

Code of Practice

Research Postgraduate Studies

The Chinese University of Hong Kong, Shenzhen [CUHK, Shenzhen] is a new, separately incorporated university established in March 2014, and approved for university status by the Ministry of Education (MoE) of the People's Republic of China. Founded through a Memorandum of Understanding between The Chinese University of Hong Kong (CUHK), Shenzhen University and the Shenzhen Municipal Government, the new University is a research-oriented, forward-looking, non-profit making University, which places emphasis on cross-disciplinary teaching and research.

The governing body of CUHK, Shenzhen is its Governing Board, which is chaired by the Vice-Chancellor and President of CUHK and which comprises 16 members, with CUHK and Shenzhen University each nominating eight. The highest academic body that oversees education and research is the Academic Board.

Through the Schools of Humanities and Social Science, Management and Economics, Science and Engineering, and other units authorized by the CUHK Senate, CUHK, Shenzhen offers both undergraduate and postgraduate programmes. The programmes at postgraduate level are coordinated by the Graduate School of the University, and are pursued through coursework or research.

Students of CUHK, Shenzhen are also registered as external students of CUHK and those who have completed their studies and fulfilled all requirements for graduation will be recommended by the Academic Board through the Graduate Council Executive Committee of CUHK to the CUHK Senate for the award of degrees granted by CUHK. For this reason, the quality of the University's programmes as well as the standard of its students are subject to the quality assurance by both CUHK, Shenzhen and CUHK, and the majority of the University's quality assurance policies and practices have been adopted from those of CUHK.

This *Code of Practice RPS* sets out guidelines and references for research postgraduate studies, i.e., studies leading to the degrees of PhD and MPhil. It offers practical advice and provides guidance on procedures and good practice. The key target readers are Research Postgraduate (RPg) students, supervisors and personnel supporting research postgraduate studies.

The *Code of Practice* should be read in conjunction with:

- (a) General Regulations Governing Postgraduate Studies;
- (b) Guidelines and Procedures for Thesis Submission/Assessment for Research Postgraduate Programmes;
- (c) General Information for Thesis Preparation and Submission – A Guide for Research Postgraduate Students;
- (d) Other University regulations.

While the *Code of Practice RPS* provides guidance on studies at CUHK, Shenzhen, students and staff will find it useful to refer to circulars, notices, prescribed forms and notes for applicants, etc., for their day-to-day academic activities. Some of the documents are available at the Graduate School website <http://gs.cuhk.edu.cn/> or may be requested from the Graduate School.

The *Code of Practice RPS* is applicable to all current RPg students, unless otherwise specified, and is updated regularly. The latest version of the *Code of Practice RPS* can be found on the website of the Graduate School Office at <http://gs.cuhk.edu.cn/>. Students and personnel concerned should make themselves aware of any amendments and changes between issues.

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1. Roles of Stakeholders

(i) Stakeholders

The roles and relationships of various stakeholders in research postgraduate studies are described below.

A research postgraduate (RPg) *student* is one who has been admitted to a programme of studies to pursue a higher degree by research and has completed registration at the Graduate School. S/he must take timely actions to maintain the validity of his/her student status by observing relevant rules and regulations, achieving satisfactory academic performance and progress, and paying fees according to respective schedules.

An RPg student is expected to be a responsible member of the University community. S/he has the right to take full advantage of the teaching and learning facilities and supports provided by CUHK, Shenzhen, and the obligation to take ultimate responsibility for any of his/her academic output.

Each RPg student is assigned a *supervisor*. A *co-supervisor* can also be appointed for academic or administrative reasons. In the case of PhD students, a *supervisory committee* is also set up to guide the student in his/her study and research.

The supervisor is a member of the full-time academic staff of a specific discipline. Each Graduate Panel is structurally set up under a *School* or *Unit* concerned to take care of matters of postgraduate studies and its roles will be discussed in more details in a later section. The *Graduate Panel* co-ordinates the activities of graduate studies within the School or Unit, and considers and deals with the recommendations on the content of courses for the degree or degrees; and on the details of syllabuses. Some units may set up committees that are equivalent to Graduate Panels and name them differently. In the following, this document will use the noun Graduate Panel to represent all such equivalent units.

A *Thesis Assessment Committee* is set up for each RPg student. The Thesis Assessment Committee acts independently according to approved procedures and makes recommendation for award of degree and related matters.

The *Graduate School* co-ordinates all postgraduate studies leading to higher degrees and postgraduate diplomas/certificates. Hence, the Chair of a Graduate Panel reports to the Dean of the Graduate School and the Dean of the relevant School or Unit for operation of postgraduate studies under the Panel.

The Graduate School also provides administration support to the *Board of Graduate Studies* and *its sub-Committees*. The powers and duties of the Board of Graduate Studies are to (a) advise the Academic Board on all postgraduate programmes of studies; (b) co-ordinate the activities of the Graduate Panels; and (c) consider and deal with the recommendations of the various Graduate Panels on the content of courses and on the details of syllabuses.

The *Academic Board* has the control and regulation of (a) instruction, education and research; (b) the conduct of examinations for students; (c) the recommendation for the award of degrees by CUHK; (d) the approval for the award of other diplomas, certificates and distinctions by CUHK, Shenzhen.

Research postgraduate students are also supported by other units at CUHK, Shenzhen, such as the *Office of Student Affairs*.

The relationships and interactions between a student and his/her supervisor are of prime importance. Their roles and that of the Graduate Panel are described in more detail below.

(ii) Interaction between the Student and the Supervisor

While individuality of each student-supervisor relation should be fully respected, some general principles would be useful:

For the supervised student:

- (a) The responsibility of producing a quality thesis lies ultimately with the student, not the supervisor.
- (b) Since professors have to manage many other tasks simultaneously, it is advisable for a student to take the

initiative in establishing an effective and practical work plan with the supervisor. Normally, this implies requesting frequent meetings, providing timely and accurate updates on research progress, and seeking feedback and advice on a regular basis.

- (c) A good student-supervisor relation is based on mutual respect and trust. Thus, the academic judgment and supervisory recommendations of the supervisor should be respected. This guideline does not diminish critical reasoning and objectivity; in case of academic disagreement, frank and respectful communication is always the best course of action. If a student feels there is a serious and prolonged disagreement with the supervisor, he/she can bring the matter to the attention of the Graduate Panel Chair or School Dean /Unit Head for help in resolution.
- (d) A student should understand the norms and expectations pertaining to graduate studies and theses in the field, as communicated by his/her supervisor. The annual research progress report is set up for this important purpose. It is also important to know the role and responsibilities of a supervisor as well as its limitation. While a supervisor is expected to provide guidance and advice on research direction, no one can guarantee success in any meaningful research endeavor. While a supervisor is expected to offer help during the thesis writing process, there is no responsibility to edit or rewrite a thesis for a student. Therefore, it is the obligation of a student to submit a well-edited thesis for examination and there should be enough lead time before the deadline to allow for comments by the supervisor and further revision if necessary.

For the supervisor:

- (a) A research student is not the same as a research assistant, as education for the student is a primary goal.
- (b) It takes significant time to supervise a research student. Thus, there is a limit on how many students a supervisor may take up at one time. Co-supervisor(s) can offer additional support and input to the students and is encouraged. If a supervisor plans to take a leave of absence or expects to leave the institution upon retirement or end of contract, a co-supervisor must be appointed to ensure a smooth transition.
- (c) The student-supervisor relationship should be built on mutual respect and trust. The rights of the student should be fully recognized and protected; these include rights guaranteed under the applicable laws and regulations in relation to personal privacy, equal opportunities and non-discrimination.
- (d) A supervisor should only assign tasks to students that are directly related with their research in their studies. Under no circumstances should a student be asked to perform duties unrelated to CUHK, Shenzhen. Beware of conflict of interest issues.
- (e) A supervisor should communicate expectations clearly to the students, and review their progress frequently and provide timely feedback and advice. Unsatisfactory performance cases should be documented in detail; and the student(s) concerned should be given sufficient warnings to take necessary corrective actions.
- (f) As the closest staff member in contact, a supervisor can provide invaluable support to the student and enhance his/her educational experience at CUHK, Shenzhen, including helpful advice in adjustment to university life and early detection of problems. A graduating student could also benefit from the first-hand knowledge and connections afforded by the supervisor.

(iii) Graduate Panel

A Graduate Panel is set up for postgraduate studies in each School/Unit or each broad academic discipline. It comprises the Panel Chair and at least two other members to be nominated by the School Dean or Unit Head concerned. The composition of the Panel is endorsed by the Dean of the Graduate School, approved by Board of Graduate Studies, and reported to the Academic Board. Its responsibility, with respect to RPg programmes, is to endorse or decide on:

- course of studies to be offered;
- selection of applicants for admission;
- the research field for each student;
- appointment of advisor/supervisor for each student; and
- any other matters related to the Graduate Panel

Regarding the research field and supervision, the Graduate Panel acts as follows:

1. Each student indicates his/her intended field of studies within his/her programme at the time of

application.

2. The Graduate Panel assigns to each student an advisor at the time of admission. This advisor will provide academic guidance to the student before a supervisor for the student is appointed.
3. After admission, the student should approach the teacher of his/her preference (who may be his/her advisor) and seek the consent of that teacher to be his/her supervisor, and then submit a request to the Graduate Panel for the supervisor appointment. The final decision, however, rests with the Graduate Panel.
4. In the case of PhD students, the Graduate Panel will also set up for each student a Supervisory Committee at the time of the oral component of the candidacy examination for PhD candidacy. The supervisory committee, which will comprise the supervisor as its chairman, and one to two other teachers, will provide guidance for the study and research work of the student. Members of the Supervisory Committee will later become members of the Thesis Assessment Committee which will be formed to assess the student's thesis.

2. Basic Information on Programmes and Courses

2.1. Postgraduate Research Programmes

The Graduate School offers research programmes leading to the degrees of PhD and MPhil. All such degrees are only awarded by CUHK upon the endorsement of its Senate, based on recommendations made by the Academic Board of CUHK, Shenzhen, which recommendation is made upon the completion and its successful oral defense of a thesis by the students, in addition to other requirements that are prescribed.

