

Annual Activities Report and Annual Declarations

Section I - User Information

Faculty Name : HOLZ, Carsten Andreas

Date Joined 07-Aug-1995
University :

Current Academic Title : Professor (since 01-Jul-2010)

Home Department / Division : SOSC

Affiliated Department / Division, if any: -

Email Address : socholz@ust.hk

Special/ No-pay/ Professional/ Sabbatical Leave Details in 2019:
 Special Leave 0.0 days
 No-pay Leave 0.0 days
 Professional Leave 0.0 days
 Sabbatical Leave 0.0 days



Section II - Teaching Activities

Courses Taught in 2019

1. Data from SFQ on courses taught in 2019 (from 01 Jan 2019 to 31 Dec 2019) have been imported from the system of Office of Institutional Research. Both the SFQ mean score and standard deviation will be considered. SFQ data are important, but not the only basis for the evaluation of teaching performance or broader contributions to education.

2. The course(s) listed below are tentatively uncategorized and **MUST be categorized before this report can be submitted successfully** via the system. There are three categories:

- (i) courses within the normal teaching load assigned by the department/division,
- (ii) courses for self-financed programs taught on outside normal load basis, for which you have to report the time spent in the section on "Declaration" later on, or
- (iii) final year project and independent studies supervision, for which SFQ data is usually not available.

3. Your Department Head has designated a colleague to help check and update the accuracy of the data and help input data for you in advance. This colleague should have helped to

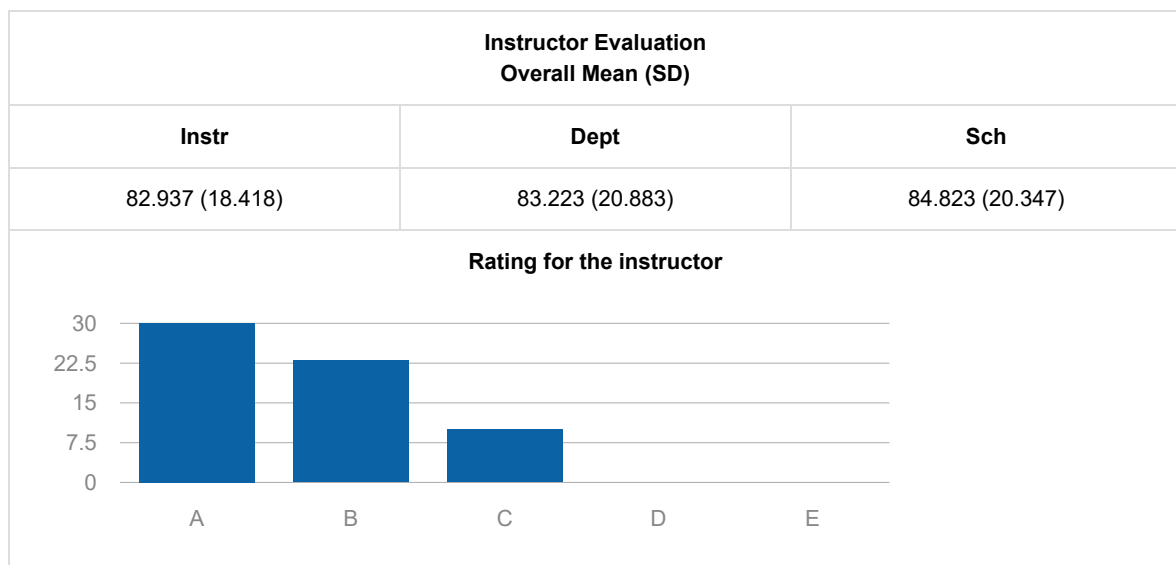
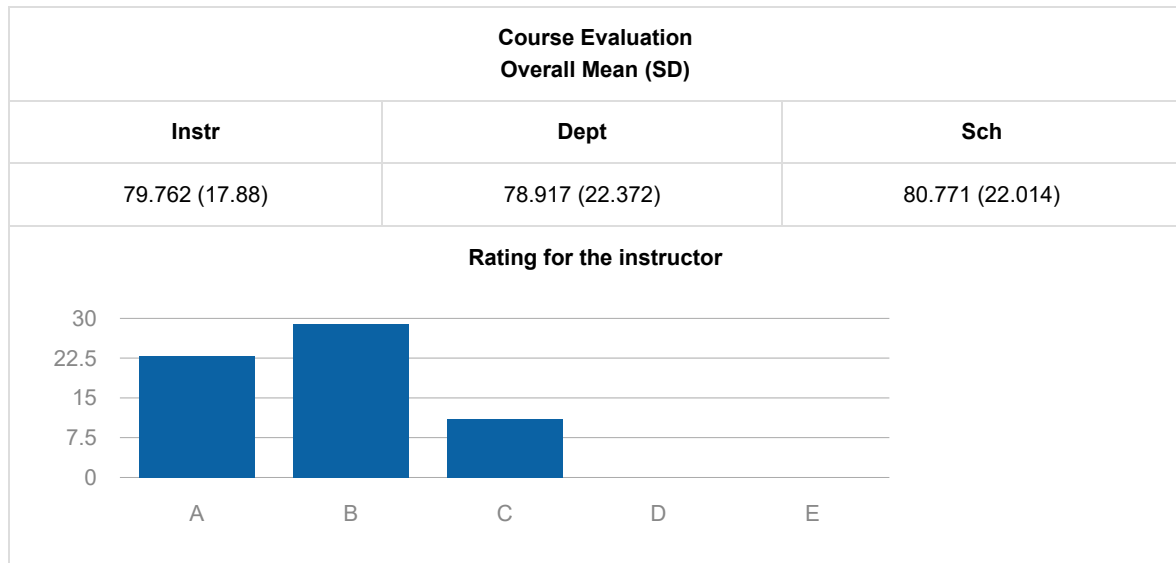
- (i) check the courses and SFQ data to see if they are correct
- (ii) enter the teaching data on courses that did not go through the OIR course evaluation system, if any.
- (iii) categorize the courses listed, if possible

