

Code of Practice

Taught 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, and 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 TPS* sets out guidelines and references for taught postgraduate studies, i.e., studies leading to the award of postgraduate certificate, diploma and taught Masters/Doctoral degrees. It offers practical advice and provides guidance on procedures and good practice. The key target readers are Taught Postgraduate (TPg) students, teachers and personnel supporting taught postgraduate programmes.

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

- (a) General Regulations Governing Postgraduate Studies;
- (b) Other University regulations provided by the Graduate School Office and the relevant Graduate Panels, and Schools.

While the *Code of Practice TPS* 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 TPS* is applicable to all current TPg students, unless otherwise specified, and is updated regularly. The latest version of the *Code of Practice TPS* 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. Role of Stakeholders

1.1. Stakeholders

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

A taught postgraduate (TPg) student is one who has been admitted to a programme of studies to pursue a higher degree 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.

A TPg 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.

A 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 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.

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.

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

1.2. Graduate Panel

A Graduate Panel is set up for postgraduate studies in each School or 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 then reported to the Academic Board. Its responsibility, with respect to TPg programmes, is to endorse or decide on:

course of studies to be offered;

selection of applicants for admission; and any other matters related to the Graduate Panel

2. Basic Information on Programmes and Courses

2.1. Taught Postgraduate Programmes

The Graduate School offers taught postgraduate programmes leading to the Master's or Doctoral degrees. 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 (if applicable), in addition to other requirements that are prescribed.

New programmes may be proposed by Graduate Panels/Schools 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 the website of the Graduate School Office, and regular reminders are issued from time to time.

2.2. Graduate attributes of taught postgraduate programmes

CUHK(SZ) has clear expectations of its graduates. The taught postgraduate programmes aim to educate students to embark on careers that would allow them to become world leaders in their fields, working as senior managers in enterprises, or experts in other professions related to the pursuit and application of knowledge.

Degree graduates of taught postgraduate programmes are expected to have acquired comprehensive, state-of-the-art knowledge and relevant expert skills in the subject discipline. Graduates of taught programmes should have gained access to results from up-to-date advances in the field and a depth of knowledge in specialty areas. They should have accumulated ample experience in practical training, clinical work, project development, or research activities, as prescribed by their programmes. 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 languages essential to their discipline. Proficiency in English is expected as it is the default international language in many professional and scholastic fields.

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 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.

2.3. Modes of study

The mode of study of a student in a programme may be full-time or part-time. Classes for part-time students may be scheduled in day time as for full-time students. Part-time students have to make their own arrangements to attend day-time classes.

Application for change of study mode would be allowed only within the normative period of study and it 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 full-time students changing to part-time mode or part-time students changing to full-time mode are computed based on the principle that time spent in part-time studies counts as 2/3 of that for full-time studies.

2.4. Courses

A taught postgraduate programme is made up of courses on specific topics. Courses could be lectures, tutorials, seminars, field study, etc. Courses carry different number of units. All TPg students are required to complete the number of units of courses specified in the respective study schemes.

A typical 3-unit taught course is made up of three contact class hours per week throughout a teaching term. In addition to class and tutorial attendance, students are expected to spend time studying reference materials or engage in other related activities. The general rule is that each unit of course is regarded as equivalent to approximately 3 hours of study per week by the student.

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 relevant Graduate Panel and recorded in the Graduate School.

2.5. 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 the autumn term beginning in September. 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.

3.2. Entrance requirements

3.2.1. Minimum requirements for admission

The minimum requirements for admission are as follows:

- (a) For a Master's programme other than Executive Level Programmes, 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.
- (b) For an Executive Level Programme, the applicant shall have obtained a Bachelor's degree or professional qualifications equivalent to a degree.
- (c) For a Postgraduate Diploma Programme, the applicant shall have graduated from a recognized university and obtained a Bachelor's degree.
- (d) In addition, the applicant shall have to meet the English language requirement prescribed by the Academic Board.
- (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, including a subject test or language test, and may also waive such additional requirements in particular cases.

3.2.3. 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.

3.2.4. Meeting the entrance requirements is no guarantee of admission. In any event, selection is subject to

competition.

3.3. Monitoring of entrance quality

To ensure quality, the entrance qualifications of TPg students should be closely monitored by each School or Unit 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 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 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 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 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.
- 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 Programme directors and the Schools 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 student is classified as being in residence if s/he is attending courses as prescribed by his/her programme on a regular basis.

A student who is in Shenzhen except for absences not exceeding three weeks continuously and not exceeding one month aggregate in an academic year and is attending courses, if required, is regarded as in residence.

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

Residence requirements may be waived for part-time Students for up to six months in any academic year, upon the written approval of the Director and the Chair of the Graduate Panel concerned.

Except for periods of approved leave, and except as provided in Paragraph 4.4.1 (b) and 4.4.2(a), all Students are required to be in residence during term time in 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
M.A., M.Sc.	Full-time	12 months	36 months
M.B.A.	Full-time	24 months	48 months
Executive M.B.A., M.Acc., M.B.A. (Finance)	Part-time	24 months	48 months

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 the normative study period must apply to the Board of Graduate Studies (via his/her Graduate Panel) for shortening of study period, subject to the statutory minimum of 12 months for Master's programmes and 24 months for doctoral programmes.

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. Students should note that the courses which they have completed in their original programmes may or may not count towards the requirements of their new programmes.