New programmes may be proposed by Graduate Panels/Schools/Units or initiated by the Academic Board in accordance with the strategic development of CUHK, Shenzhen. Such initiatives may be driven by intellectual pursuits, international and societal developments, academic advancement, technological breakthrough or available resources. Graduate Panels may also propose changes to existing programmes/courses to refresh or revitalize them. The guidelines and procedures and a schedule for submission of programme proposals are available at <http://gs.cuhk.edu.cn>, and regular reminders are issued from time to time.

2.2. Types of Research Postgraduate Programmes

Two types of research postgraduate programmes, namely *MPhil programmes* and *Articulated MPhil-PhD Programmes*, are offered. Normally, Articulated MPhil-PhD Programmes are offered, allowing for exit either with a PhD or an MPhil. However, in disciplines where doctoral studies are not available, then standalone MPhil Programmes are offered.

Students seeking admission to an *MPhil-PhD programme* are required to indicate at the time of application the degree (MPhil or PhD) they wish to pursue.

2.3. Graduate Attributes of Research Postgraduate Programmes

CUHK, Shenzhen has clear expectations of its graduates. The research programmes aim to educate researchers to embark on careers that would allow them to become world leaders in their fields, working as university professors, principal investigators in research institutes, senior managers in enterprises, or experts in other professions related to the pursuit and application of knowledge.

Doctoral degree graduates are expected to have acquired in-depth knowledge in a number of major areas of an academic discipline while maintaining a broad understanding of other related fields. They should have accumulated enough educational experience and background learning to be capable of performing independent research to advance scholarship with global standards. In particular, they should have the ability to identify research trends and opportunities, venture into new research areas when appropriate, define long-term research objectives, formulate original research problems, and originate and develop solution methodologies. They should be capable of producing research output at a level that can either lead to publications in highly regarded scholastic venues, or to novel applications in relevant industrial, commercial, or other public sectors, or to other forms of useful knowledge transfer to society. They should have gained proficiency in techniques of knowledge dissemination through presentation and writing, and some teaching experiences through leading student tutorials and acting as teaching assistants.

Master's degree graduates are expected to have acquired advanced knowledge in major areas of an academic discipline while maintaining a broad understanding of other related fields. They should have gained enough background knowledge to enable them to perform research with minimal supervision. In particular, they should have the ability to formulate individual research tasks and to develop solution methodologies under minimal supervision. They should also be capable of producing original, innovative research output, some of which may lead to publication in well-respected scholastic venues. They should have gained proficiency in techniques of knowledge dissemination through presentation and writing.

For graduates at both doctoral and master's level, communication and language skills at a level appropriate to university graduates are expected already at the time of admission. In particular, fluent communication skills are expected in the language(s) essential to their research areas. In general, a high level of proficiency in English is expected as it is commonly regarded as the default international language for research. Ability in Chinese is normally expected and ability in other languages is encouraged. They are also expected to attain appropriate life-long self-learning skills and engage in life-long learning.

While whole-person development is not part of the formal education objective for most postgraduate programmes, graduates are expected to have already possessed attributes of first-degree holders from CUHK, Shenzhen or other leading universities, e.g., in domains such as honesty and integrity, in particular academic honesty, critical and independent thinking, cultivation of global perspective, desire to serve society, communication and language skills, and others.

2.4. Modes of Study

The mode of study of a student in a programme may be full-time or part-time. The requirements are specified in Chapter 5. Part-time students have to make their own arrangements to attend classes, which are normally scheduled in day time.

Application for change of study mode must be recommended by the Graduate Panel concerned and approved by the Dean of the Graduate School.

The remaining normative and maximum periods of study for both full-time students changing to part-time and part-time students changing to full-time are computed based on the principle that time spent in part-time studies counts as 2/3 of that for full-time studies.

2.5. Courses

A research postgraduate programme includes course requirements. Courses carry different number of units. Besides the thesis, all RPg students are required to complete the number of units of courses specified in the respective study schemes.

Courses are broadly divided into taught courses and research courses. A typical 3-unit taught course is made up of three contact class hours per week throughout a teaching term. For research courses, arrangements on duration, meeting frequency and venue are usually made between the student and his/her supervisor. The general rule is that each unit is regarded as equivalent to approximately 3 hours of study/ research per week.

It is expected that each taught course should have a Course Outline with expected learning outcomes (capabilities, knowledge, skills and values), as well as a broad (not necessarily exhaustive) specification of content, and the assessment scheme. The course outlines shall be approved by the relevant Graduate Panel and recorded in the Graduate School.

2.6. Course Code and Sequence

The course code comprises 3 letters of the alphabet and 4 numerals. The first 3 letters stand for the subject (e.g. BIO for Biology). The first numeral stands for the level of study. Courses at undergraduate level are coded 1000 to 4999, while those at postgraduate level are coded at 5000 or above. The definition for 5000 – 8000 level courses is detailed below:

5000	Postgraduate Diploma/Master's level or beginning doctoral level
6000	Advanced Master's level or beginning doctoral level
7000	Doctoral level
8000	Progression in thesis research and writing

Normally, lower level courses should be taken before upper level courses. However, for the sake of flexibility, most courses are open to students of all years of attendance subject to pre-requisite and co-requisite requirements, unless otherwise stipulated by the unit offering the course.

No double-coding of a single course is allowed except specifically approved by the Academic Board.

3. Admissions

3.1. Admission Process

Postgraduate admission is coordinated by the Graduate School Office. Applications from anywhere in the world are handled on the same basis. Successful applicants are normally admitted to either the Fall or Spring academic term. Applications for deferred admission (for one term or one year) will only be considered exceptionally by the Dean of Graduate School on the recommendation of the Graduate Panel concerned, on grounds such as illness or other unavoidable cause from taking up the study. Such applications should be made to the Graduate Panel Chair before the start of the relevant academic term. Each 6 months period is called a “term”.

3.2. Entrance Requirements

3.2.1. Minimum Requirements for Admission

The minimum requirements for admission are as follows:

- (a) For the Doctor of Philosophy stream under the “M.Phil.-Ph.D. Programmes”, the applicant shall have:
 - (i) a Master's degree from a recognized university; or
 - (ii) graduated from a recognized university and obtained a Bachelor's degree, normally with honours not lower than Second Class; or
 - (iii) graduated from an honours programme of a recognized university with a Bachelor's degree, normally achieving an average grade of not lower than “B”; or
 - (iv) completed a course of study in a tertiary educational institution and obtained professional or similar qualifications equivalent to an honours degree.

- (b) For the MPhil programme, the applicant shall have:
 - (i) graduated from a recognized university and obtained a Bachelor's degree, normally with honours not lower than Second Class; or
 - (ii) graduated from an honours programme of a recognized university with a Bachelor's degree, normally achieving an average grade of not lower than “B”; or
 - (iii) completed a course of study in a tertiary educational institution and obtained professional or similar qualifications equivalent to an honours degree.

- (c) In addition, the applicant shall have to meet the English language requirement prescribed by the Academic Board. Details are given in the latest year version of the Research Postgraduate Prospectus.

- (d) Applicants who apply on the strength of academic qualifications after completing programmes which are substantially different from 'traditional' curricula may be required to provide evidence or objective assessment from accreditation bodies for consideration.

- (e) The Dean of the Graduate School may on the recommendation of the Graduate Panel concerned grant special permission to a Student who does not meet the minimum requirements as stipulated above for admission to a programme. A report summarizing all the exceptional cases in the admission process should be submitted before October 20 of each year to the Academic Board.

3.2.2. Additional Requirements

Each School or Unit may set further requirements for its programmes, including a subject test or language test, and may also waive such additional requirements in particular cases.

3.2.3. Meeting the Entrance Requirements is No Guarantee of Admission

In any event, selection is subject to competition and a fit to the research directions offered by CUHK, Shenzhen.

3.3. Monitoring of Entrance Quality

To ensure quality, the entrance qualifications of RPg students should be closely monitored by each Panel and

statistics should be presented to the Academic Board after the conclusion of each admission cycle.

3.4. Re-instatement and Re-admission

- 3.4.1. A Student who has withdrawn from CUHK, Shenzhen for reasons other than academic ones may, under very special circumstances, apply in writing to the Dean of the Graduate School for reinstatement as a student. Such applications shall be considered by the School or Unit concerned and the Academic Board.
- 3.4.2. A Student who has withdrawn from a programme of study on grounds of academic failure shall not be considered for re-admission to the same programme unless permission is granted by the Academic Board on the recommendation of the School or Unit concerned. S/he may also apply to the Dean of the Graduate School for exemption from courses previously completed and/or shortening the period of study.

4. Registration / Residence Requirements / Leaves

4.1. Orientation

At the start of each academic year the University (including Schools/ Units and Colleges) arranges an orientation programme for new postgraduate students. The programme includes topics on academic matters as well as campus life.

New students are strongly advised to participate in the programme to get acquainted with studies and life at CUHK, Shenzhen.

4.2. Student Registration

4.2.1. An applicant who has been offered the admission to an approved course of study shall pay the fees and register by the respective deadlines. Anyone who fails to pay fees and register after the deadline shall be considered to have declined the offer.

4.2.2. An applicant who has been offered the admission but wishes to defer registration should submit an application on a prescribed form before the start of the relevant academic term to the Chair of the Graduate Panel concerned for endorsement and Dean of the Graduate School for approval.

4.2.3. An applicant who has been offered the admission but is prevented by illness or other unavoidable cause from registering for an academic year or a teaching term shall submit an application for deferred admission for a period not exceeding one year for approval by the Dean of the Graduate School. Such an application shall be made before the specified dates for registration. Application for deferred admission on medical grounds must be accompanied by a certificate signed by a registered medical practitioner.

4.2.4. A Student admitted to and registered at CUHK, Shenzhen will be registered also as an external student of CUHK. The terms of condition of this category are decided by the Senate of CUHK, subject to satisfying any CUHK requirements. For the avoidance of doubt, such a Student will only be granted access to such courses, facilities and resources at CUHK as may be stipulated by CUHK from time to time in separate regulations, or communicated in writing to the individual Student.