4. If you would like to seek help from the designated colleague for help in the input of data for this section, please click this link Designated departmental staff members (https://gohkust-my.sharepoint.com/:b:/g/personal/isjayc_ust_hk/ETWUajGImk9GiWRUzCHqMBKBVwbCf148vL6fJMwJEVPq4Q?e=FSS9C1) to find out and refer to the the colleague concerned.

Courses within Normal Teaching Load Assigned by the Department/Division

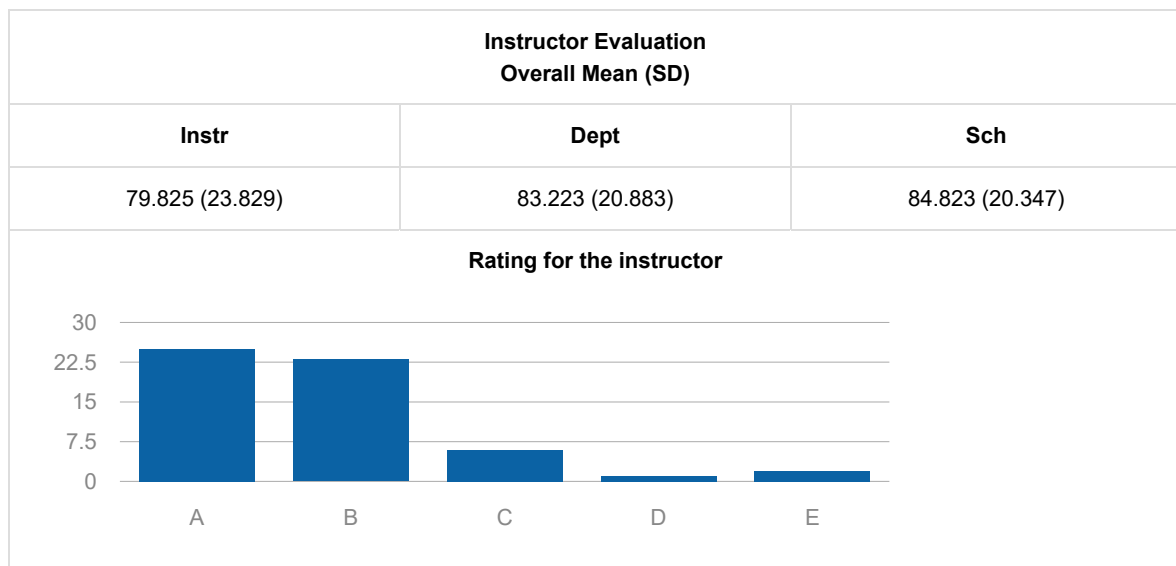
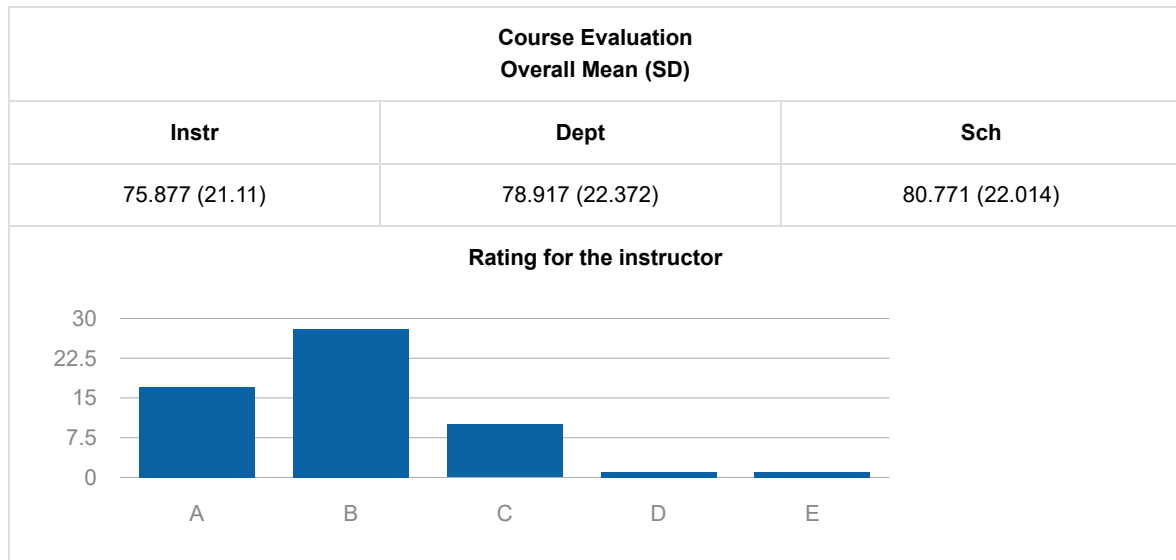
Term : FALL
Code : SOSC-1440
Section : L1
Title : Introduction to Economics

Class Size : 127
Response % : 49.6063
No. of credits : 3
% of teaching load for this course : 100



Term : FALL
Code : SOSC-1440
Section : L2
Title : Introduction to Economics

Class Size : 129
Response % : 43.8462

No. of credits : 3**% of teaching load ⓘ for this course : 100****Courses for Self-Financed Programs Taught on Outside Normal Load Basis****Final Year Project and Independent Studies Supervision (indicate course title and number of students)****Term :** Spring**Course Code :** SHSS4991**Course Title :** Capstone Project**Role :** Supervisor**Project Code :** P0018**Project Title :** Sustainability of Chinese Economic Growth: A Perspective from Human Capital Investment**No. of students :** 1

No. of credits : 3
Weight of Project % : 50.0

Role : Supervisor
Project Code : P0021
Project Title : Made in China Curse - Preference in Using Chinese Mobile Payment Apps - An Examination of Alipay HK
No. of students : 1
No. of credits : 3
Weight of Project % : 50.0

Uncategorized

Additional Information on Courses, such as Justifications or Extenuating Circumstances for Low Scores in SFQ

All Other Related Teaching Endeavors such as Development of Syllabi and New Teaching Methodology

Activities and Accomplishments in Education

Where more convenient, you may indicate evidence of activities and achievements that is available on request. Faculty are expected to find this section useful in keeping a record of information that can be used in preparing materials for future reviews of their contributions in their educational role.

