

Section 6

CUHK(SZ) disciplinary guidelines and procedures

Procedures for Handling Cases of Academic Dishonesty

As approved by the Provisional Academic Board, the following procedures for handling student discipline cases are adopted:

- (a) all academic-related discipline cases of undergraduate and postgraduate students, including cases of academic dishonesty in course work shall be handled by the schools/colleges/offices/centres that offer the courses concerned instead of the students' major programmes/schools;
- (b) students suspected of academic dishonesty shall be given the opportunity to meet with members of the disciplinary committee concerned, irrespective of whether the course teachers concerned have already done so;
- (c) in making recommendations, disciplinary committees shall take into account factors such as the amount of work that is problematic, and whether the cases pertain to students who plagiarize or allow others to copy their own work.
- (d) In handling cases involving group projects, all members of the group should be held responsible and liable to disciplinary actions, irrespective of whether he/she has signed the declaration and whether he/she has contributed, directly or indirectly, to the problematic contents.

I. Undergraduates

Cases to be handled by school/college/office/centre

1. Teachers shall report all cases of suspected academic dishonest immediately to the disciplinary committee of the school/college/office/centre concerned, e.g. teachers of engineering courses shall report to the School of Science and Engineering. The disciplinary committee concerned will look into the case, and meet with the student if the student so requested. If the charge is established, the penalty guidelines are as follows:

(a)		Minimum Penalties
(i)	Plagiarism	<u>First offence</u> (i) one demerit; (ii) a mark of zero for that component of the course; and (iii) completion of relevant training in academic honesty.

		<p><u>Second or further offence (and a first offence that is serious as decided by the disciplinary committee concerned)</u></p> <p>(i) two demerits and (ii) a failure grade for the course concerned.</p>
(ii)	Undeclared multiple submissions	<p><u>First offence</u></p> <p>(i) one demerit; (ii) a mark of zero for that component of the course; and (iii) completion of relevant training in academic honesty.</p> <p><u>Second or further offence (and a first offence that is serious as decided by the disciplinary committee concerned)</u></p> <p>(i) two demerits; and (ii) a failure grade for the course concerned.</p>
(iii)	<p>Employing or using services provided by a third party [Note 1] to undertake the examination/ final year projects/ papers/ essays/ dissertations, or providing services as a third party, including any one of the following aspects:</p> <p>(a) employing or using services provided by a third party; (b) providing services as a third party; (c) sharing of any materials obtained from the employment or use of services provided by a third party to other students; and (d) knowingly using materials obtained by anyone who has employed or used the services provided by a third party.</p>	<p>(i) three demerits; (ii) a failure grade for the course concerned (not applicable to the student who is the third party to provide the services but not taking the same course or not taking it the same term); (iii) suspension from the University for one term [Note 2]; and (iv) lowering the degree classification by one level upon graduation (not applicable to undergraduate students who graduate with a Pass Degree and postgraduate students) [Note 3].</p>
(iv)	Employing or using services provided by a third party [Note 1] to undertake all other submitted work not covered by category (iii) above, or providing	<p>(i) Two demerits; and (ii) a failure grade for the course concerned (not applicable to the student who is the third party to</p>

	<p>services as a third party, including any one of the following aspects:</p> <p>(a) employing or using services provided by a third party;</p> <p>(b) providing services as a third party;</p> <p>(c) sharing of any materials obtained from the employment or use of services provided by a third party to other students; and</p> <p>(d) knowingly using materials obtained by anyone who has employed or used the services provided by a third party.</p>	<p>provide the services but not taking the same course or not taking it in the same term).</p>
(v)	<p>Distribution/ Sharing/ Copying of teaching materials without the consent of the course teachers to gain unfair academic advantage in the courses</p>	<p>(i) two demerits.</p>
(vi)	<p>Violating rules 15 or 16 of the University's Examination Rules (Annex 1) or rule 9 or 10 of the University's Online Examination Rules (Annex 2)</p>	<p><u>First offence</u></p> <p>(i) one demerit.</p> <p><u>Second or further offence (and a first offence that is serious as decided by the disciplinary committee concerned)</u></p> <p>(i) two demerits.</p>
(vii)	<p>Cheating in tests and examinations (including violation of rule 17 or 18 of the University's Examination Rules or rule 11, 12, 13, 14 or 16 of the University's Online Examination Rules)</p>	<p><u>First offence</u></p> <p>(i) One demerit; and</p> <p>(ii) a failure grade for the course concerned.</p> <p><u>Second or further offence (and a first offence that is serious as decided by the disciplinary committee concerned)</u></p> <p>(i) two demerits; and</p> <p>(ii) a failure grade for the course concerned.</p>
(viii)	<p>Impersonation fraud in tests and examinations (including violation of rule 19 of the University's Examination Rules or rule 15 of the University's Online</p>	<p>(i) three demerits;</p> <p>(ii) a failure grade for the course concerned;</p> <p>(iii) suspension from the University for one term [Note 2]; and</p>

