilities</i> <ul style="list-style-type: none"> Facilities with value over RMB 0.5 million High equipment utilisation rate Sharing of space and facilities
			<i>Operation management</i> <ul style="list-style-type: none"> Financially sustainable and the director has adopted a prudence approach to allocate funding resources under the University policies. Comprehensive guidelines on the operation of laboratories Well-defined job responsibilities of personnel Organised record of research data Open and transparent decision making on utilisation of funding
5	Bonus item (max. 5 points)	Add up to 5 points maximum	<i>Marketing and public relation efforts to attract industry partners or collaboration with renowned institutions in the field</i> <ul style="list-style-type: none"> Media coverage on key innovations/ projects from SKLs

Note: No member of the SKL (including the Director) could be the PI of projects with a total amount of funding exceeding 15% of the budget.

8. For Hong Kong Branches of Chinese National Engineering Research Centres (CNERC) -
(Reference: 國家工程研究中心評價工作指南(試行))

	Category (一級指標)	Weighting	Performance indicator (二級指標)	Evidence		
1	External Research Grant Acquisition	50%	-	<ul style="list-style-type: none">• National projects, e.g, NSFC, MOST projects• International collaboration projects, e.g. Horizon 2020, 中科院國際合作項目• Provincial and ministerial major science and technology projects, e.g. ITF, RGC• Collaboration with major industrial partners in consultancy projects, etc. <table><tr><td>External Funding Acquired (HK\$) *</td><td>Score Ranges</td></tr></table>	External Funding Acquired (HK\$) *	Score Ranges
External Funding Acquired (HK\$) *	Score Ranges					

(Version: March 2025)

	Category (一級指標)	Weighting	Performance indicator (二級指標)	Evidence								
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\$15M or more	40%-50%											
\$10M - \$15M	30%-39%											
\$8M - \$10M	20%-29%											
Less than \$8M	<20%											
	Alignment with national strategies	15%	Industry contribution	<ul style="list-style-type: none">• Contribution to mastering and developing critical industrial technologies• Contribution to supporting the implementation of national strategic missions and key projects• Contribution to promoting technology transfer and driving industrial development, e.g. adoption of research outcomes of CNERC by provincial/ national government and leading industrial companies, prototypes demonstrating the application of research conducted by CNERC• Collaboration with major industrial partners in consultancy projects in Hong Kong, Greater Bay Area, Mainland China and overseas, e.g. joint laboratories established with major industrial partners, joint industrial products/ practical applications, etc.								
	Fostering industrial development	15% (no more than 8% for each indicator)	Research and development (R&D) achievements	<ul style="list-style-type: none">• Number of invention patent applications that have been accepted for review• Number of PCT patent applications• Number of valid invention patents• As presented in an impact story that demonstrates the value-addition and impacts of CNERC to Hong Kong, the region and beyond								

(Version: March 2025)

	Category (一級指標)	Weighting	Performance indicator (二級指標)	Evidence
			Commercialisation	<ul style="list-style-type: none"> Income (i.e. income from technical/technological activities and outputs) Income from transfer of patent ownership and licensing Income per RMB 10,000 of R&D expenditure
4	Capacity building	20% (no more than 7% for each indicator)	R&D investment	<ul style="list-style-type: none"> Expenditure on research and experimental development R&D expenditure per capita of research and experimental development personnel
			Talent cultivation	<ul style="list-style-type: none"> Number of research and experimental development personnel Number of senior experts and PhDs Number of external experts engaged in R&D work at the CNERC Training and supervision of post-doc, PhD and MPhil
			Platform support	<ul style="list-style-type: none"> Original value of instruments and equipment Floor area of office building
5	Bonus item (max. 5 points)	(no more than 2% for each indicator)	Awards and recognition	<ul style="list-style-type: none"> National Natural Science Award, Technical Invention Award, Science and Technology Progress Award Other prestigious regional, national and international awards and major recognitions
			Promoting interdisciplinary research in the focus area at PolyU	<ul style="list-style-type: none"> Interdisciplinary/ collaborative research projects, typically with team members from different departments/ Faculties Interdisciplinary PhD research projects, typically with supervisors from different departments/ Faculties Regular scholarly activities such as international conferences, seminars and symposia to promote interdisciplinary collaboration

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	Category (一級指標)	Weighting	Performance indicator (二級指標)	Evidence
				<ul style="list-style-type: none"> • Efforts made to submit interdisciplinary research proposals for large grants of RGC and other major funding agencies • Joint appointment of research staff members between/ among CNERC and department(s)
			Enhancement of the University's reputation on the focus area of CNERC	<ul style="list-style-type: none"> • Editorship of leading journals related to the research focus area of the CNERC • High quality journal publications, e.g. in Nature/Science/Cell/PNAS series journals. • Media coverage on key innovations/ projects from CNERC • Visits from government, industrial partners and academic partners

Note: No member of the Centres (including the Director) could be the PI of projects with a total amount of funding exceeding 15% of the budget.