New and On-going Teaching Development Grants

Teaching Awards

Additional Information on Course Enhancement and Innovation in Improving Students' Learning

Contributions to Development of Courses and Programs, including Curriculum Development, Implementation of E-learning, and Development of an Orientation to Outcomes-based Teaching, Learning and Assessment

Engagement with Students as an Academic Adviser/Mentor or in Project Work, Student Self-study, Out-of-class and Co-curricular Activities

Other Activities in Your Educational Role not Covered Above

Teaching support

Upload of Supporting Documents on Teaching Activities

Section III - Research Activities

The information format in this section is based on the RGC research output report requirement that the University is requested to submit to RGC every year. Data already collected and available in relevant offices of the University have been pre-loaded to the system. Please update the data and fill in data that are not available in any other systems. Pre-loaded data include publications, awards and prizes, and presentations and talks (SPD and ROS), patents (KTS), contracts (RDC), grants (GMS) and PG student data (SIS).

Journal Publications

Article Title :

Industrial policies and the changing patterns of investment in the Chinese economy

Research Output Category :

Publication in refereed journal

Output Type :

Academic research: refereed

Journal title :

CHINA JOURNAL

Details :

Published: 2019-01, Vol: v. 81, Issue: (1), Period: January 2019, Pages: 23-57, ISSN: 1324-9347, DOI: 10.1086/699877

Author list :

Holz, Carsten Andreas (HKUST Staff, SOSC)

Article Title :

Understanding PRC Investment Statistics.”.

Journal title :

China Economic Review

Details :

Acceptance: 2020-04

Remarks :

<http://carstenholz.people.ust.hk/> and the preprint version should be in the HKUST Institutional Repository

Author list :

HOLZ, Carsten Andreas (HKUST Staff, SOSC)

Conference Papers

Books

Book Chapters

Book Title :

Innovation and China's Global Emergence (Not yet published, cannot explain in 'Remarks' field as get "Suspected malicious input" and HKUST doesn't accept submission.)

Publisher:

National University of Singapore (expected)

Details:

Acceptance: 2019-11, Chapter title: PRC Industrial Policies Postdate Rather than Lead Economic Activity

Author list :

HOLZ, Carsten Andreas (HKUST Staff, SOSC)

Working papers**Title :**

"The Process of Economic Development in West Sichuan: The Case of Daocheng County." 31 January, 2020. At <https://ssrn.com/abstract=3169125>. Revise and resubmit.

Details:

Date: 2020-01

Author list :

HOLZ, Carsten Andreas (HKUST Staff, SOSC)

Creative and Literary Works, Consulting Reports and Case Studies**Review of Books / Software****Title of the review :**

China's 40 Years of Reform and Development: 1978–2018, edited by Ross Garnaut, Ligang Song, and Cai Fang [Book Review]

Research Output Category :

Review of books

Output Type :

Other outputs

Details:

Published: 2020-01, Citation of the review: The China Journal, v. 83, January 2020, p. 179-182, Citation of the book being reviewed: Review of: China's 40 years of reform and development: 1978-2018 / Edited by Garnaut, Ross, Song, Ligang, Fang, Cai. Australia: Australian National University Press, 2018. China Update Book Series. ISBN: 978-1-76046-225-3

Author list :

Holz, Carsten Andreas (HKUST Staff, SOSC)