4.2.5. Save as provided for in Paragraph 4.2.4, a Student shall not be registered simultaneously for another course of study or research leading to the award of a degree, diploma or certificate at CUHK, Shenzhen or CUHK or any other tertiary institution unless an application has been submitted in advance to, and endorsed by, the School or Unit concerned and approved by the Academic Board. A Student in breach of this regulation shall be required to discontinue studies.

4.2.6. A Student shall register in the name which appears in his/her PRC Identity Card, passport or other approved travel document. Only under very special circumstances may a Student who has been recommended by the Academic Board for graduation or has withdrawn from the CUHK, Shenzhen apply for change of his/her registered particulars. Such an application shall be made in writing with justification for approval by the Vice-President (Academic).

4.3. Course Selection / Withdrawal / Additions

4.3.1. A student should take at least one course in each term, unless otherwise stated in the study scheme or approved by the Dean of the School or Unit Head concerned. Returning students who have already submitted their theses do not need to select any course.

4.3.2. The schedules and procedure for course selection and course add/drop are posted on the Homepage of the Graduate School; in particular, students should note 'Preparation for the new academic year'. Students who wish to register for course(s) outside their own study schemes should complete the prescribed form and obtain approval from their supervisors and the Schools or Units which offer the courses. All relevant reference materials, such as the study schemes and teaching timetables, are available at the Homepage of the corresponding Programmes.

4.3.3. A Student who wishes to apply for withdrawal or addition of course/s after the add/drop period of the

teaching term shall complete an application form available at the Graduate School Office. A student cannot withdraw from a course unless his/her application for withdrawal is approved. Any student who ceases to take a course without approval will be regarded as still being enrolled in the course and be graded accordingly at the end of term.

4.3.4. Students will be able to check their own course register during and after the course selection period at the Graduate School Office. However, the course register will be tentative until the Graduate Panel's approval has been given after the add/drop period. Selection of courses with limited quota is subject to confirmation from the offering unit. Hence, students should check their course register before attending classes.

4.3.5. Courses listed in the websites of Programmes are offered subject to the availability of resources each year and according to the decision of the respective Graduate Panel. Students should refer to the 'Postgraduate Teaching Time-table' at the website of corresponding Programme for information of course offerings in the current academic year.

4.3.6. A Student receiving a failure grade in a required course must repeat the course or take an approved substitute course.

4.4. Residence Requirements

4.4.1. Definition of Residence

- (a) A student is classified as being in residence if s/he is attending courses as prescribed by his/her programme and receiving supervision on a regular basis.
- (b) A student who is in Shenzhen except for absences not exceeding three weeks continuously and not exceeding one month aggregate in an academic year is deemed to be receiving regular supervision, and provided s/he is also attending courses, if required, is regarded as in residence.
- (c) A student who is not in Shenzhen is normally deemed to be not receiving supervision, and is regarded as not being in residence. In cases where the student would nevertheless receive adequate supervision on a regular basis while away from Shenzhen, or where the absence from Shenzhen is related to an academic purpose, an application for regarding the period in question as being in residence should be endorsed by the supervisor and submitted to the Graduate Panel Chair concerned at least three weeks before the intended absence, for approval by the Dean of the Graduate School.
- (d) A student may also be regarded as being in residence while away from Shenzhen if the programme of studies approved by the Board of Graduate Studies and the Academic Board so provides.

4.4.2. Residence Requirements

- (a) The residence requirement is two (2) years for PhD students and one (1) year for MPhil students.
- (b) Residence requirements may be waived for part-time Students for up to six months in any academic year, upon the written approval of the Supervisor and the Chair of the Graduate Panel concerned.
- (c) Except for periods of approved leave, and except as provided in Paragraph 4.4.2 (b), all Students are required to be in residence during their period of study.

4.5. Normative and Maximum Study Periods

4.5.1. The *Normative Study Period* is the normally expected period of time for a student to complete his/her degree counting from the date of first registration. Students are not expected to graduate before the end of the **Normative Study Period**. Exceptions require approval of the Board of Graduate Studies and reported to the Academic Board and CUHK Senate. Each programme may propose its own normative study period. In programmes with multiple options, the normative period should be set as the minimum expected completion time among the options. The periods proposed by programmes require approval of the Board of Graduate Studies and reported to the Academic Board and CUHK Senate. Time spent in part-time studies counts as 2/3 of that for full-time studies for both Normative Study Period and Maximum Study Period. Suggestions of normative study periods and maximum study periods for some programmes are given in the table below.

Degree	Study Mode	Normative Period	Maximum Period
Ph.D. (under “M.Phil. – Ph.D. programmes”)			
i. For students with a research master’s degree*	Full-time	48 months	72 months
ii. For students without a research master’s degree	Full-time	60 months	84 months
M.Phil. (under “M.Phil. – Ph.D. programmes”)	Full-time	24 months	48 months

* CUHK, Shenzhen has the absolute authority to decide whether the degree possessed by the student is a research master’s degree or not, such decision to be communicated through the letters of admission.

4.5.2. A Student shall complete all requirements for graduation within the maximum study period, which shall include any periods of leave of absence and suspension of studies but exclude any periods of compulsory military services required by the Student’s nation. A Student who has not completed all requirements for graduation within the maximum period of study shall be required to discontinue studies at CUHK, Shenzhen. However, in special cases, the Board of Graduate Studies may on the recommendation of the School or Unit concerned grant a Student extension beyond the maximum period of study.

4.5.3. The normative and maximum study periods of part-time students are prorated on the basis that each month of part-time study is counted as 2/3 months on a full-time-equivalent.

4.6. Shortening of Normative Study Period

A Student who wishes to graduate before the end of normative study period of his/her respective programme may, according to the prescribed procedures, apply to the Graduate Panel concerned for shortening of his/her period of study subject to the minimum of 12 months for Master’s programmes and 24 months for doctoral programmes. The application must be made at least 2 months before the student submits his/her thesis and should be within the following framework:

- (a) The Graduate Panels concerned endorse such applications.
- (b) The student will have completed all programme requirements.
- (c) The student will have his/her thesis passed without the need for major revision.

For students who are receiving financial assistance, the award period will be shortened according to the new study end date. However, all TA duties must be completed until the completion of the academic term, including all grading and submission of marks; in such cases the financial assistance will also continue to the end of the term.

A student who is approved to shorten the normative study period should settle the full tuition fee of the 6-month term that s/he has partially attended.

4.7. Programme Change

Students who wish to change from one programme to another should first apply for admission to the programmes they wish to take up and, upon receiving a provisional offer, withdraw from their original programmes and then register for the new programme, following the separate procedures for admission and withdrawal.

4.8. Leave of Absence and Tuition Fee Transfer

4.8.1. A Student who has been absent for any period shall be responsible for applying to the teaching staff concerned for permission to make up for any required work missed.

4.8.2. In case of illness necessitating absence exceeding three weeks, a Student shall submit an application together with a medical certificate signed by a qualified medical practitioner to obtain endorsement

from the Graduate Panel concerned and permission from the Dean of the Graduate School.

- 4.8.3. A Student who wishes to apply for a leave of absence for more than three weeks for non-medical reasons shall obtain prior permission from the Dean of the Graduate School if the leave of absence is less than six months, or Board of Graduate Studies if the leave of absence is equal to or more than six months. Such an application shall state the reasons for which leave of absence is sought and shall require the endorsement of the Chair of the Graduate Panel concerned.

Applications for leave of absence for non-medical reasons are handled/summarized as follows:

Leave of absence	Approval procedures
(a) Leave for less than 3 weeks	Graduate Panel Chair to approve
(b) Leave for 3 weeks to 6 months	1. Graduate Panel Chair to endorse 2. Dean of the GS to approve
(c) Leave for more than 6 months (including 6 months)	1. Graduate Panel Chair to endorse 2. Board of Graduate Studies to approve

- 4.8.4. Notwithstanding Paragraph 4.8.2 and 4.8.3 above, full-time research postgraduate Students who hold Postgraduate Scholarships should also apply to the Chair of the Graduate Panel concerned and Dean of the Graduate School for any period of leave.
- 4.8.5. Leave of absence is limited to a maximum of one year in the first instance, and any extension is limited to a maximum of one more year, beyond which no further extension will be granted, except for compulsory military service. However, in special cases, the Board of Graduate Studies may on the recommendation of the School or Unit concerned grant a student extension of leave beyond the period stated above.
- 4.8.6. A Student who has been absent without approved leave of absence, or who is in breach of the residence requirements, for a continuous period exceeding one month shall be considered as having withdrawn from studies at CUHK, Shenzhen.
- 4.8.7. A Student shall be required to take leave of absence if the condition of his/her health is considered by CUHK, Shenzhen as constituting a definite hazard to the University community. At the end of the prescribed period of absence, the Student shall obtain a certificate of good health signed by a qualified medical practitioner before s/he can apply to resume studies.
- 4.8.8. A student taking a leave of absence equal or longer than six months may apply to have a tuition waiver. The waiver is calculated as (number of leave days/365 x full year tuition). Any surplus tuition paid before the commencement of the leave may be applied towards the tuition due after the leave ends. Such request must be endorsed by the relevant Graduate Panel, Dean of the Graduate School and approved by the Executive Board of CUHK, Shenzhen.

4.9. Student Visa

Overseas students must obtain a student visa to study in CUHK, Shenzhen.

4.10. Employment

All full-time RPG students are not allowed to take up any full-time employment, paid or unpaid, except with prior permission of the Programme Director, School Graduate Panel and School Dean, and with the final approval of Dean of the Graduate School. Recipients of Teaching Assistantship, Research Assistantship and Presidential Fellowship shall not take up full-time or part-time employment, except with prior permission of the Programme Director, School Graduate Panel and School Dean, and with the final approval of Dean of the Graduate School. These students are not employees of CUHK, Shenzhen.

Overseas students who wish to take up an employment should make sure their employment does not violate

any conditions attached to the grant of their student visa.

5. Progress towards Graduation

5.1. Graduation Requirements

Some graduation requirements apply to all RPg students while others are specific to individual programmes or individual students. Different types of graduation requirements are outlined in the following sections, and students should refer to the Course Lists, Course Descriptions and Study Scheme of their own programmes in their programme websites for the specific requirements. Besides, each RPg student should put down all requirements in his/her Research Progress Report together with the supervisor for periodic follow-up.