	Examination Rules)	<p>(iv) lowering the degree classification by one level upon graduation (not applicable to undergraduate students who graduate with a Pass Degree and postgraduate students) [Note 3].</p> <p>[The same penalties apply to the student who asks/allows someone to assume his/her identity to sit for a test/an examination as well as to the student who sits for a test/an examination if both parties are students of the University, except that penalty (ii) will not apply to the latter.]</p>
(ix)	All other acts of academic dishonesty	<p><u>First offence</u></p> <p>(i) one demerit; (ii) a mark of zero for that component of the course; and (iii) completion of relevant training in academic honesty.</p> <p><u>Second or further offence (and a first offence that is serious as decided by the disciplinary committee concerned)</u></p> <p>(i) two demerits; and (ii) a failure grade for the course concerned.</p>

Notes:

1. A third party shall include all parties external to CUHK(SZ), including but not limited to online platforms, companies providing tutoring services or essay/ dissertation mills, private tutors, past teachers, alumni of the University, relatives and friends of the student concerned, as well as members of CUHK(SZ).
2. According to the University's Regulations, suspension can only be imposed with the approval of the Committee on Student Discipline. Any cases of suspension should be submitted to the Committee on Student Discipline.
3. Not applicable to degrees without honours classification.

(b) For cases where a student committed two or more offences of plagiarism/undeclared multiple submissions in the same term and at almost the same time, the following lower penalty can be recommended by the disciplinary committee concerned, after careful

consideration of all factors including inter alia the amount of work plagiarized, the attitude of the student and whether the student is aware of the mistake before committing the same offence a second time:

For such offences altogether, a minimum penalty of (i) two demerits; (ii) a mark of zero for the component(s) of the course(s) concerned; and (iii) completion of relevant training in academic honesty.

In recommending such penalty, full justifications must be provided by the disciplinary committee concerned.

- (c) The submission of a piece of work, or a part of a piece of work, for more than one purpose (e.g., to satisfy the requirements in two different courses) without declaration to this effect shall be regarded as having committed undeclared multiple submissions and may lead to the penalty of a zero mark for all assignments concerned apart from the penalties of demerits, as decided by the disciplinary committee.
 - (d) For cases where a student allowed others to copy his/her work, the disciplinary committee concerned can consider giving demerit(s) without affecting the mark of the student in the course concerned.
 - (e) For cases that are deemed serious or when the penalty of a failure grade is not applicable, the disciplinary committee concerned can consider imposing a heavier penalty, such as more demerits or suspension from University.
2. The disciplinary committee concerned can consider a penalty of giving more demerits or, where applicable, a failure grade for the entire course, for cases that are deemed more serious by taking into account factors such as the amount of work that is problematic.
 3. Where applicable, the disciplinary committee concerned shall also decide when the demerits will be removed, which should be a period from 6 to 12 months. All demerits including their removal should be kept in the University's record.
 4. If zero marks are earned for that component of the course, the grade for the course may end up as a failure.
 5. The disciplinary committee concerned shall notify the student of its decision. In the case where the disciplinary committee comes up with a decision that is substantially different from the initial findings of the school/college to which the student concerned belongs, the disciplinary committee shall first convey its decision to the school/college concerned before the student concerned is formally notified of the decision.
 6. Appeals in writing with full justifications may be lodged to the Committee on Student Discipline through the disciplinary committee that deals with the case in the first instance,

against the decision/recommendation made by the disciplinary committee, within seven working days after the student has received the notification. Late appeals will not be considered. The case is closed if no appeal is received after the specified period.

