THE CHINESE UNIVERSITY OF HONG KONG
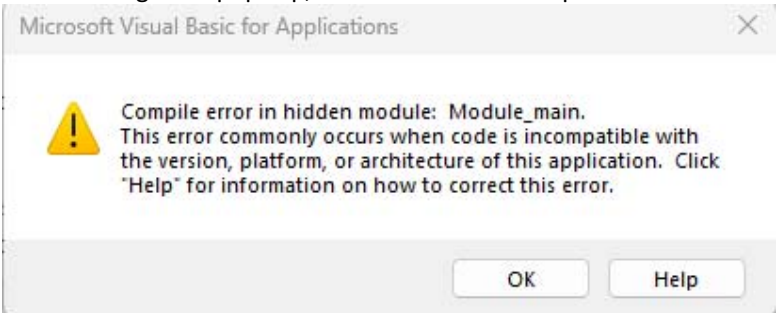
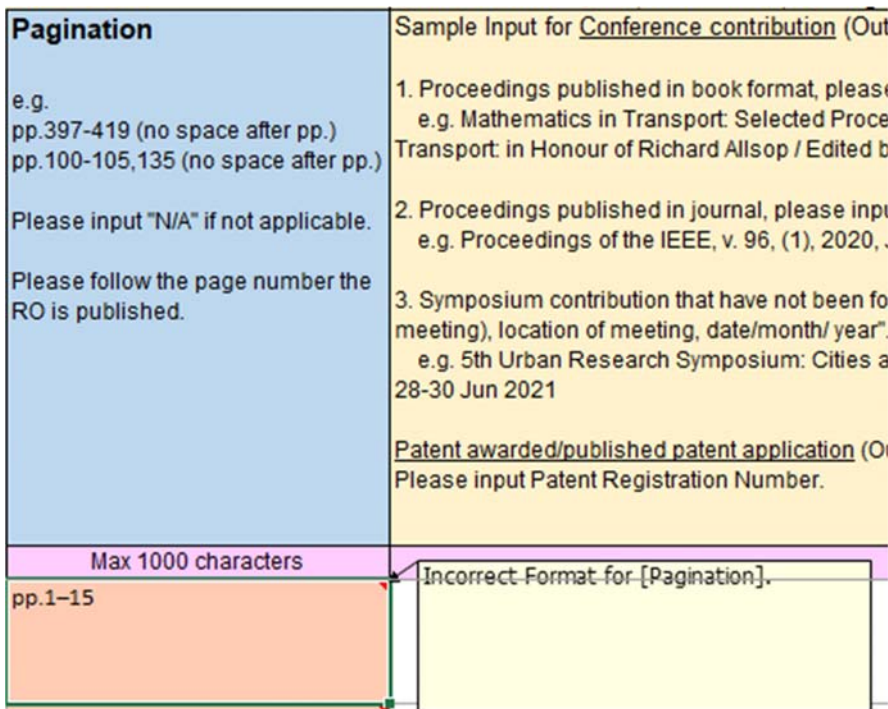**Research Assessment Exercise (RAE) 2026**

FAQ
(maintained by ORKTS; <mark>last updated on 20250624</mark>)

Research Output (RO) submission
The first worksheet "Notes" of the RO template explains the worksteps, editing requirements, etc. Please also refer to the Library's Research Outputs Submission webpage (https://libguides.lib.cuhk.edu.hk/rae2026ro/home) for relevant presentation slides, examples and FAQ.

Added on	Question and Answer
20250624 Unblocking macros for validation and spell check	(III)1. Q: What should staff members do if clicking the "Enable Editing" and "Enable Content" button at the top of the "Research Output" worksheet is unable to unblock macros to perform validation and spell check? A: This issue has thus far been identified for some Microsoft 365 Office users. Please contact us at cuhk.rae@cuhk.edu.hk for further advice.
20250624 Error in the Name and Location of Collaborator(s)	(III)2. Q: When Column BN (International research collaboration which has resulted in a joint publication (Y/N)) is filled with "N" (i.e., indicating no international collaboration), why does the template not allow any input in Column BO (Name and Location of Collaborator(s), even if the RO involves local collaborators? A: Please disregard the error message in this instance and proceed with entering the collaborator information as appropriate. We apologise for the inconvenience caused.
20250624 Character Limit in the Name and Location of Collaborator(s)	(III)3. Q: Some ROs have a large number of collaborators but Column BO (Name and Location of Collaborator(s)) only allows 500 characters. What can I do? A: We are currently consulting the UGC regarding this limitation. Further guidance will be provided once available.
20250623 Word count in relation to apostrophe	(II)1. Q: When I input text into fields with a 100-word limit, I consistently receive a word-limit error stating, *'Cannot exceed 100 words. 101 words found*,' even though I have entered exactly 100 words. A: Please see whether the text you entered contains typographic (curly) quotation marks such as " " ' ' , as each of these would be counted as a single word. You can replace them with straight quotation marks — i.e., " and ' — by typing them directly or using Find and Replace feature of Excel.