Presentations and Talks**Paper / Presentation Title :**

Industrial Policies and the Changing Patterns of Investment in the PRC Economy

Organizer :

East Asian Institute and National University of Singapore

Location, date, etc. :

Event name: International Conference on Innovation and China's Global Emergence, Start date: 28 Jul 2019, End date: 29 Jul 2019, Location: Singapore

The presentation/talk was :

Invited

Patents**Awards and Prizes**

Research Collaboration with Non-local Institution in the Past Two Years (i.e. in 2018 and 2019)

Research collaboration here refers to research project/contract involving collaboration between HKUST and other non-local institution(s). These research projects/contracts may be performed at the institution/faculty/department/individual academic staff levels. Please list all research project/contracts, whether involving funding or not, that are aimed at producing research outputs, such as journal publications, conference papers, etc. There is no need to include grants/contracts already stated in other sections.

New and On-going Grants/Contracts as Principal or Co-Principal Investigator

Project Title :

Chinese Statistics

Source of Funding :

11-UGC Block grant

Role:

PI

Period :

06-Apr-2016 - 05-Apr-2019

Funding Level:

HKD \$12,000

Project Title :

Re the other item in this category 11-UGC Block grant

Source of Funding :

I closed this out ~2017. The funding awarded was (I think) less than 1/3 of what I had asked for.

Role:

-

Period :

-

Funding Level:

HKD \$0

Submitted Grant/Contracts as Principal or Co-Principal Investigator Pending Outcome

PI or Co-PI Roles in Interdisciplinary or Team-based Collaborative Research

Innovation and Knowledge Transfer in Research

Evidence of Impact of Research Based Criteria Suitable to Your Discipline

(e.g. citation, review by peers, further adaptation by others based on your earlier work)

Postgraduate Students Graduated in 2019 OR under Supervision as Major Advisor AND Graduation Survey

Other Research Outputs

Section IV - Services

Internal

(administrative assignments and committees served at the department, school and university level, etc.)

Type (e.g. School) ↓	Appointing Unit ↑	Post/Role ↑	From ↑	To ↑	On-going ↑	Duration (years) ↑	Remarks ↑
University	No idea. Division head appointed me.	University education professor title review committee. Also PG student travel grant committee.	Jul-2018	Jun-2020	Yes	1	Appointment period I don't know. Maybe two years each committee? I think the edu prof title committee may have started 2018; the travel grant one started 2019.

Showing 1 to 1 of 1 entries

External

(members of government/corporate advisory boards and panels, etc.)

Type (e.g. Government) ↓	Appointing Unit ↑	Post/Role ↑	From ↑	To ↑	On-going ↑	Duration (years) ↑	Remarks ↑
Editorship	China Economic Review Editorial Advisory Board since Jan 2015 Associate editor full years 2018-2019 (Journal)	Associate Editor	Jan-2015	Dec-2019		5	
Editorship	The China Quarterly (Journal)	Editorial Board Member	Jul-2012	Jun-2022	Yes	9	Sorry, not sure when it ends. Was definitely on the board in 2019 and am definitely as of right now, April 2020.

Showing 1 to 2 of 2 entries

Section V - Declaration

Three annual declarations that faculty members have to submit in compliance with the following policies and guidelines:

AP91.0 Consulting by Academic Staff and AP91.3 Supplementary Guidelines on Consulting Policy

AP92.0 Policy on Faculty Involvement in Commercial Pursuits

AP95.0 Guidelines on Concurrent Appointment of Faculty Members with Another Institution

Report of Consulting Activities

Nil

Disclosure of Commercial Pursuits

Question 1

Did you or any member(s) of your immediate family have an employment, consulting, or financial interest in any company that does business with the University in the form of procurements, sponsored projects, or technology licensing agreements for which you were involved in such business transaction in the course of your duty in the University? If yes, please list each such arrangement and provide an explanation. Note that reporting is not required if the financial interest is in a publicly-listed company in which the shareholding interest of you and any member(s) of your immediate family amounts to less than 5% of the company's equity.