7. The disciplinary committee concerned shall report the case, together with its decision, to the Committee on Student Discipline by completing Form A issued by the Committee, irrespective of whether the student concerned is found guilty or not, a copy of which shall be sent to the student's major programme, school and college for record and necessary follow up actions.

Cases to be handled by the Committee on Student Discipline

8. Cases that are exceptionally serious, or where extenuating circumstances are put forward for a lower penalty, shall be referred to the Committee on Student Discipline for decision, to ensure consistency across the University.

(a) If, after serious consideration, the disciplinary committee concerned recommends a heavier penalty as follows according to Regulation 15.2 of the *General Regulations Governing Full-time Undergraduate Studies*, then the case will be referred to the Committee on Student Discipline for further consideration:

- (i) Suspension from the University for a specified period of time; or
- (ii) Termination of studies at the University.

(b) If the disciplinary committee concerned after reviewing the case recommends a penalty lower than those specified in these guidelines, the case shall also be referred to the Committee on Student Discipline for decision.

9. The student shall be notified in writing of the decision, and appeals in writing with full justifications may be lodged to the Committee on Student Discipline, within seven working days after the student has received the notification. The appeal shall be handled in accordance with the "Procedures for Handling Student Disciplinary Cases" of the Committee on Student Discipline. Late appeals shall not be considered.

Documentation

10. After each case is closed, the disciplinary committee concerned or the Committee on Student Discipline (as the case may be) shall inform the school/programme/college concerned of the details of the case for record and follow-up, and report the case, together with its decision, to the Committee on Student Discipline by completing Form A issued by the Committee, irrespective of whether the student concerned is found guilty or not. As recommended by the (Provisional) Academic Board, such case records on academic dishonesty shall be included in the self-evaluation documents of programmes for regular internal programme reviews.

II. Postgraduates

11. The procedures in respect of postgraduate students are the same as those of undergraduate students described above, except that the Graduate School Office shall provide the administrative support relating to student records/status checking/updating to the disciplinary committee. The procedures will also apply to academic dishonesty found in theses, which may be failed as a result, in the case of which the student concerned has to re-submit the thesis, unless otherwise specified.

12. Under circumstances where students concurrently registered for two programmes, the number of offences and number of demerits accumulated are person specific rather than programme specific. For example, if a student committed plagiarism in a course of Programme A and in another course of Programme B, he/she will be considered as having committed a total of two counts of plagiarism. Under normal circumstances, he/she shall have accumulated a total of three demerits, and he/she may risk termination of studies for both programmes he/she registered. Under the circumstance where a student committed two or more offences of plagiarism/ undeclared multiple submissions in the same term and at almost the same time, Paragraph 1(b) shall apply.

Rules to be Observed by Candidates at Examination Centre

A. Rules listed below are for proper administration of the course examinations. A candidate may be required to leave the examination centre and be disciplined by the concerned authorities in accordance with the nature and gravity of the offence for violation of these rules.

1. Bring to the examination centre the student identity card.
2. Take up the seat as assigned.
3. Electronic devices with transmission or photo-taking functions (e.g. mobile phone, smart watch and electronic organizer etc.) must be turned off and put inside the bag before entering the examination centre.
4. Place the student identity card and watch (not smart watch) on the desk for inspection by the invigilators during the examination.
5. Ask questions concerning the examination papers during the first 30 minutes of the examination session.
6. Those who arrive more than 30 minutes late shall not be permitted to take the examination.
7. Do not leave the examination centre during the first 30 minutes and the last 15 minutes of the examination.
8. Do not leave the examination centre without permission from the invigilator. Early leavers must make sure the answer scripts and related materials have been collected by the invigilator on the spot.
9. Do not bring into the examination centre any food or drink except pure water.
10. Only stationery, papers distributed at the examination centre and articles permitted by the concerned teaching staff may be placed on the desk.
11. Do not smear or disfigure the cover of answer books and answer sheets with marks.
12. Follow instructions of the chief invigilator, invigilators and concerned teaching staff, including but not limited to washroom arrangements, seating and collection of answer scripts/answer sheets/question papers.
13. Candidates must remain seated in silence until answer scripts and related materials have been collected at the end of an examination session.
14. No answer scripts or related materials will be accepted once the candidate leaves the examination centre.