5.2. Course Requirements

The course requirements list the required courses and elective courses, if applicable, of the programme. Taught courses (i.e., excluding courses labeled as 'research', 'thesis research', 'thesis preparation', etc.) are to enhance the knowledge in the subject and in research. The general requirement is as follows:

- (a) not less than 18 units of taught courses for research Master's;
- (b) not less than 27 units of taught courses for research doctoral students.

Each School should set up and run the course of Academic Writing and Presentation (GGE 5001) as a required or elective course, as determined by individual programmes, with two units.

Students must achieve Grade C or above in all required courses.

In addition to taught courses, each student's progress in research is monitored through courses called 'Thesis Research'. The number of units of research courses per term should not be less than the following requirement. Each unit is regarded as equivalent to approximately 3 hours of study/research per week by the student.

Status	Full-time	Part-time
MPhil	6	3
PhD (pre-candidacy)	6	3
PhD (candidate)	12	6

Furthermore, students will be required to attend research seminars given by faculty members/invited guests, as well as workshops on research ethics, academic honesty, etc. GGE 5001 can be used to fulfil taught course requirements for RPg students.

5.3. Postgraduate Students Taking Undergraduate Courses and Undergraduate Students Taking Postgraduate Courses

Postgraduate programmes cannot include undergraduate courses in the programme requirements unless exceptional approval is given by the Academic Board at the time of programme approval.

However, postgraduate students may be allowed to enroll for undergraduate courses (4000 level or below) in the following situations:

- (a) Taking undergraduate courses as make-up requirements

A student with a first degree in subject A admitted to a postgraduate degree programme in subject B may have to make up some undergraduate courses in subject B.

- (b) Taking undergraduate courses which are not required

Postgraduate students may take other undergraduate courses, typically in a different subject, purely for broadening and interest, or to develop other skills (e.g., language, including a third language).

As taking undergraduate courses may impose additional pressure on the overall workload, postgraduate students who wish to take undergraduate courses should first consult their supervisors.

Undergraduate students are allowed to take graduate courses offered under MPhil-PhD programmes for credit if (a) they are Year 3 or above, their cumulative GPA is 3.00 or above and the application is approved by the course offering unit; or (b) by special approval of the Dean of the Graduate School, following recommendation of student's major School and the course offering unit.

Notwithstanding the above, undergraduate students are allowed to take graduate courses for credit if stipulated in exchange agreements approved by the Academic Board.

If an undergraduate student who has taken graduate courses at CUHK, Shenzhen enrolls in a postgraduate Programme at CUHK, Shenzhen, s/he will be exempted from such course(s), and be granted the corresponding credit transfer, provided that the course(s) has not been credited towards the undergraduate degree*. In case the course(s) has been credited towards the undergraduate degree, the student will be exempted from the course(s) but not be granted credit transfer.

*The student would still satisfy undergraduate degree requirements if this course is discounted.

5.4. Research Thesis and Oral Defense

All RPg students are required to submit a research thesis and have a successful oral defence of the thesis for graduation. The schedule, procedures, and assessment of the research thesis and oral defence are described in detail in Chapter 7.

5.5. Candidature for Doctoral Degree

5.5.1. There are two stages of PhD study: the pre-candidacy stage and the candidacy stage. No student will be admitted directly as a PhD student in candidacy stage; such a status can only be gained by a pre-candidacy PhD student upon satisfying all the Candidacy Requirements. Only a PhD candidate (i.e. PhD student in the candidacy stage) can submit a thesis and be examined.

5.5.2. The candidacy requirements are spelt out by each Graduate Panel, with the requirements and procedures recorded at the Graduate School and made known to all pre-candidacy PhD students. No PhD student shall proceed to the candidacy stage until s/he has fulfilled all components of the requirements. The requirements include at least the following components:

- (a) study of a language other than Chinese and English where deemed necessary by the Graduate Panel concerned;
- (b) course requirements;
- (c) candidacy examination; and
- (d) thesis proposal and defense of proposal.

The candidacy requirement must be passed within the time limit as tabulated below, counting from first entry to the articulated programme, unless stated otherwise in the Programme specifications. For this purpose, periods of part-time studies will be counted as 2/3 of full-time studies. Students who fail to pass all the candidacy requirements within the time limit shall be discontinued.

Degree	Full-time studies
PhD (entering with a research master's degree)	24 months
PhD (entering without a research master's degree)	36 months

However, in special cases, the Board of Graduate Studies may on the recommendation of the School or Unit concerned grant a Student extension beyond the above periods.

5.5.3. Transfer of Candidature

A Student admitted under the "M.Phil.-Ph.D. programmes" may be permitted to transfer between M.Phil. and Ph.D. (pre-candidacy) on the recommendation of the Graduate Panel concerned. After gaining candidacy, transfer from the Ph.D. to M.Phil. status may be permitted exceptionally, on the recommendation of the School or Unit concerned and with the approval of the Board of Graduate Studies.

5.6. Candidacy Examination for the Ph.D. Degree

The candidacy examination contains a written component of one or more papers, and an oral examination.

- (a) The written examination covers the basic disciplinary knowledge expected of a PhD student. The subject coverage is not specific to each student, but is the same for a broad subject category within each discipline. The Graduate Panel may specify that certain papers can be replaced by passing relevant courses at specified grades. The written examination will be offered at least once a year, and will be managed by an Examination Committee set up by the Graduate Panel. This Committee will be responsible for the setting of papers, marking, and decision on Pass/Fail. The supervisor of any particular student shall not be involved in the decision on Pass/Fail. Each student is allowed only two attempts.
- (b) There shall in addition be an oral examination, which (i) will include the presentation and defence of a thesis proposal, that is required to be written in at least 3,000 words in English or 4,500 characters in Chinese (as dictated by the nature and requirement of the programme), with reference not included, and monitored by Graduate Panel, and (ii) may additionally include questions on general topics similar to the written examination but conducted in an oral format. The oral examination should normally be taken within six months of passing the written examination, but in any case, as one part of the candidacy examination, must be passed within the time limit specified in Section 5.5. The panel for the oral examination shall be appointed by the Graduate Panel, and shall include the (intended) supervisor and the (intended) supervisory committee.

5.7. Improving Postgraduate Learning (IPL)

While there is no universally accepted approach for teaching students to conduct original research, some basic principles, methodologies and skills are generally useful. Many of these are imparted by the students' supervisors as they work together. However, some skills are cross-disciplinary in nature and can be taught in a more formal or systematic manner, e.g., laboratory safety, searching for and analyzing information, principles and ethics in documentation, presentation skills. These courses are collectively referred to as the Improving Postgraduate Learning (IPL) programme and are organized and administered centrally.

Most IPL short courses are optional. However, RPg students are strongly advised to take every module that has potential relevance to their research. Different programmes may require students to complete specific IPL modules, such as 'General Safety' or other required laboratory safety courses, depending on the nature of the research project. Students should consult their Graduate Panels or supervisors for details.

5.8. Minimum Cumulative GPA

Students must obtain a cumulative GPA of 2.0 or above in order to graduate. Programmes may require a higher minimum GPA.

5.9. Other Requirements

Graduate Panels may prescribe additional graduation requirements for students of their particular field of research, such as:

- Language requirement, e.g. knowledge of spoken and written Chinese may be required for some courses.
- Other requirements for individual students considered appropriate by the Graduate Panels or the supervisors, depending on the academic progress of the students.

5.10. Course and Unit Exemptions

Students who have completed comparable courses may apply for exemption from some courses and/or units by taking the following actions:

- (a) Check their eligibility by reading the *Policy on Course and Unit Exemption for Postgraduate Students* available on the website of the Graduate School.
- (b) Consult the Graduate Panel concerned on the possibility of granting course and unit exemption.

- (c) Complete and submit the prescribed application form to the Graduate Panel together with any required supporting document. The application should be approved by the Dean of the Graduate School after the endorsement of the Panel Chair.
- (d) For RPg students, the total number of units that can be exempted may not exceed one third of the number required for lecture courses for their degrees.

5.11. Research Progress Report

In order to improve supervision, ensure timely progress and encourage broader training, the Graduate School requires that each RPg student, together with his/her supervisor (or adviser assigned by the Graduate Panel) to complete a periodic research progress report form.

The report form is divided into two parts: the first deals with the requirement of the whole programme and only need to be completed once in the entire period of study; the second is an annual account on the courses/other requirements to be completed by the student.

The report form should be submitted to the Graduate Panel for review/record and feedback, if appropriate.

At the end of each academic year, supervisors will make arrangements with each RPg student to record the progress of the student's academic activities and fulfillment of each programme requirement against the study plan. Students are also able to read the comments put down by their supervisors and provide their feedback. On the other hand, supervisors must ensure that the student fulfills the requirements of all coursework, the candidacy requirements (in the case of doctoral studies) and any other requirements for graduation.

5.12. School/Unit Duties and Teaching Assistant

As a condition of the Postgraduate Scholarship award, RPg students shall carry out assignments relating to teaching and research as part of the training of the postgraduate studies. Teaching duties should normally not exceed 20 hours per week on average, as prescribed by the School Dean or Unit Head.

Undertaking undergraduate teaching during the study period is one of the common school or unit duties which is also regarded by both the RPg students and the Graduate Panels as part of the students' education.

5.13. Language Policy

CUHK, Shenzhen is a bilingual (Chinese and English) university. It has three goals related to language proficiency at the postgraduate level:

- (a) At the time of admission, ensure a proper alignment of the language proficiency of students in a postgraduate programme with the language(s) of instruction within the programme.
- (b) After admission, ensure that postgraduate students have the opportunity to improve their language proficiency as is relevant to the postgraduate programmes in which they are enrolled.
- (c) Provide postgraduate students, especially those admitted with no prior exposure to the Chinese language and Chinese culture, opportunities to acquire such exposure before graduation.

Currently, there is a university-wide English language proficiency requirement for admission into postgraduate programmes. In addition, the existing policy requires each Graduate Panel to adopt either of the following two arrangements:

- (a) offer all relevant postgraduate courses in English;
- (b) offer all relevant postgraduate courses in English and/or Chinese (Putonghua as spoken version);

Graduate Panels opting for (b) may accept overseas students who have demonstrated ability in Chinese and to follow lectures in Putonghua.