Selected	Company	Comments
No		

Question 2

Were you an inventor of intellectual property which has been or will be licensed through HKUST to any entity in which you (or members of your immediate family) have an employment, consulting or financial interest? If yes, please list and explain.

Selected	
No	

Question 3

Did you involve any student or University employee (including those employed on grants or contracts) in your consulting or commercial activities? If yes, please list and explain.

Selected	Please state date and authority of approval obtained.
No	

Question 4

Did you make use of any University facilities or resources while pursuing your consulting or commercial activities? If yes, please list and explain.

Selected	Please state date and authority of approval obtained.
No	

Question 5

Please describe below any other relationships, commitments, or activities you or any members of your immediate family have that might present or appear to present a conflict of interest or commitment with your HKUST appointment. Such relationships might include financial or fiduciary interests or uncompensated activities.

Nil

Concurrent Appointment with Another Institution

Below is the record of your University-approved outside concurrent appointment(s) in the PRVST as of 1 March 2019. Please specify the time spent on each appointment in 2019. Please note that prior-approval should be obtained for concurrent appointment with another institution or to renew a previously approved period of concurrent appointment. Reporting your outside appointment(s) in this Annual Activities Report does NOT constitute an approval-seeking procedure. For details, please refer to "Guidelines on Concurrent Appointment of Faculty Members with Another Institution" (AP95.0 (http://provost.ust.hk/AcademicPersonnel/AP_Manual/PDF/AP95_0.pdf))

Section VI - Additional Information, Comments and Upload of Supporting Documents

For any confidential issues in this section that you would like to share with the Department/Division Head/Center Director ONLY, please communicate with your Department/Division Head/Center Director in writing separately and directly.

Additional Information

Please provide any additional information, such as (i) any leadership roles in advancing the University's missions like theme based research, e-learning, tri-modal course development, mentorship and promoting new areas/initiatives; (ii) professional consulting activities; (iii) technology transfer activities, and any other relevant information that is not listed in the sections above.

(1) I cost the university less today than I did when I was an Assistant Professor twenty years ago. Are you evaluating me as Assistant Professor?

(2) Please provide me with evidence that your faculty evaluations translate into corresponding salary changes.

(3) The latest "performance review letter" in my possession is dated 22 November 2018. Since I think the practice of issuing such letters to professors is highly unprofessional, I am happy not to have received any more recent such letter. Should another such letter have been issued since late 2018, I herewith contest its contents (consider them false) until I have received that letter and have been given the opportunity to respond.

(4) I acknowledge that professors should be accountable for their teaching and research—just as administrators should be accountable for their actions (rather than being, as currently the case, 100% *un*accountable). Since the "Annual Activities Report" serves the sole purpose of conducting a fake merit review (http://carstenholz.people.ust.hk/FakeMeritReview2019/Attach%203b_Merit%20Review%20Guidelines_Full%20Version-9Nov2015.pdf), I am not particularly interested in filling in these online report forms and thereby give face to something that should never happen at a university. I follow the professional norm of maintaining and making publicly available a CV.

I continue to request complete transparency about salary, salary changes and underlying faculty performance documentation for the years since 2008, i.e., the adoption at HKUST of professional practices of a public university.

(5) I provide the usual, professional range of services from refereeing for journals (with various editing-related titles at some journals) to evaluation of grant applications and external tenure reviews. I have conscientiously done all my committee assignments within HKUST. At the same time, I have neither interest in nor patience for "serving" an institution (including its

administrators) that does not follow professional university practices.

I serve the profession—including the division and school faculty as well as the university—by speaking up on professional matters, typically several times a year. This is a highly time-consuming service; it is well documented with division and school faculty, and occasionally online.