Internal Annual Report of State Key Laboratories (SKLs) and Hong Kong Branches of Chinese National Engineering Research Centres (CNERCs)

Reporting Period: January – December 20XX

Name of SKL/CNERC: _____

This report serves as a template for the SKLs and CNERCs to reflect on the effectiveness of the implementation measures adopted in achieving their goals and to formulate improvement plans and targets for the next year.

Section 1: Executive summary

Please summarise in no more than two pages about the plans/goals from last year, major achievements, whether key performance indicators were met, success in achieving the plans/goals, effectiveness of the approaches adopted, issues identified and the corresponding follow-up actions and action plans for next year.

Section 2: Facts and Figures

Please provide the figures below, supplement with details during the reporting period in the specified appendices and highlight the key observations on the three-year trend data.

	Number/Amount		
	20XX	20XX	20XX
Funding/Income sources	(Please provide details in Appendix 1 and 2)		
Funding from Hong Kong or overseas government, government-related organisations or institutions or industries			
Funding from the Mainland Government (state-level or provincial-level)			
Others			
Funding from consultancy projects			
Funding from commercialisation of research and development (R&D) outcomes			
Sponsorships/Donations			
Others (please specify):			
Total			
Ongoing projects	N/A		
New projects			
Total			
Talent cultivation	(Please provide details in Appendix 3)		
Research Assistant Professors (RAPs)			
Postdoctoral fellows			
PhD students			
MPhil students			
Total			
Academic exchange activities	(Please provide details in Appendix 4)		
Conferences organised/co-organised			
Conferences participated			
Outbound visits			
Inbound visits			
Visiting scholars			
Others (please specify):			
Public Access and Science Communication	(Please provide details in Appendix 5)		
Seminar/ Popular science talk			
Summer camp			
Media coverage/ interview			

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	Number/Amount		
	20XX	20XX	20XX
Others (please specify):			
Total			
Publications (Please provide details in Appendix 6)			
Journal articles			
Books			
Book chapters			
Others (please specify):			
Total			
Awards and recognition (Please provide details in Appendix 7)			
Local awards/recognition			
National awards/recognition			
International awards/recognition			
Others (please specify):			
Total			
Patents (Please provide details in Appendix 8)			
Patents filed			
Patents granted			
Active licences			
Use and Sharing of Instruments and Equipment			
Booking hours			
Number of users			

Key observations from the above three-year trend data:

Section 3: R&D Directions and Outcomes

Please describe the R&D directions and provide up to three examples of representative outcomes and their societal impact, especially related to the 14th Five-Year Plan for the National Economic and Social Development, and the major national science and technology projects.

Section 4: Technology Transfer/Commercialisation of R&D Outcomes

Please provide up to three examples of success story about the technology transfer/commercialisation of R&D outcomes.

Section 5: Industrial, Regional, National and International Collaboration

Please provide up to three examples of industrial, regional, national or international collaboration, e.g. joint industrial products or applications, joint publications, joint supervision of RPg students, etc.

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Section 6: Interdisciplinary Research and Collaboration

*Please describe the efforts in promoting interdisciplinary research and collaboration, e.g. interdisciplinary research projects, engagement of PolyU researchers in different disciplines, scholarly activities, submission of interdisciplinary research proposals for funding, etc. **Please provide the list of PolyU researchers in Appendix 9***

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Section 7: Advisory and Management Bodies

*Please give a brief report on the major issues discussed by the Academic Committee (for SKLs) or Engineering Technology Committee (for CNERCs) and the Management Committee. Please provide the composition members and the meeting minutes in **Appendices 10 and 11**.*

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Section 8: Evaluation

Please evaluate the operation and performance of the SKL/CNERC, identify any issues/challenges and suggest measures to be taken.

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Section 9: Plan for Next Year

Please illustrate the plan for next year with measurable targets and concrete timeline.

	Planned target/ initiative	Implementation plan	Measurable target/ Expected outcome	Timeline
1				
2				
3				

Section 10: Website updates (New section added)

Please tick “√” as appropriate and provide reason(s) if the information has not been updated on the website.