CUHK, Shenzhen deems it desirable that students who are not native speakers of Chinese, at least doctoral students who will spend three years or more at the University, have some such exposure while they are attending the University. They will be encouraged to take at least one course in Chinese language and culture, though this will not be regarded as a degree requirement.

In addition, postgraduate students may have other language needs: improving proficiency in Chinese (Putonghua) and/or English for academic, professional or other purposes; proficiency in a certain language or acquaintance with a third language for broadening purposes, as required or recommended by particular programmes. CUHK, Shenzhen will continue to ensure that appropriate language courses are offered through the relevant units.

6. Assessment and Examination for Taught Courses of RPG Programmes

6.1. Assessment of Academic Performance

All taught courses in the Research Postgraduate Programmes use the Outcome Based Approach (OBA) to assess academic performance of students. Refer to the document “*Extracted Policy on Assessment of Student Learning in Taught Programmes*” for details.

6.2 Course Grades

A Student shall be assessed in every course for which s/he has registered on the basis of his/her performance in the course on the criteria as prescribed by the programme concerned.

CUHK, Shenzhen adopts the 4-point letter scale for grading student performance. Course grades, their standards and converted points are as follows:

Grade and Standard	Sub-division (if needed)	Converted Points
A Excellent	A	4.0
A- Very Good	A-	3.7
B Good	B+	3.3
	B	3.0
	B-	2.7
C Fair	C+	2.3
	C	2.0
	C-	1.7
D Pass	D+	1.3
	D	1.0
F Failure	F	0.0
P Ungraded Pass	Not counted in the calculation of the grade point average (GPA)	
U Failure		

'P'/'U' grades are for specified courses approved by the Academic Board to adopt a pass/fail grading basis where other grades are not applicable. On the other hand, a student who is taking a course purely for interests or broadening purposes (i.e. the course is not a programme requirement) may apply, before the end of the add/drop period, to the Graduate School Office to have the result he/she will obtain in that course reported in 'P'/'U' grade in his/her academic record.

Students are not allowed to retake courses which they have taken and passed. However, if a student fails to fulfil the course requirement with the grade he/she has obtained in the passed course (e.g. if the student obtains Grade D but the requirement is Grade C or above), he/she will be allowed to retake the course concerned. The units of courses repeated/re-taken will count only once in the total units gained by the student, and the result of the latest attempt will be used to calculate the cumulative GPA.

The Grade Point Average (GPA) of a student's course work is

$$\text{GPA} = \frac{\sum \text{units} \times \text{converted points}}{\sum \text{units}}$$

for courses taken inclusive of courses failed but exclusive of courses adopting a pass/fail grading basis.

A student who has gained a grade of 'C' or above or 'P' in a course will earn the unit(s) of that course.

6.3. Examination Administration

Course examinations for postgraduate courses are administered by the Graduate Panels concerned.

Students who are unable to sit for any examination due to illness or other compelling reasons should apply in writing with documentary evidence to the Graduate School at the earliest possible instance but not later than five working days after the examination. The Graduate School will determine in consultation with the Graduate Panel concerned what follow-up action is required. Application for such absence for medical reasons shall be accompanied by a medical certificate signed by a qualified and registered medical practitioner. A student who is absent from any examination without permission will be given a failure grade in that examination. No supplementary examination is allowed for students failing an examination. However, under special circumstances, the Board of Graduate Studies may on the recommendation of the Graduate Panel concerned approve exceptional assessment arrangements.

There are rules to be observed by candidates at examinations. For more information, please refer to the website of the Graduate School and additional/specific rules to be prescribed by the Graduate Panels/course teachers. A student who violates any of the rules regarding examinations shall be disciplined in accordance with the nature and gravity of the offence.

6.4. Unsatisfactory Performance

- 6.4.1. A Student shall be put on academic probation if s/he has obtained a cumulative grade point average (GPA) below 2.0 in the preceding term, unless Paragraph 6.4.4 or Paragraph 6.4.5 applies.
- 6.4.2. A research postgraduate Student shall be put on academic probation upon receiving a failure grade in a thesis monitoring course unless Paragraph 6.4.4 or Paragraph 6.4.5 applies. S/he may be barred from performing teaching or other duties carrying scholarships as recommended by the Graduate Panel concerned. The Graduate Panel may also recommend suspending the Student's scholarship.
- 6.4.3. A Student on academic probation shall be reviewed by the Graduate Panel concerned at the end of the term in which s/he is put on probation, at which time if s/he has obtained a cumulative GPA of 2.0 or above, or attained satisfactory progress for thesis monitoring course, probation shall be lifted; otherwise probation shall continue to apply in his/her next term of attendance unless s/he is required to discontinue studies as prescribed by Paragraph 6.4.4 or Paragraph 6.4.5.
- 6.4.4. Unless the Academic Board decides otherwise, a Student shall be required to discontinue studies at CUHK, Shenzhen if:
 - (a) The cumulative grade point average is 1.0 or below, or
 - (b) The Student fails to have probation lifted after being put on academic probation for two consecutive terms of attendance, or
 - (c) Additional requirements laid down for the programme by the Graduate Panel concerned are not satisfied.
- 6.4.5. If at any time the Supervisor is of the opinion that a research postgraduate Student is not making satisfactory progress or is unlikely to attain the standard required for the degree, and the assessment is endorsed by the School or Unit concerned and by the Board of Graduate Studies, the Student shall be required to discontinue studies at CUHK, Shenzhen or may be advised to transfer to a course of study for a research Master's degree in the case of research doctoral Students.
- 6.4.6. A research Student who fails to submit the final version of thesis within one year from the date as specified by the Thesis Assessment Committee shall be required to discontinue studies, unless special approval is granted by the Board of Graduate Studies.
- 6.4.7. A Student who receives a failure grade with no allowance for re-submission of thesis shall be required to discontinue studies.

7. Thesis

7.1. Preparation for Research and Thesis Writing; Language of Thesis

The main output of an RPg student to be assessed for graduation is the thesis. In fact, the eligibility of a student for the award of degree is assessed by the Thesis Assessment Committee on the basis of:

- (a) the thesis,
- (b) an oral examination, and
- (c) if required, a written examination

In an attempt to collect and distribute key learning and research materials to RPg students, the Graduate School has obtained permission from CUHK to adopt the latter's document *Research and Thesis Writing*, which focuses on the structure of a thesis and provides advice on the areas of research and thesis writing that students have most difficulty with completing satisfactorily. The document is the output of team efforts of various departments at CUHK, and comprises six chapters:

- Chapter1: Beginning research – particularly how to select a research topic and work with a supervisor
- Chapter2: Effective use of information – guides students through searching for research information online and helps them develop skills and techniques for using library resources
- Chapter3: Structuring a thesis – outlines the main components of the structure of an academic thesis
- Chapter4: Writing a thesis – focuses on the actual writing of a thesis
- Chapter5: Proofreading – focuses on proofreading and suggests a number of ways of checking for inconsistency in thesis content and structure at micro and macro levels
- Chapter6: Guide to thesis formatting – contains information about the requirements for formatting a thesis, based on the regulations of the Graduate School

RPg students are advised to read the document carefully before they formulate their research plan. It is accessible via the Homepage of the Graduate School.

Unless specified by the programme and approved by the Board of Graduate Studies, the language of the thesis is English.

7.2. Research Ethics

CUHK, Shenzhen has an established policy on research ethics which applies to all researchers including students. Please refer to the Policy on *Copyright, Academic Integrity, and Interim Measures for the Administration of the Commercialization of Scientific and Technological Achievements*.

7.3. Procedures

Procedures of tasks relating to submission of the thesis are summarized in the following table. Each task will be discussed in more details in the sections to follow.

Event/Time	Tasks of students	Tasks of Graduate Panels
Declaration of intention to submit thesis – four months before actual submission	Complete and submit Form AS-1 with 1-2 pages summary/abstract of thesis	Supervisor and Graduate Panel Chair to approve proposed date for thesis submission and proposed thesis title. Graduate Panel to forward signed Form TAS-1 to Graduate School (GS)
Formation of Thesis Assessment Committee		Graduate Panel to submit nominations of Thesis Committee members, including the External Thesis Committee Examiner, to the GS, within one month after the student submits TAS-1 to s/he supervisor. (GS approves the nominations except that of External Thesis Committee Examiner which

		will be forwarded to the Board of Graduate Studies for approval and CUHK Senate/Council for record.)
Change of thesis title – after approval of thesis title	Complete and submit Form TAS-2 to Graduate Panel for approval	Supervisor and Graduate Panel Chair to approve and forward signed Form TAS-2 to GS. Where the change in thesis title necessitates a change of Thesis Assessment Committee members (including the External Thesis Committee Examiner), the procedure for Formation of Thesis Assessment Committee will be followed/repeated
Deferment of Thesis Submission – Delay in submission of thesis beyond the original proposed date	Complete and submit Form TAS-3 to Graduate Panel for approval	Supervisor and Graduate Panel Chair to approve the application and forward signed Form TAS-3 to GS
Submission of Thesis – according to the proposed date of thesis submission	Submit to GS: <ul style="list-style-type: none"> - a copy of thesis - an abstract of thesis in both Chinese and English - completed Forms TAS-4, TAS-5 and TAS-6 (TAS-6A and 6B if applicable) Submit to Graduate Panel: <ul style="list-style-type: none"> - copies of thesis (for committee members) 	Graduate Panel to distribute thesis and Form TAD-3 (Thesis Assessment Report) to committee members
Oral Defence of Thesis – after submission of thesis to Graduate Panel & GS	Attend an oral defence	Graduate Panel to arrange oral defence within two months for both doctoral and master's after thesis submission.
Assessment Reports – after oral defence		Chair of the Thesis Assessment Committee to collect TAD-3 from all committee members and complete Form TAD-5
Assessment Results – available upon completion of assessment process	<ul style="list-style-type: none"> - may check progress from GS - act according to instruction of Graduate Panel/GS (For follow-up actions on different final grades, please refer to the relevant sections below.)	Graduate Panel Chair to: <ul style="list-style-type: none"> - complete and return Forms TAD-5 (completed by Chair of the Thesis Assessment Committee), TAD-6, TAD-7 to GS with a copy of the TAD-3 reports from all committee members - copy the above forms to supervisor - copy Form TAD-6 (with Part A of TAD-3) to student for information and follow up action - provide justification to GS for case of Grade IV listed in 7.9 <u>Supervisor</u> to give advice to student, if applicable

7.4. Thesis Proposal and its Defence

The thesis proposal and its oral defence can take different forms according to the traditions of different disciplines. In the humanities and social sciences, the requirement may consist of the submission of a written

thesis proposal (which will include a description of the research methodology, possibly with pilot data), and a presentation followed by an opportunity to be orally examined by a panel. In the sciences, the requirement takes the form of an oral presentation of the research planned and undertaken. Graduate Panels may also decide that the submission or acceptance of a journal paper, conference paper or even preprint would satisfy this requirement.