(6) Over the past seven years, my salary adjustments have been below the automatic, across-the-board salary increases in the civil service—whose salary funding is the basis for HKUST’s salary funding—in six years, equal in one year, and never above. (The civil service pay adjustments do not yet include seniority pay increases and promotion-based salary increases.) I.e., in six out of the past seven years—since the current practice has been adopted—HKUST administrators have found my performance inferior to that of all (close to) 200,000 Hong Kong civil servants, and this is without even considering merit (or age). The cumulative pay shortfall, excluding interest and all forms of merit, relative to the automatic, across-the-board salary increases is currently HKD 305,642 (30 June 2020).

Please suggest how I can appropriately *reduce* my performance at HKUST to match this treatment.

(7) I continue to note that I have no housing / housing allowance and that my HKUST retirement funds are, under the most optimistic assumptions, 60% underfunded. I request an explanation from HKUST administrators on how they expect me to manage financially given these conditions that they have imposed on me. Also see the three write-ups (retirement, salary, housing) at <http://carstenholz.people.ust.hk/FakeMeritReview.html>

This has been an urgent matter for years and will remain an urgent matter as long as it is not addressed.

Comments

Besides your own activities, please feel free to use the following space to offer suggestions, raise concerns and give advice for any university matters you deem important. The Department/Division Head, Center Director, Dean and/or the Executive Vice-President & Provost will respond to your feedback.

Same as under "Additional Information":

(1) I cost the university less today than I did when I was an Assistant Professor twenty years ago. Are you evaluating me as Assistant Professor?

(2) Please provide me with evidence that your faculty evaluations translate into corresponding salary changes.

(3) The latest “performance review letter” in my possession is dated 22 November 2018. Since I think the practice of issuing such letters to professors is highly unprofessional, I am happy not to have received any more recent such letter. Should another such letter have been issued since late 2018, I herewith contest its contents (consider them false) until I have received that letter and have been given the opportunity to respond.

(4) I acknowledge that professors should be accountable for their teaching and research—just as administrators should be accountable for their actions (rather than being, as currently the case, 100% *un*accountable). Since the “Annual Activities Report” serves the sole purpose of conducting a fake merit review (http://carstenholz.people.ust.hk/FakeMeritReview2019/Attach%203b_Merit%20Review%20Guidelines_Full%20Version-9Nov2015.pdf), I am not particularly interested in filling in these online report forms and thereby give face to something that should never happen at a university. I follow the professional norm of maintaining and making publicly available a CV.

I continue to request complete transparency about salary, salary changes and underlying faculty performance documentation for the years since 2008, i.e., the adoption at HKUST of professional practices of a public university.

(5) I provide the usual, professional range of services from refereeing for journals (with various editing-related titles at some journals) to evaluation of grant applications and external tenure reviews. I have conscientiously done all my committee assignments within HKUST. At the same time, I have neither interest in nor patience for “serving” an institution (including its administrators) that does not follow professional university practices.

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above. (The civil service pay adjustments do not yet include seniority pay increases and promotion-based salary increases.) I.e., in six out of the past seven years—since the current practice has been adopted—HKUST administrators have found my performance inferior to that of all (close to) 200,000 Hong Kong civil servants, and this is without even considering merit (or age). The cumulative pay shortfall, excluding interest and all forms of merit, relative to the automatic, across-the-board salary increases is currently HKD 305,642 (30 June 2020).

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Response to Previous Review

You may upload a summary (1 page maximum) identifying and discussing any activities listed above that were intended to respond to concerns raised in previous reviews.

Personal Statement

You may upload a short personal statement (2 pages maximum) to provide an overview of your research agenda, offer additional context for information entered above, and/or describe activities related to research, teaching, or service that do not fit into any of the existing categories.

CV

Please upload your latest CV

CarstenHolz-CV-14Apr2020.pdf (/jsfr/aa_report_download_file?file_seq=13591)

Sabbatical Leave Report

If you took sabbatical leave during the report period, you may upload a copy of your sabbatical leave report.

SabbaticalLeaveReport CarstenHolz 30April2020.pdf (/jsfr/aa_report_download_file?file_seq=13592)

Submit