

THE CHINESE UNIVERSITY OF HONG KONG, SHENZHEN

**General Regulations Governing Postgraduate Studies**

In these Regulations,

- “CUHK(SZ)” means The Chinese University of Hong Kong, Shenzhen, an institution unit registered in Shenzhen and established as a tertiary education institution with the approval of the State Ministry of Education (institution code: 4144016407)
- “CUHK” means The Chinese University of Hong Kong, a body incorporated under The Chinese University of Hong Kong Ordinance (Chapter 1109 of the Laws of the HKSAR);
- A “Student” means a student admitted by CUHK(SZ) to a postgraduate degree programme offered by CUHK(SZ) as approved by the CUHK Senate.

A Student admitted to CUHK(SZ) will also be registered as a student of CUHK. In addition to the General Regulations contained herein, a Student is also subject to the relevant Regulations of CUHK, to which reference should be made.

**1.0 Rules and Regulations**

1.1 Students shall observe all rules and regulations prescribed by CUHK(SZ).

**2.0 Admission**

2.1 Minimum requirements for admission

The minimum requirements for admission are as follows:

- (a) For the Doctor of Philosophy (administered under M. Phil.-Ph.D. Programmes) and Taught Doctoral 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 M.Phil Programmes (administered under either M.Phil-PhD Programmes or stand-alone M.Phil Programmes) and Taught Master's Programmes other than the Executive Master of Business Administration 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) For the Executive M.B.A. Programme, the applicant shall have obtained a Bachelor's degree or professional qualifications equivalent to a degree.
- (d) For a Postgraduate Diploma Programme, the applicant shall have graduated from a recognized university and obtained a Bachelor's degree.
- (e) In addition, the applicant shall have to meet the English language requirement prescribed by the Academic Board.
- (f) 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 (Provisional) Academic Board.

## 2.2 Additional Requirements

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

## 3.0 Registration

- 3.1 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.
- 3.2 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 academic year to the Dean of the Graduate School for approval.
- 3.3 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.
- 3.4 A Student admitted to and registered at CUHK(SZ) will be registered also as an external student of CUHK, under such category as shall be 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.
- 3.5 Save as provided for in Paragraph 3.4, 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(SZ) or CUHK or any other tertiary

institution unless an application has been submitted in advance to, and endorsed by, the School/Unit concerned and approved by the Academic Board. A Student in breach of this regulation shall be required to discontinue studies.

- 3.6 A student who receives financial support, for example, as a RA or TA and/or scholarship from CUHK(SZ), is prohibited from taking up outside employment except with approval by the relevant graduate panel. For student who have no financial arrangement with the University, relevant Programmes should monitor their academic progress to determine whether their progress are adversely affected by outside employment activities, either full time or part time. The Programmes can prohibit students with outside employment, either full time or part time, if they feel that such activities cause the students to do poorly in their academic work.
- 3.7 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(SZ) 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).

#### **4.0 Fees**

- 4.1 The fees prescribed by the Governing Board shall be payable on dates specified unless prior permission for deferment is obtained.
- 4.2 Unless written approval is given by CUHK(SZ) 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.
- 4.3 Caution money shall be payable as a deposit to make good any outstanding debts to CUHK(SZ) incurred in, for example, damages to CUHK(SZ) property. This sum less any deductions made for outstanding debts shall be refunded on discontinuation or withdrawal of studies at CUHK(SZ). For graduating Students, caution money shall be converted into graduation fee, which shall be payable by all Students on completion of their study programmes.

4.4 The University follows China laws in relation to fee and refunding policies.

## **5.0 Period of Study**

5.1 Students are not expected to graduate before the end of the normative study period specified by the Programme. Exceptions are allowed as specified in 5.2.

5.2 A Student who wishes to graduate before the end of the normative study period of his/her respective Programme must apply for shortening his/her period of study subject to the minimum of 12 months for Master's programmes and 24 months for doctoral programmes. Please refer to the Annex for more details.

5.3 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(SZ). However, in special cases, the Board of Graduate Studies may on the recommendation of the School/Unit grant a Student extension beyond the maximum period of study.

## **6.0 Candidature for Research Doctoral Degree**

6.1 A Ph.D. Student admitted to the "M.Phil.-Ph.D. Programmes", is required to fulfill the following requirements to advance to doctoral candidacy:

- (a) study of a language other than Chinese and English where deemed necessary;
- (b) course requirements;
- (c) qualifying examination; and
- (d) thesis proposal and defense of proposal.

These requirements shall be stipulated by relevant Schools/Units in their study schemes and must be fulfilled within the following periods.

Degree	Qualification at entry	Full-time	Part-time
Ph.D.	with a research master's degree	24 months	36 months
Ph.D.	without a research master's degree	36 months	54 months

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

## 6.2 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/Unit concerned and with the approval of the Board of Graduate Studies.

## 7.0 Course Requirements and Exemptions

7.1 A Student shall take the required courses and/or units as specified in the programme of studies concerned.

7.2 A Student shall 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.

7.3 A Student who has completed comparable courses may submit an application on a prescribed form to apply for exemption from some courses and/or units for approval of the Dean of the Graduate School, but in no case will a Student’s normative period of study be shortened, except as provided in Paragraph 5.2 and Paragraph 14.2. Such application shall require the endorsement of the Chair of the Graduate Panel concerned.