Added on	Question and Answer
20250623 Validation failure on Mac	(II)2. Q: I've been working (or have once worked) with the RO template on my Mac, but I encounter problems when clicking the "(Re)Validate All Records" button. The following error message box pops up, and the validation stops. What can I do ? **Microsoft Visual Basic for Applications** ✕ ⚠ Compile error in hidden module: Module_main. This error commonly occurs when code is incompatible with the version, platform, or architecture of this application. Click "Help" for information on how to correct this error. [OK] [Help] A: It has been identified that certain validation features may not function properly on Mac computers due to compatibility issues with Excel for Mac. Here are two options to resolve the issue: (i) <u>Download the Original Template</u>: Please ask your UoA RAE admin to re-download the original RO template from our SharePoint using a Windows PC to ensure full functionality. (ii) <u>Request a Replacement</u>: If you prefer to continue using your Mac, please email us at cuhk.rae@cuhk.edu.hk the problematic template file. We will provide you with a new version of the RO template compatible with both Windows and Mac. **Please note**: If the template has been used on a Mac, issues may persist even after it is reopened on a Windows PC.
20250623 "Incorrect Format for [ISBN][e-ISSN]" error message	(II)3. Q: Why do I see an "Incorrect Format for [ISBN][e-ISSN]" error message when I enter an ISBN or e-ISSN value in Columns AT or AV that ends with "X"? (For ISBN values, only the 10-digit format can have "X" as its last digit.) A: Please disregard the "Incorrect format" error message in these cases as well as similar messages appearing in ISBN/e-ISSN-related columns for output type "M", including CT, CV, CZ, DB, DF, and DH. We apologise for the inconvenience caused.
20250623 Funders and Funding Programmes	(II)4. Q: How should Columns BU–BX (Name of Funder(s), Other Funder(s), Name of Funding Programme(s) and Other Funding Programme(s)) be filled if funding programmes are only available for the first and third funders? A: As advised by the UGC, in cases where certain funders do not have a corresponding funding programme, please enter **"98"** (representing "Not available") in the relevant field. Below is an example for illustration: Name of Funder(s): 04;97;09 Other Funder(s): ABC;DEF Name of Funding Programme(s): 97;98;98;07 *(assuming there are no specific funding programme names for the 2 Funders ABC and DEF, so two "98" are inputted)* Other Funding Programme(s): XXX;YYY (refers to 2 funding programmes by CUHK)

Added on	Question and Answer
20250623 Pagination (en dash vs hyphen)	(II)5. Q: Why do I see the error message below? A: Please revise the en dash (–) to hyphen (-). **Pagination** e.g. pp.397-419 (no space after pp.) pp.100-105,135 (no space after pp.) Please input "N/A" if not applicable. Please follow the page number the RO is published. Sample Input for Conference contribution (Out 1. Proceedings published in book format, please e.g. Mathematics in Transport: Selected Proce Transport: in Honour of Richard Allsop / Edited b 2. Proceedings published in journal, please inpu e.g. Proceedings of the IEEE, v. 96, (1), 2020, , 3. Symposium contribution that have not been fo meeting), location of meeting, date/month/ year". e.g. 5th Urban Research Symposium: Cities a 28-30 Jun 2021 Patent awarded/published patent application (O Please input Patent Registration Number. Max 1000 characters pp.1–15 Incorrect Format for [Pagination].
20250607 Access to template	(I)1. Q: Can academic staff members download and upload the RO template directly? A: The distribution and collection of templates will be coordinated by the Faculty/UoA. Please contact the UoA admin.
20250607 Missing template	(I)2. Q: What if the Faculty/UoA RAE admin couldn't locate the relevant RO template of any eligible staff? A: Please contact the ORKTS Administration team at cuhk.rae@cuhk.edu.hk.
20250607 Leaving staff	(I)3. Q: If staff members have confirmed that they will leave or retire from CUHK before the census date of 30 September 2025, do they still need to complete the RO template? A: Staff members concerned will not be required to complete the RO template in such a case, assuming their CUPIS records will be updated with the relevant departure/ retirement record in due course. Please notify the ORKTS Administration team at cuhk.rae@cuhk.edu.hk. If there are any subsequent changes, kindly also update ORKTS promptly.
20250607 Change of post	(I)4. Q: If staff members will be changing to another post before the census date of 30 September 2025, do they still need to complete the RO template? A: The staff members may remain eligible if they continue to be full-time academic staff within the applicable staff grades defined for the purpose of the Common Data Collection Format (CDCF). Please communicate with ORKTS to confirm.