7.5. Declaration of Intention to Submit Thesis

Students have to declare their intention to submit the thesis four months before actual submission, by completing and returning the 'Declaration Form on Intention to Submit Thesis' (Form TAS-1) to the Graduate Panel concerned. The form includes the proposed date of submission and the thesis title (with 1-2 pages of summary/abstract of thesis), for approval by the supervisor and the Chair of Graduate Panel.

A PhD student (pre-candidacy) cannot submit a thesis. S/he must first become a PhD candidate before s/he can do so. No students will be allowed to submit theses during leaves of absence.

7.6. Submission of Thesis

Each thesis should be submitted in the form of a softcopy through VeriGuide, and in the form of hardcopies (bound in a temporary form) together with a signed 'Declaration Statement' downloaded from VeriGuide to the Thesis Assessment Committee Chairman, the supervisor and the Graduate School Office according to the proposed schedule, unless permission to defer has been obtained. After reviewing the student's thesis and the originality report generated from VeriGuide, the Thesis Assessment Committee Chairman notifies the Graduate School Office and the Graduate Panel if the thesis can be sent to the external thesis committee examiner for assessment. However, if the supervisor finds that the thesis is not suitable for submission, s/he will request the Thesis Assessment Committee chairman to forward the thesis to the internal examiners for a decision before the thesis is sent to the external thesis committee examiner. If there is any disagreement among the internal examiners, the case will be referred to the Chair of the Graduate Panel.

It is advisable to note the following before a student submits his/her thesis:

- (a) Timing - With effect from the 2021-22 academic year, the University will have three degree-conferment-dates in each year, i.e. 31 March, 31 July, and 15 October.

Students are required to submit the final thesis before the deadline as stipulated below in order to have their graduation included in the degree conferment date concerned. Students who submit the final version of their thesis before 15 August will normally have the degree conferred in the same year.

Degree Conferment Date	31 March	31 July	15 October
Deadline for final thesis submission to GS	15 February	15 June	15 August

- (b) Formatting – there are specific requirements for thesis formatting such as order of contents, margins, paper size, citation styles, etc. For details, please refer to *Research and Thesis Writing* available at the Graduate School's website (Students). Illustrations, samples and templates are given there.
- (c) Number of hardcopies

Each Thesis Assessment Committee members should receive a copy of working thesis including subsequent revisions. Before graduation, a student should prepare ten copies of the final version for distribution to thesis advisor(s), relevant School or Unit, the Graduate School, the CUHK, Shenzhen Library, etc.

- (a) Required Documents and Fees

The thesis must be submitted together with completed forms and required fees (if any).

- (b) Students should not contact the External Thesis Committee Examiner(s) on matters related to their thesis examination.
- (c) The forms TAS-1 and TAD-1A/TAD-1C should be approved by the Panel and forwarded to the Graduate School four months before actual submission of thesis.

7.7. Thesis Assessment Committee

Upon approval of the thesis title and the proposed date for submission, the Graduate Panel will proceed to nominate members of the Thesis Assessment Committee to evaluate the student's thesis for award of the degree sought and provide the student with an opportunity to defend the thesis. The composition of the Committee is as follows:

- (a) At least three internal members that include:
 - (i) the Chair of Graduate Panel or his/her nominee,
 - (ii) the student's supervisor, and
 - (iii) other members of the student's Supervisory Committee, in the case of PhD students.

The Internal Examiners must be academic staff members of CUHK, Shenzhen, except that within three months after his/her retirement/ resignation, a teacher may continue to serve as supervisor/Co-supervisor/Internal Examiner of the student.

- (b) An examiner from CUHK nominated by the Graduate Panel.
- (c) External Thesis Committee Examiner – External Thesis Committee Examiners (ETCEs) must not be members of the academic staff of CUHK, Shenzhen or CUHK. Anyone who has been a teaching staff member of CUHK, Shenzhen or CUHK and who has taken part in the teaching of the candidates, even in a visiting capacity, within three years and anyone expected to join CUHK, Shenzhen or CUHK before assessment is completed, is not eligible for appointment as ETCE. In addition, they must be senior academics, at least of the rank of Associate Professor or equivalent (or Senior Lecturers in those universities adopting Commonwealth nomenclature), unless no suitable academic of appropriate rank (world-wide) is available, taking into consideration the language used in the thesis. If the doctoral student is on the staff of CUHK, Shenzhen or CUHK with the rank of Assistant Professor or above, then two ETCEs will be appointed to assess his/her thesis. (See 7.3 for Procedure of Appointing ETCEs).
- (d) The Chair of the Graduate Panel (or his/her nominee) shall be chairman of the committee, unless s/he or his/her nominee is the supervisor or co-supervisor of the student, in which case the Dean of the Graduate School shall nominate another academic staff member to serve as chairman of the committee.

The composition of the Thesis Assessment Committee should be endorsed by the Dean of the GS, approved by PBGS and submitted to PAB for record. Such records should be kept available for review by the CUHK Senate.

7.8. Oral Defence

After dispatch of the thesis to the Examiners, an oral defence will be arranged by the Thesis Assessment Committee. Normally, it will be held within two months after the submission of the thesis. Requests for delay should be submitted by the Graduate Panel to the Dean of the Graduate School for approval.

For doctoral degree oral defence, presence of the ETCE (in person or via video conferencing) is required. Physical presence of all other committee members is required at the oral defence.

For MPhil degree oral defence, presence of the ETCE and Member b is optional. Physical presence of all other committee members is required at the oral defence.

The Graduate Panel will inform the student of the date and the venue of the oral defence at least one week in advance. The oral defence covers not only the subject matter of the student's thesis but also knowledge in related fields deemed essential to the field of specialization. The Thesis Assessment Committee Chairman controls the conduct of the oral defence to ensure that questions are put fairly and that the student is given adequate opportunity to answer them. During the oral defence, the supervisor can ask questions, but cannot answer questions for the candidate.

Initial votes will be taken anonymously right after the oral defence. Then, there will be a discussion among all the committee members including the supervisor, after which final votes will be cast. If the votes are unanimous, there shall be a consolidated report and recommendation to the Graduate Panel. In case of divided votes, the report to the Graduate Panel shall consist of (a) the number of votes for each outcome (e.g., pass, fail, resubmit, abstain); (b) an overall majority report; (c) any minority report or separate views that any

member chooses to submit.

Upon receipt of the report and recommendation, the Graduate Panel will come to its recommendation, and forward the whole file (with the report of the Assessment Committee including minority views if any, and its own recommendations) to the Board of Graduate Studies for approval.

7.9. Assessment Result of Thesis and Follow-up Actions on Different Final Grades

After the oral defence, examiners are given a period of up to two weeks for assessment of the thesis (Form TAD-3). Upon receipt of all Examiners' reports (Form TAD-3), the Thesis Assessment Committee Chairman will decide on a final grade within four weeks and, on the 'Notification to Student on Results of Thesis Assessment' (Form TAD-6), inform the student of the final assessment result and the follow-up actions required. If revisions are required, the supervisor must ensure that corrections are made to the satisfaction of the Thesis Assessment Committee, which may however delegate its decision in this regard to the Chairman or to the supervisor within a specified period of time, and no later than three months to complete revision.

The system for the final grades and related follow-up actions is shown in the following table:

Grade	Status	Follow-up Action
I	Pass	(a) If revision is not required, the student will be recommended for award of degree (b) If revision is required, the revised thesis should be inspected by supervisor(s) before the student is recommended for award of degree. Documents to submit to GS: - final version of thesis - completed form TAS-7 - A summary list of revisions made
II	This submission NOT passed. Re-submission allowed and another oral defence may be required	Students should: - revise and re-submit thesis to the Thesis Assessment Committee (repeat submission process mentioned in earlier sections) - pay continuation fee (if applicable)
III	Failure - no re-submission allowed	GS will follow up with the student to discontinue studies
IV (this option does not apply to the MPhil degree applicants)	Recommended for award of Master's degree	- Graduate Panel to provide justification for the recommendation (award of Master's degree) for consideration of Board of Graduate Studies - Wait for decision of Board of Graduate Studies and Academic Board

7.10. Re-submission

A student who receives Grade II must revise and re-submit the thesis to the satisfaction of the Thesis Assessment Committee before being recommended for the award of degree. Such re-submission must be made within twelve months from the date of the official notification of the result and within the student's prescribed maximum period of study.

A student who fails to submit the revised thesis within the time frame specified above will be required to discontinue studies, unless special approval is granted by the Board of Graduate Studies.

Apart from ruling in regard to thesis re-submission, the Thesis Assessment Committee may decide whether or

not the student should be re-assessed by oral defence.

Only one re-submission of thesis is allowed unless exceptional approval is granted by the Board of Graduate Studies.

7.11. Deferment of Submission of Thesis

To delay submission of thesis beyond the originally proposed date, the form for 'Application for Deferment of Submission of Thesis' (Form TAS-3) should be completed and submitted via the supervisor to the Chair of Graduate Panel for approval and to the Graduate School for record. Deferment must not exceed the maximum study period. Please also note that deferment in submission of thesis may result in delay in graduation.

7.12. Submission of Final Version of Thesis

Students are required to submit an electronic copy of the final version of their theses.

