

National Tsing Hua University Guidelines for Handling Academic Ethics Violations by Students Who Have Not Yet Graduated

Approved at the 1st Faculty Meeting for Academic Year 2014 on October 16, 2014

Amendments to Articles 2~10 approved at the 2nd Faculty Meeting for Academic Year 2022 on December 22, 2022

1. In order to establish student awareness about academic ethics and relevant regulations as the basis for handling undergraduate cases in violation of academic ethics, National Tsing Hua University (hereinafter referred to as “NTHU”) hereby formulates the Directions accordingly.
2. The violation of academic ethics referred to herein means any of the following circumstances:
 - (1) Forgery: Fabricated application information, research information or research results.
 - (2) Alteration: False changes in application information, research information or research results.
 - (3) Plagiarism: Quoting another person's work or application information, research information or research results without identifying the source is defined as plagiarism, if the circumstance is considered serious.
 - (4) Concealing contents already published as results or works when applying for a research project or publishing a paper.
 - (5) Repeat publication without specifying it and thereby causing the research results to be computed repeatedly and affecting the review members’ judgment.
 - (6) Quoting work already published significantly in the research project or paper without proper citation, thereby misleading the review members’ judgment seriously.
 - (7) Infringing upon another person's intellectual property rights.
 - (8) Any other violations of academic ethics identified by NTHU Academic Ethics Review Committee (hereinafter referred to as the “Review Committee”).
3. The Research Ethics Office, Office of Research and Development is the unit of NTHU dedicated to handling undergraduate cases of academic ethics violations. Upon receipt of any report from the related unit, which will be registered by an academic officer, the Office of Academic Ethics and Research Integrity (hereinafter referred to as the “Office”) shall complete the following approving procedure.

When reporting a case in violation of academic ethics, the informer should provide his/her real name and contact information, and specify the counterparts and contents with evidence. Once the case is confirmed upon verification, it will be processed immediately. The case will not be accepted if the identity information provided by the informant is found untrue and the case is reported anonymously.

The reported case shall be kept confidential before the investigation results are resolved. The informer's identity shall be kept strictly confidential.

4. Cases involving students will be processed in two steps: preliminary investigation and substantive examination. Preliminary investigation is conducted by the department (institute, academic program or degree program) of the student accused of violating academic ethics, while substantive examination is conducted by the college-level unit of the accused person.

Preliminary investigation: The convener of the Faculty Evaluation Committee of the department (institute, academic program or degree program) of the student accused of violating academic ethics and two members of the faculty evaluation committee of the relevant unit shall review the related evidence and information jointly to resolve whether the case should sustain or not. The

resolution and related evidence shall be submitted to the college-level unit.

Substantive examination: The Review Committee consists of 5~7 members, including the dean of the college of the informer as the *ex officio* member and the chair (director) of the accused person's department (institute, academic program or degree program), full-time teachers of the related department (institute, academic program or degree program) or other scholars and experts with specific expertise inside/outside NTHU. At least one of the members shall have legal background, and members outside NTHU shall comprise no less than one-fourth of all members. The review members will be selected by the accused person's college and subject to the approval of the President.

The dean shall serve as the Review Committee convener. Where the dean shall recuse himself, the Vice President for Academic Affairs shall act as the convener. Where the dean and Vice President for Academic Affairs shall recuse themselves, the President shall appoint one Vice President to act as the convener. Before the meeting, the Review Committee members' identities shall be kept confidential.

The instructor, spouse, relatives by blood or marriage within the 3rd degree of kinship, academic partner or any other stakeholder of the accused person shall not serve as a Review Committee member.

5. Review Committee members shall attend the Committee meeting personally. Any resolution made by the meeting may be adopted only when the meeting is attended by more than two-third of the members and upon approval of a majority of the members present at the meeting.

Related experts, representatives of the related business units of NTHU or the accused person's instructor, or oral exam members may be invited to attend the Committee meeting to provide explanation.

6. Upon acceptance of any case, the Review Committee shall notify the informer in writing to provide, or state in person, his opinion on the reported case within the prescribed time limit. The informer's failure to provide, or state in person, his opinion within the time limit shall constitute his waiver to state his own opinion.

The Review Committee may ask more than two scholars or experts with relevant expertise to review the reported case and opinions. Where the review involves identification of eligibility for a degree, the case may be submitted to the original oral exam members or review members for re-examination. Related personnel's identity shall be kept confidential.

7. The two steps shall be completed by the following deadlines:
 - (1) Preliminary investigation: To be completed within one month as of the date following the receipt of the case.
 - (2) Substantive examination: To be completed within two months as of the date following the receipt of the case.

If necessary, the deadlines may be extended upon approval.

Upon completion of the review, the Review Committee shall render its resolution and produce the review meeting minutes in duplicate, which shall be submitted to the Office and the accused person's department (institute, academic program or degree program) for recordation, respectively.

8. Once the reported case is concluded through the relevant procedure, the Office shall notify the informer, accused person and their affiliation (school unit or agency (institution)) of the conclusion in writing.
9. Where a reported case of violation of academic ethics is confirmed, the accused person's department (institute, academic program or degree program) shall, subject to the materiality of

the case, transfer the case to the Office of Student Affairs for imposition of punishment on the concerned party in accordance with the NTHU “Regulations Governing Student Reward and Punishment.”

Where the accused person’s paper or work has been required by the relevant department’s/institute’s study regulations, the recognition of such paper or work shall be revoked. Any other violations of laws and regulations shall be handled in accordance with the related laws and regulations.

After a student case in violation of academic ethics is found sustained, whether his instructor shall be also held liable shall be determined by the faculty review committee of the department (institute, academic program or degree program) of the instructor.

10. Any matters not covered herein shall be resolved in accordance with the regulations governing cases in violation of academic ethics of the Ministry of Education and NTHU.
11. The Directions shall be enforced upon approval of the faculty meeting.