Added on	Question and Answer
20250607 New Researcher	(I)5. Q: If staff members are "new researcher", can they submit less than four ROs? A: New researchers as defined under RAE are allowed to submit less ROs. Please refer to para. 5.6 of the Guidance Notes for RAE 2026 (extracted below) for details. They can leave the extra RO rows in the template blank. **(B) New Researchers** 5.6 New researchers present a special case since they may not have had time to produce significant or publishable outputs according to the RAE definition. Therefore, all eligible staff who first took up a full-time academic appointment (in Hong Kong or elsewhere) on or after 1 August 2021 will be given special consideration. Whereas an academic, other than a new researcher or a staff member for whom special consideration/exemption is granted by UGC, submitting fewer than four research outputs will have any missing output deemed as "unclassified", a new researcher may reduce the number of outputs without the reduced item(s) being deemed as "unclassified" according to the following scales. However, a new researcher can choose to submit up to four research outputs if he/she so wishes. <table><tr><th>Duration of appointment prior to the census date</th><th>Date of appointment #</th><th>Number of outputs to be submitted</th></tr><tr><td>39 to 50 months</td><td>Between 1 August 2021 and 31 July 2022 inclusive</td><td>3 or 4</td></tr><tr><td>27 to 38 months</td><td>Between 1 August 2022 and 31 July 2023 inclusive</td><td>2 to 4</td></tr><tr><td>Less than 26 months</td><td>On or after 1 August 2023</td><td>1 to 4</td></tr></table> # "Date of appointment" refers to the date the academic first took up a full-time academic appointment in Hong Kong or elsewhere in staff grades "A" to "I" in Hong Kong as defined at **Appendix C**, or an appointment not below assistant professorship or equivalent outside Hong Kong.
20250607 Insufficient number of ROs	(I)6. Q: If staff members do not have sufficient RO or the RO hasn't been accepted for publication in the first round of submission in June/July, how should this be reflected in the RO template? A: If the RO concerned does not fall under any of the four publication statuses specified in Column AQ of the RO template, please leave the corresponding row as it is. UoAs will notify ORKTS Administration team when making the submission.
20250607 (Re)Validate All Records button	(I)7. Q: What should staff members do if they are unable to clear all the validation errors? A: Submission to UGC that do not pass the validation will be rejected. Please check against the data specification requirements captured in the template. Clarification with the Library (rae_lib@lib.cuhk.edu.hk) or ORKTS (cuhk.rae@cuhk.edu.hk) on the respective fields (Library fields are differentiated by colouring in Row 10) may be sought if errors are unresolvable. In view of the large number of submissions, email is the preferred communication channel and please expect a delay in response.
20250607 Spell check button	(I)8. Q: The spell check button forces a complete check of the whole worksheet every time I click it. Can the spell check be stopped partway and can it skip those words already checked in the previous rounds? A: Apologies, these are known issues with the template without a ready technical solution. It is still hoped that the spell check function would help identify typos which in the end will have to be corrected.
20250607 Technical issues of template	(I)9. Q: If UoA RAE admin/eligible staff experience technical issues preventing them from completing the template, what should they do? A: Please contact the ORKTS Administration team at cuhk.rae@cuhk.edu.hk.

Added on	Question and Answer
20250607 Physical items	(I)10. Q: How many copies are required of a physical item? A: Information in this regard from the UGC is expected to be available around the end of Q3. In the last RAE, four copies were requested. For physical items that will take time to make available sufficient copies, early preparation is highly encouraged.
20250607 Non-traditional output	(I)11. Q: If the RO is a non-traditional output, how should staff members report in the RO template? A: Please contact the ORKTS Administration team at cuhk.rae@cuhk.edu.hk for further arrangement.
20250607 New ROs	(I)12. Q: If staff members want to replace an RO or submit a missing RO after submitting the first round of ROs in June/July to ORKTS, what should they do? A: Please inform the Faculty/UoA admin first to have the update reflected in an existing logsheet shared with ORKTS. A call for supplementary submission to the RO template will take place in early Q4.