1. Information in Sections 2 to 6 has been updated on the website.

- ☐ Yes, information in the following section(s) has been updated on the website:
- ☐ Section 2: Facts and Figures
 - ☐ Section 3: R&D Directions and Outcomes
 - ☐ Section 4: Technology Transfer/Commercialisation of R&D Outcomes

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☐ Section 5: Industrial, Regional and International Collaboration

☐ Section 6: Interdisciplinary Research and Collaboration

☐ No

Reason(s):

2. *Please elaborate on other major updates and enhancements, if any, on the website.*

Submitted by:

Name :
Position :
Name of SKL/CNERC :
Date :

Appendix 1

Research Projects and Their Related Funding/Sponsorships/Donations during the Reporting Period

No.	Project title	Name of PI or Co-PI	Project duration (start date – end date)	PGMS project ID	Total funding* (HK\$) ≥ HK\$2M (Funding Scheme)	Funding amount for this Unit* (HK\$) ≥ HK\$2M	Sponsorship/Donations* Amount (HK\$) (Company/org. name/person) ≥ HK\$2M	<u>Optional</u> Funding/Sponsorship/Donations* Amount (HK\$) (Funding scheme Company/org. name/person) < HK\$2M
e.g.			1 Jan 2024-31 Dec 2024	P00556xxx	e.g. 2,500,000 Theme-Based Research Scheme (TRS)	e.g. 1,000,000	e.g. 2,000,000 (Mr. XXX)	e.g. 300,000 (Mr. XXX)
1								
2								
3								
4								
5								
6								
7								
8								
9								
10								
Total								

Note:

Please indicate with an asterisk (*) if the funding, sponsorship or donation is newly received during the reporting period.

Appendix 2

Income from Commercialisation of Research and Development (R&D) during the Reporting Period

No.	Project title	Name of PI or Co-PI	Nature of the commercialisation generated	Project duration (start date – end date)	Total Income (HK\$)*
1					
2					
3					
4					
5					
6					
7					
8					
9					
10					
Total					

Note:

Please indicate with an asterisk (*) if the income of commercialisation is newly received during the reporting period.

Appendix 3

List of RAPs, Postdoctoral Fellows, PhD Students and MPhil Students during the Reporting Period

No.	Name	Position	School/Department	Supervisor and co-supervisor	Percentage of time contributed to the SKL/CNERC (%)
1					
2					
3					
4					
5					
6					
7					
8					
9					
10					

Appendix 4

List of Academic Exchange Activities during the Reporting Period

No.	Date	Type of academic exchange activities (e.g., conferences organised, co-organised and participated, outbound/inbound visit, etc.)	SKL/CNERC member(s) involved
1			
2			
3			
4			
5			
6			
7			
8			
9			
10			

Appendix 5

List of Public Access and Science Communication during the Reporting Period

No.	Date	Type of Science Communication (e.g., Seminar, talk, media coverage, interview etc.)	SKL/CNERC member(s) involved	URL of the webpage (if any)
1				
2				
3				
4				
5				
6				
7				
8				
9				
10				

Appendix 6

List of Publications during the Reporting Period

No.	Author(s) (Please list all the authors and indicate the SKL/CNERC members in bold letters.)	Details (e.g. paper title, journal name, publication year, volume and issue numbers, page numbers)	Name of regional/international collaborating organisation(s)
1			
2			
3			
4			
5			
6			
7			
8			
9			
10			

List of Awards and Recognition Received during the Reporting Period

No.	SKL/CNERC member(s)	Name of award/recognition	Type of award/recognition (Please tick “√” as appropriate.)		
			Local	National	International
1					
2					
3					
4					
5					
6					
7					
8					
9					
10					

List of Patents Granted during the Reporting Period

No.	SKL/CNERC member(s) involved	Title of the patents granted	Country	Date
1				
2				
3				
4				
5				
6				
7				
8				
9				
10				

Appendix 9

List of PolyU Researchers Involved in the Research Projects

No.	Name of the PolyU Researcher	Position	School/ Department	Title of the interdisciplinary research/collaboration	Type of interdisciplinary research/collaboration (e.g. scholarly activities, submission of research proposals for funding, etc.)	Date
1						
2						
3						
4						
5						
6						
7						
8						
9						
10						

Appendix 10

Meeting Minutes of the Academic Committee/Engineering Technology Committee*

*(*Please delete as appropriate.)*

- *Please provide the composition of the Committee*
- *Please attach the minutes.*

Appendix 11

Meeting Minutes of the Management Committee

- *Please provide the composition of the Committee*
- *Please attach the minutes.*