4.8. Leave of absence

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
Leave for less than 3 weeks	Graduate Panel Chair to approve
Leave for 3 weeks to 6 months	Graduate Panel Chair to endorse Dean of the GS to approve
Leave for more than 6 months (including 6 months)	Graduate Panel Chair to endorse Board of Graduate Studies to approve

- 4.8.4. 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.
- 4.8.5. 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.
- 4.8.6. 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.

4.9. Student visa

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

4.10. Employment

All full-time TPG 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.

Overseas students who wish to take up work 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

All TPg students are required to fulfill certain requirements for graduation. Some of the requirements are compulsory for all TPg students while some others are specific to individual programmes or individual students. While each type of graduation requirements will be discussed in the following sections in general, students should refer to the Course List, Course Descriptions and Study Scheme of their own programmes for the specific requirements.

5.2. Course requirements

The course requirements list the required courses and elective courses, if applicable, of the programme.

A Student who has completed comparable courses may submit an application on a prescribed form for exemption from some courses and/or units for approval of the Dean of the Graduate School,

5.3. Postgraduates taking undergraduate courses and undergraduates taking graduate 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:

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.

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 programme directors.

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. 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.

5.5. Other requirements

Graduate Panels may prescribe additional graduation requirements for students of their programmes, such as:

- Language requirement, e.g., knowledge of spoken and written Chinese may be required for some courses
- Additional requirements for individual students may be set up by the Graduate Panel, depending on the academic progress of the students

5.6. 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) Submit the prescribed application to the Graduate Panel together with any required supporting document.

In each case the Graduate Panel Chair will make a recommendation for consideration and decision of the Dean of the Graduate School.

5.7. Language policy

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

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.

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.

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

6.1. Assessment of academic performance

All taught courses 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

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 result he/she obtains in the latest attempt will be used in cumulative GPA calculations.

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 'D' 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 6.4.3 applies.
- 6.4.2. 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, 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 6.4.3.
- 6.4.3. 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.

7. Award of Degree

7.1. 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 11.2.

7.2. Degree Certificate

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

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' feedbacks from various channels.

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

10. Student Fees
(to be developed)

11. Academic Honesty and Disciplinary Action

11.1. 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: A Guide for Student and Teachers*, 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)

11.2. Disciplinary Action

11.2.1. 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) an 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 in Unit, as shall be vested with authority in handling matters pertaining to the discipline of Students.

11.2.2. 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 in 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.

11.2.3. 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.

12. Appeals and Complaints

Please refer to the website below:

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

13. Course Evaluation and Feedback

13.1 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.

13.2 Exit survey (Survey on Taught Postgraduate Programmes)

Upon graduation, all TPg students will be invited by the Graduate School to complete a Survey on Taught Postgraduate Programmes. The survey, which can be regarded as an exit survey, is for the quality assurance of the TPg programmes at the University. The purpose is to collect feedback from students on the quality of teaching and learning difficulties for the improvement of the TPg programmes. Individual responses will be kept strictly confidential. The survey contains questions on admissions, teaching, 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 TPg programmes and the teaching and learning environments of the University. As stated at the end of the Survey on Taught Postgraduate Programmes, students are most welcome to discuss their problems and/or suggestions with their Programme Director, Department Chairperson, Head of the Graduate Division, Faculty Dean or the Dean of the Graduate School.

14. Credentials

14.1. 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.

14.2. 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.

14.3. 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.

14.4. 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.

14.5. 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.

14.6. 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.

14.7. 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.

15. Transitional Arrangements

15.1. 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.

15.2. 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 Taught Postgraduate Studies -

[Edition: August 2023]

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Supplementary Materials

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

- SM 1 General Regulations Governing Postgraduate Studies
- SM 2 Examination Room Rules
- SM 3 Protection of Personal Data and Privacy
- SM 4 Copyright
- SM 5 Academic Integrity
- SM 6 Honesty in Academic Work
- SM 7 Procedures for Handling Student Disciplinary Cases
- SM 8 Procedures for Dealing with Students Complaints
- SM 9 Policy on Course and Unit Exemptions for Postgraduate Students
- SM 10 Regulations Governing Associate Students
- SM 11 Research and Thesis Writing
- SM 12 Guidelines on Course and Teaching Evaluation
- SM 13 Extracted Policy on Assessment of Student Learning in Taught Programmes
- SM 14 The Regulation for Exchange & Visiting Programs-Outbound
- SM 15 Guidelines on Appointment and Duties of External Reviewer(s)
- SM 16 The Process of External Examiner Review for Postgraduate Programmes
- SM 17 Schedule to Be Followed by Postgraduate Programmes After Examination
- SM 18 Visiting Committees
- SM 19 Integrated Framework for Curriculum Development and Review
- SM 20 Interim Measures for the Administration of the Commercialization of Scientific and Technological Achievements
- SM 21 Regulations on Patent Management (Trial)
- SM 22 Copyright Authorization for Thesis/Dissertation-Library
- SM 23 General Arrangements for Classes and Examinations on Approach of Typhoons and Rainstorms
- SM 24 Duties of Invigilators at Examination
- SM 25 Information for Chief Invigilators
- SM 26 Important Deadlines for Students, Schools/Units to Observe on MPhil-PhD Thesis Related Matters for Year 2020
- SM 27 Fee Refund Policy