B. Rules listed below relate to the conduct of a candidate during an examination session. A candidate violating these rules, once established by the concerned authorities, shall be disciplined in accordance with policies and guidelines governing academic honesty.

15. Do not start reading the question paper or writing without permission.
16. Follow "Pens-down" instruction.
17. Do not carry any unauthorized articles on the person or place them near the examination desk.
18. Do not communicate or attempt to communicate improperly with other candidates, and do not read or copy from unauthorized materials or from the work of another candidate. Any attempt to use electronic devices with transmission or photo-taking functions (e.g. mobile phone, smart watch and electronic organizer etc.) inside the examination centre is strictly prohibited.
19. Do not impersonate another candidate or let another person impersonate you.

Note: Exception can be given to rules pertaining to electronic devices when candidates are permitted to use specified electronic devices (e.g. personal notebook or computer) by the Registry Office for taking the examination.

Rules to be Observed by Candidates in Taking Centralized Online Course Examinations

A. Rules listed below, where applicable, are for proper administration of an online course examination (“examination” thereafter). Failure to comply with these rules may result in the disapproval for sitting the examination and the candidate may not be approved to sit for a make-up examination unless there are valid proofs that the incompliance is not the result of the candidate’s own fault. A candidate may also be disciplined by the concerned authorities in accordance with the nature and gravity of the offence for violation of these rules.

1. Candidate may be asked by his/her Graduation Division/Programme to fill out a “Declaration of Academic Honesty for Online Examination of Courses” form, and s/he must abide by the “Student Declaration Statements” contained therein.
2. Follow the prior instructions of the teacher/invigilator to log in the designated system at the specified time on the date of examination. If attendance taking is required for the examination, follow the instructions of the course teacher/invigilator for attendance taking and for other necessary preparations for the examination.
3. Unless permitted by the course teacher/invigilator, and with the exception of electronic equipment (e.g. mobile phone, computer with webcam, etc.) to be used for the examination as specified by the course teacher/invigilator concerned, any other electronic equipment should not be placed in the examination desk/nearby furniture that the candidate takes the examination.
4. Ask questions concerning the question paper during the first 30 minutes or within the time duration as specified by the course teacher/invigilator of the examination session.
5. For invigilated examination, those who log in the system late for more than 30 minutes after the start time of the examination as announced by the course teacher/invigilator shall not be permitted to take the examination, unless specially approved by the course teacher/invigilator.
6. For invigilated examination, only articles/books/materials permitted by the course teacher/invigilator may be placed on the examination desk/nearby furniture that the candidate takes the examination.
7. For invigilated examination, follow examination instructions of the course

teacher/invigilator, including but not limited to the checking of question paper, washroom arrangements, submission of answer scripts, etc.

8. No answer scripts or related materials will be accepted after the time allowed for submission of the answer scripts/related materials as announced by the course teacher/invigilator, unless specially approved by the course teacher/invigilator.

B. Rules listed below, where applicable, relate to the conduct of a candidate during an online course examination. A candidate violating these rules, once established by the authorities concerned, shall be disciplined in accordance with the University's policies and guidelines governing academic honesty.

9. For invigilated examination, do not start reading the question paper or writing/typing without permission of the course teacher/invigilator.
10. For invigilated examination, follow instructions of the course teacher/invigilator to stop writing/typing at the end of the examination.
11. For invigilated examination, do not use any unauthorized articles or place them on the examination desk/nearby furniture during the examination.
12. Do not communicate or attempt to communicate improperly with other candidates or any other persons during the examination.
13. Do not copy from unauthorized materials or from any other sources unless permitted by the course teacher/invigilator during the examination.
14. Do not use electronic devices with transmission/photo-taking/data storage functions (e.g. mobile phone, smart watch and electronic organizer etc.) unless permitted by the course teacher/invigilator during the examination.
15. Do not impersonate another candidate or let another person impersonate you.
16. Do not cheat during the examination.