7.13. Copyright of RPg Theses

Students should hold the copyright ownership of their theses/portfolios. However, to make theses accessible for wider scholarly and academic purposes, students are requested to sign an agreement to grant the University a worldwide irrevocable, non-exclusive right in respect of the copyright to the theses/portfolios for the purpose of making copies, abstracts, reproducing or otherwise dealing with the theses/portfolios by whatever means, including but not limited to, digitising, storing, reproducing, and distributing the theses/portfolios in any media and in any format, provided that any and all such acts are only for scholarly and academic purposes and with proper acknowledgment of authorship. For theses/portfolios submitted before the effective year, the University retains the copyright of each of the theses/portfolios submitted. A request may be made to the Dean of the Graduate School to grant permission to release this copyright to anyone intending to use a part or whole of the materials in any thesis/portfolio in a proposed publication. Students/graduates are expected to give due acknowledgement of their Supervisors' guidance (in case of a translation, students should seek the approval of the original author). Photocopying of theses/portfolios may be made for "fair use" for the purposes of research or private study, without the express permission of the Dean of the Graduate School, in accordance with the prevailing guidelines for copyrighted works.

8. Quality Assurance

8.1. External Reviewers

The External Reviewer (ER) is the basic level of the three-tier external reviews that form CUHK(SZ)'s QA mechanism, assessing course quality against the standard of CUHK.

All major courses, including credit-bearing internship courses, are reviewed with the scope of course content, assessment scheme and implementation, assessment measurement, areas for improvement every semester.

8.2. External Examiners

The External Examiner (EE) review is at the programme-level of the external QA mechanism of CUHK(SZ). It aims to review Teaching & Learning activities of each Programme and provide an assessment of the standards and quality of each programme.

Frequency of EE reviews

Programme	Frequency
Taught postgraduate programme (TPg)	Every student cohort
Research postgraduate programme (RPg)	Every four years

The EE will include a document review and an onsite review. The review should be conducted BEFORE the graduation of each cohort of students of the Programme so that the EE's evaluation of the quality of the programme can be submitted together with the recommended list of graduates to the CUHK Senate.

The Associate Vice-President (Education & CUHK Affairs) works with the schools to manage the entire review process.

8.3. Visiting Committee (VC)

Visiting Committee (VC) review is established to provide a holistic assessment of an individual School or equivalent Unit as defined by the Academic Board (AB), covering strategy, operations, research and teaching and learning activities.

The objective of the VC is to conduct a holistic assessment of the effectiveness of a School/Unit. The VC will conduct an in-depth assessment of the School/Unit on various aspects of its strategy, operations, teaching and research standards and make recommendations for future improvements and developments.

VC will be established at School/Unit level, with the approval of AB at least one month before the visit starts. VC reviews are conducted on a 4-year cycle. The frequency of the review is subject to review from time to time.

8.4. Internal Programme Reviews (IPR) of Taught Postgraduate Programmes

Programme Reviews, different from External Examiner (EE) practice, are conducted on individual programme and on a 4-year cycle before Visiting Committee (VC)'s visit, determined by AB. The programme review panel will be appointed by the Graduate Panel of each School. Expertise in both subject and pedagogy should be represented in the review panel.

The goals of the programme reviews are to:

- (a) ensure that teachers and programmes are engaged in evidence-based reflection about teaching and learning, as well as the development and implementation of the curriculum, that such reflection leads to action for improvement, and that incentives to be provided for such efforts;
- (b) provide support to programmes to develop and enact improvement plans related to the quality of teaching and learning;
- (c) serve as the primary input for VC reviews on T&L; and

- (d) establish a transparent system which demonstrates CUHK(SZ)'s commitment to the quality of its teaching and learning.

Focus Areas:

The evidence-based reflection incorporates five elements of curriculum design: (a) learning outcomes, (b) content, (c) learning activities, (d) assessment, and (e) feedback for evaluation, with the focus on the progress and improvements made, especially in relation to goals set in previous action plans, and on teaching and learning quality, student learning, attainment of desired learning outcomes, effectiveness of procedures for programme management and quality assurance, and procedures for the provision of professional development for all teaching staff in curriculum design and teaching, including part-time teachers. The focus areas for the TPg programme review can be referenced from the relevant CUHK programme reviews as well as the recommendations from the previous EEs. The focus areas include:

- (a) positioning and long-term development of the programmes;
- (b) management of class size and arrangement of teaching staff;
- (c) flexibility in course selection;
- (d) communicating information about the curriculum/course with students; and
- (e) collection of stakeholders' feedback from various channels.

9. Supervisors

9.1. Assignment of Supervisors

A supervisor is a full-time academic staff member who satisfies the requirements for being a supervisor and who is assigned by the Graduate Panel concerned to provide training to a student and guide the student through his/her studies. The topics/areas available for thesis research, together with the names of potential supervisors, are made known to students by the Graduate Panels. The student, on the other hand, should make his/her preference known to the Graduate Panel.

A supervisor should:

- (a) be familiar with the rules and regulations of CUHK, Shenzhen, in particular those concerning postgraduate studies;
- (b) participate in activities as requested by his/her Graduate Panel in support of the running of programmes of studies; and
- (c) identify problems and difficulties encountered by his/her students and advise them accordingly.

The Graduate Panel has the responsibility and complete authority to appoint and to reassign supervisors to students, provided that the supervisor/co-supervisor(s) meet(s) the eligibility requirements on supervising students. There should be only one designated supervisor for each student. All appointments of supervisors have to be reported to the Dean of the Graduate School.

Graduate students are assigned to each supervisor by the relevant Graduate Panel and in doing so, the Graduate Panel should monitor student progress in the supervisor's group and avoid overloading. Each October 1st, a list of supervisors who supervise more than 10 postgraduate students (either MPhil or PhD) should be reported to the Graduate School for record.

If a supervisor for whatever reason becomes unable to supervise a student before the thesis is completed, the Chair of Graduate Panel should ensure that a suitable Co-supervisor (who may become supervisor when necessary) is appointed as soon as possible.

9.2. Eligibility Requirements of a Supervisor

For Master's programmes, the supervisor should be a full-time member of the academic staff with an academic title of Assistant Professor or above at CUHK, Shenzhen, and in addition should either

- (a) have held a PhD degree or equivalent; or
- (b) exceptionally, have held a Master's degree by research or a relevant professional Master's degree and have
 - (i) successfully co-supervised an MPhil thesis or equivalent, or (ii) successfully supervised an MPhil thesis or equivalent at another institution.

For doctoral programmes, the supervisor should be a full-time member of the academic staff with an academic title of Assistant Professor or above at CUHK, Shenzhen, and in addition should have held a PhD degree or equivalent, and have either

- (a) successfully supervised an MPhil thesis or equivalent, or
- (b) successfully co-supervised a PhD thesis or equivalent, or
- (c) successfully supervised a PhD thesis or equivalent at another recognized institution.

Intending supervisors whose supervisory experience does not meet the requirements listed above but who has experience in research may (a) be recommended by the Graduate Panel and approved by the School Dean or Unit Head; or (b) act in a co-supervisory capacity together with another supervisor who satisfies the above conditions or has been exceptionally approved. Exceptions to the above may be granted by the Board of Graduate Studies.

If a doctoral candidate is also a member of the academic staff of the University at the rank of Assistant Professor, all supervisors must be teachers of the rank of Associate Professor or above. Furthermore, if the candidate is of the rank of Associate Professor or above, the appointment of supervisor will have to be submitted to the Board of Graduate Studies for approval.

9.3. Eligibility of Co-supervisors

- 9.3.1. For both Master's and doctoral students, the Co-supervisor should be a full-time member of the academic staff with an academic title of Assistant Professor or above at CUHK, Shenzhen and have held a Ph.D. degree or equivalent unless as exceptionally approved by the School Dean or Unit Head.

- 9.3.2. Emeritus/honorary/adjunct professors and visiting teachers cannot serve as Co-supervisors. However, in special cases, the afore mentioned categories of teaching staff of the University may serve as Co-supervisors upon recommendation of the relevant Graduate Panel, endorsement of the School Dean or Unit Head and approval of the Dean of the Graduate School.

10. Award of Degree

10.1. Recommendation for Award of Degree

A Student who has satisfied the graduation requirements shall be presented by the Academic Board of CUHK, Shenzhen to the CUHK Senate for the award of a degree granted by CUHK subject to such conditions as may be imposed by the CUHK Senate, unless s/he is required to terminate studies or be suspended from studies in accordance with Clause 12.2.

10.2. Degree Certificate

The Degree Certificate awarded by CUHK shall be issued to a Student after s/he has been conferred a degree by CUHK.

11. Services and Support for Students
(to be developed)

12. Financial Assistance and Fees

12.1. For financial aid, Fellowships, Scholarships, please contact relevant programme.

12.2. General Guidelines about Fees

12.2.1. The fees prescribed by the University shall be payable on due dates announced by CUHK, Shenzhen each year unless prior permission for deferment is obtained.

12.2.2 Unless written approval is given by CUHK, Shenzhen to defer payment, a student in arrears, whether in part or in full, or who has outstanding fees unpaid for more than two weeks shall be considered to have withdrawn from his/her studies

13. Academic Honesty and Disciplinary Action

13.1. Academic Honesty

The University places very high importance on honesty in academic work and on respect of intellectual property, and adopts a policy of zero tolerance on cheating in examinations, plagiarism and infringement of intellectual property. Any related offence will lead to disciplinary actions including termination of studies or employment in respect of students and staff.

The University has prepared the document *Honesty in Academic Work*, adopted from CUHK, which is available at the University's website at:

<https://gs.cuhk.edu.cn/en/page/18>

The content of the *Guide* is listed below for easy reference:

Section 1:	What is plagiarism?
Section 2:	Proper use of source material
Section 3:	Citation styles
Section 4:	Plagiarism and copyright violation
Section 5:	Regulations on honesty in academic work
Section 6:	Disciplinary guidelines and procedures
Section 7:	Guide for teachers and schools
Section 8:	Recommended material to be included in course outline
Section 9:	Electronic submission of assignments via VeriGuide
Section 10:	Declaration to be included in assignments

A video regarding honesty in academic work, prepared by CLEAR of CUHK, can be accessed from (https://www.cuhk.edu.hk/clear/tnl/acad_honesty.html). Students are strongly encouraged to watch the video so as to have a quick understanding of the issue. (to be confirmed)

13.2. Disciplinary Action

13.2.1. A Student who violates any rule or regulation and/or commits any misconduct, including but not limited to the following:

- (a) defamation of or assault on or battery against the person of any member of CUHK, Shenzhen and/or CUHK;
- (b) willful damage to or defacement of any property of CUHK, Shenzhen and/or CUHK;
- (c) theft, fraudulent use, misapplication of the funds or property of any kind of CUHK, Shenzhen or of CUHK;
- (d) plagiarism in written assignments or cheating in tests or examinations;
- (e) an offence in connection with tests or examinations or violation of any of the regulations governing conduct at tests or examinations as approved by the Academic Board or the CUHK Senate from time to time;
- (f) falsification or serious misuse of documents or records of CUHK, Shenzhen and/or CUHK;
- (g) refusal to comply with any regulations or orders by authorized persons and bodies prohibiting any conduct which disrupts teaching, study, research, administration or normal activities of CUHK, Shenzhen and/or CUHK;
- (h) any conduct which is detrimental to the reputation and well-being of CUHK, Shenzhen or CUHK;
- (i) in offence of an immoral, scandalous or disgraceful nature of which the Student has been convicted in any court of law; or
- (j) misrepresentations or false statements made in any application or document submitted to CUHK, Shenzhen or CUHK

shall, in accordance with the nature and gravity of the offence, be disciplined by the Academic Board or other disciplinary committees as appropriate, including the School Board or equivalent body of Unit, as shall be vested with authority in handling matters pertaining to the discipline of Students.

13.2.2. Disciplinary action may result in a penalty in any one or more of the following forms in accordance with the nature and gravity of the offence:

- (a) reprimand issued by the disciplinary body concerned;
- (b) suspension from part or all of the rights, privileges and/or the use of part or all of the facilities of CUHK, Shenzhen for a specified period of time;
- (c) demerit(s), of which a total of three may result in termination of studies at CUHK, Shenzhen;
- (d) suspension from CUHK, Shenzhen for a specified period of time;
- (e) termination of studies at CUHK, Shenzhen; or
- (f) any other form as the Academic Board, School Board or equivalent body of Unit or other disciplinary committees (as the case may be) may deem fit.

Penalty (d) or (e) may be imposed only with the approval of the Academic Board or a subcommittee with authority delegated by the Academic Board. Any penalty imposed as a result of disciplinary action may be entered in the transcript of the Student's academic record.

13.2.3. Disciplinary action involving suspension of study will be reported to the CUHK Senate, and will result in corresponding suspension or termination of student status at CUHK.

14. Appeals and Complaints

Please refer to the website below:

<https://registry.cuhk.edu.cn/en/suggestions>

Please refer to below website:

<http://www.cuhk.edu.cn/departsite/ar/en/StudentAppeal.html>

15. Course Evaluation and Feedback

15.1. Course and Teaching Evaluation Questionnaire

Course and Teaching Evaluation (CTE) is a key quality assurance mechanism for teaching and learning and is conducted as a compulsory exercise at the University. Students' opinions about the courses they have taken and about the teacher(s) of the course are collected through the CTE Questionnaire. The results will be used for the enhancement of quality of teaching and learning, and of curriculum design. The results will also be made known to the students through controlled access.

15.2. Feedback via Progress Report for RPg Studies

RPg students meet regularly with their Supervisors and they should make use of these chances to give their feedback to the Supervisors about any facets of their studies and research at the University. In particular, during their meetings for completing the Progress Report for RPg Studies, their opinions and feedback can be recorded formally for follow-up actions. Completed Progress Reports of all RPg students will be endorsed by the Chairman of the Graduate Panel and then submitted to the Graduate School. If there are comments which need special attention, the case will be brought up to the Dean of the Graduate School for perusal and decision on proper actions to be taken.

15.3. Exit survey (Survey on Research Postgraduate Programmes)

Upon graduation, all RPg students will be invited by the Graduate School to complete a Survey on Research Postgraduate Programmes. The survey, which can be regarded as an exit survey, is for the quality assurance of the RPg programmes at the University. It is not for the assessment of individual performance of teachers or students. The purpose is to collect feedback from students on the quality of supervision and learning difficulties for the improvement of the RPg programmes. Individual responses will be kept strictly confidential. The survey contains questions on admissions, academic supervision, programme of study and campus life, and also personal information without personal identifiers. Graduating students can make use of this chance to help improve the quality of the RPg programmes and the teaching and learning environments of the University. As stated at the end of the Survey on Research Postgraduate Programmes, students are most welcome to discuss their problems and/or suggestions with their Supervisors, Department Chairperson, Head of the Graduate Division, Faculty Dean or the Dean of the Graduate School.

16. Credentials

16.1. Academic Results

Students will be sent a report of their academic results showing the grades and GPA of the courses taken in each term. Relevant information about the handling of academic results, such as the schedule for releasing grades for each term and the guide to the grading system, are available online. However, the report in each term is not an official document and is only for students' own reference and records. A formal transcript can be issued by the Graduate School upon application.

16.2. Transcripts

A transcript is an official statement of a student's or a graduate's academic achievements and can be used for purposes such as applications for further studies, jobs, scholarship or claims for subsidies from sponsors, etc. It is a formal document listing the student's or the graduate's personal data, all the courses taken (including those taken before and after programme transfer, if applicable), grades achieved, GPAs and remarks such as period of leave taken, programme transfer, academic exchange, penalty, etc. In short it is a full record of the academic activities and achievements of the student/graduate during the period of study at the University.

There are two versions of the transcript: the official copy and the student copy. A student who wishes to apply for admission to another educational institution or for employment may apply for an official transcript, to be sent direct to the institution or prospective employer. The student copy is issued to students directly.

Applications for transcript could be made by hardcopy or online via the Homepage of the Graduate School Office, and at a fee.

16.3. Letter of Certification

The Letter of Certification states a student's current status in the University with details of date of admission, programme, expected date of graduation etc. For graduates, the Letter of Certification also states the degree conferred and the conferment date.

Applications for a Letter of Certification can be made by hardcopy or online via the Homepage of the Graduate School Office, and at a fee. Applicants are advised to state the purpose of their applications so that specific information required will be included in the Letter.

16.4. Report on Curriculum Details

The Report on Curriculum Details shows the study scheme and course descriptions of the student's programme. It is usually requested by bodies of accreditation or institutions which need to verify the level of academic attainments of the student/graduate. Applications for the Report on Curriculum Details can be made by hardcopy or online via the Homepage of the Graduate School, and at a fee.

16.5. Degree Certificate

The degree certificate is issued by CUHK as the official proof of the conferment of degree. There is no need for students/graduates to apply for it. It will be distributed to graduates after the formal conferment. Hence, graduates are advised to keep it in a safe place.

16.6. Replacement of Degree Certificate

In case of loss or damage of the original graduation certificate, a graduate may apply for a replacement certificate at a fee. The application should be submitted to CUHK, either direct or through CUHK, Shenzhen's Graduate School Office. Application for replacement due to change of name after graduation will not be accepted.

A graduate should only possess one valid copy, including the replacement copy, of the certificate, for each degree at any given time. In other words, if a certificate, previously reported lost, was subsequently found, the graduate concerned is required to return any extra copy to CUHK via the Graduate School Office of CUHK,

Shenzhen for destruction.

A replacement certificate follows in general the current format of the degree certificate, with an additional statement “This certificate is reissued on [DD/MM/YYYY]”, and the replacement will also bear the signatures of the current University Officers.

For details of the application procedures, please visit the website of the Graduate School.

16.7. Certified True Copy of the Graduation Certificate

As no duplicate copy of graduation certificate will be issued, graduates may find it helpful to apply for a certified true copy of the graduation certificate for various purposes. Graduates or their representative will need to present the graduation certificate at the Graduate School Office of CUHK, Shenzhen and the certified true copy will be prepared at a fee.

17. Transitional Arrangements

17.1. Until the Academic Board of CUHK, Shenzhen is established, all reference to “Academic Board” in these Regulations should be understood as “Provisional Academic Board” of CUHK, Shenzhen.

17.2. Until the Board of Graduate Studies of CUHK, Shenzhen is established, all reference to “Board of Graduate Studies” in these Regulations should be understood as “(Provisional) Board of Graduate Studies” of CUHK, Shenzhen.

The Code of Practice for Research Postgraduate Studies -
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Supplementary Materials

The List of Supplementary Materials is provided herewith for the sake of completeness. The list is subject to change and such changes should not affect the integrity of the CoP-RPS document.

SM1	General Regulations Governing Postgraduate Studies
SM2	SM 2 Examination Room Rules
SM3	Protection of Personal Data and Privacy
SM4	Copyright
SM5	Academic Integrity
SM6	Honesty in Academic Work
SM7	Procedures for Handling Student Disciplinary Cases
SM8	Procedures for Dealing with Students Complaints
SM9	Policy on Course and Unit Exemptions for Postgraduate Students
SM10	Regulations Governing Associate Students
SM11	Research and Thesis Writing
SM12	Guidelines on Course and Teaching Evaluation
SM13	Extracted Policy on Assessment of Student Learning in Taught Programmes
SM14	The Regulation for Exchange & Visiting Programs-Outbound
SM15	The Policy and Process of External Reviewer (ER) of Undergraduate and Postgraduate Courses
SM16	The Policy and Process of External Examiner (EE) of Undergraduate and Postgraduate Programmes
SM17	Schedule to Be Followed by Postgraduate Programmes After Examination
SM18	The Policy and Process of Visiting Committee (VC) Review
SM19	Integrated Framework for Curriculum Development and Review
SM20	Interim Measures for the Administration of the Commercialization of Scientific and Technological Achievements
SM21	Regulations on Patent Management (Trial)
SM22	Copyright Authorization for Thesis/Dissertation-Library
SM23	General Arrangements for Classes and Examinations on Approach of Typhoons and Rainstorms
SM24	Duties of Invigilators at Examination
SM25	Information for Chief Invigilators
SM26	Important Deadlines for Students, Schools/Units to Observe on MPhil-PhD Thesis Related Matters for Year 2020
SM27	Fee Refund Policy