## 8.0 Course Selection

8.1 A Student shall register for courses according to the programme of studies by following the prescribed procedure for course registration, and shall be responsible for ensuring the timely completion of all programme requirements.

8.2 A Student shall not repeat any course which s/he has taken and passed or from which s/he has been exempted except as required and approved by the

respective Programme which prescribes otherwise.

## **9.0 Course Withdrawals and Additions**

- 9.1 A Student who wishes to apply for withdrawal or addition of course/s after the beginning of the teaching term shall complete the prescribed procedure within the specified period.
- 9.2 Only under special circumstances may a Student apply for permission to withdraw from a course or enrol in a new course after the specified period of the teaching term. Such an application shall be made according to prescribed procedures and submitted to the Dean of the Graduate School for approval.
- 9.3 A Student who withdraws from a course without going through the prescribed procedure shall be given a failure grade for the course.

## **10.0 Residence Requirements**

### **10.1 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 in the case of research postgraduate Students, also 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 any one academic year shall be deemed to be receiving regular supervision, and provided s/he is also attending courses, if required, shall be regarded as in residence.
- (c) A Student who is not in Shenzhen shall normally be deemed to be not receiving supervision, and shall be 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 should be made beforehand to the Chair of the Graduate Panel concerned for approval by the Dean of the Graduate School, with the endorsement of the Supervisor, to regard the Student as being in residence during that period of absence.

- (d) A Student may also be regarded as being in residence while away from Shenzhen if the programme of studies as approved by the Academic Board so provides.

## 10.2 Residence Requirements

- (a) Except for periods of approved leave, and except as provided in Paragraph 10.2 (b) and (c), all Students are required to be in residence during their period of study.
- (b) Students registered in taught programmes are not required to be in residence between teaching terms.
- (c) 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.

## 11.0 Leave of Absence

- 11.1 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.
- 11.2 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.
- 11.3 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.
- 11.4 Notwithstanding Paragraph 11.2 and 11.3 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.

- 11.5 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/Unit concerned grant a Student extension of leave beyond the period stated above.
- 11.6 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(SZ).
- 11.7 A Student shall be required to take leave of absence if the condition of his/her health is considered by CUHK(SZ) 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.

## **12.0 Assessment and Examinations**

- 12.1 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.
- 12.2 Course grades, their standards and converted points used in reporting shall be as follows:

<i>Grade and Standard</i>	<i>Sub-divisions (if needed)</i>	<i>Converted Points</i>
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	
U Failure		

“P”/“U” grades are for specified courses adopting a pass/fail grading basis where other grades are not applicable.

- 12.3 The grade point average of a Student’s course work shall be computed by dividing the total weighted converted points for courses taken by the total number of units attempted inclusive of courses failed, where the weighted converted points are converted points multiplied by the number of units of the course concerned. Courses graded by “P” and “U” will not count in the calculation of the grade point average.
- 12.4 A Student who has gained a grade of “D” or above or “P” in a course shall earn the unit/s of that course. The units of courses repeated/retaken shall count only once in the total units gained by the Student.
- 12.5 A Student shall take examinations in the form of written, practical or oral assessment, or continuous assessment, or any combination thereof, as determined by the Graduate Panel concerned.
- 12.6 A Student who for medical or other compelling reasons is unable to sit for any examination or any part thereof shall apply in writing with documentary evidence to the Dean of the Graduate School at the earliest possible instance but not later than five working days after the examination for permission for absence from the examination or any part thereof. The Dean of 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 shall be given a failure grade in that

examination.

- 12.7 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 arrangement.

### **13.0 Unsatisfactory Performance and Discontinuation of Studies**

- 13.1 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 13.3 or Paragraph 13.4 applies. 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 13.3 or Paragraph 13.4.

- 13.2 A research postgraduate Student shall be put on academic probation upon receiving a failure grade in a thesis monitoring course unless Paragraph 13.3 or Paragraph 13.4 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. A Student on academic probation shall be reviewed by the Graduate Panel at the end of the term in which s/he is put on probation, at which time if s/he has attained satisfactory progress, 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 13.3 or Paragraph 13.4.

- 13.3 Unless the Academic Board decides otherwise, a Student shall be required to discontinue studies at CUHK(SZ) 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.

- 13.4 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/Unit concerned and by the Board of Graduate Studies, the Student shall be required to discontinue studies at CUHK(SZ) or may be advised to transfer to a course of study for a research Master's degree in the case of research doctoral Students.
- 13.5 A Student whose thesis is not passed but re-submission is allowed and re-examination is required must re-write and re-submit the thesis to the satisfaction of the Thesis Assessment Committee before being recommended for the award of degree.
- 13.6 A Student who is required to re-submit thesis must do so within twelve months from the date of the official notification of the result of the first examination and within his/her prescribed maximum period of study. Only one re-submission of thesis is allowed. However, under special circumstances, the Board of Graduate Studies may on the recommendation of the Graduate Panel concerned allow extension of re-submission deadline and/or further re-submission.
- 13.7 A research Student or a taught doctoral Student who fails to submit the final version of thesis by the date specified by the Thesis Assessment Committee or before the end of the Maximum Study Period, whichever is sooner, shall be required to discontinue studies, unless special approval is granted by the Board of Graduate Studies.
- 13.8 A Student who receives a failure grade with no allowance for re-submission of thesis shall be required to discontinue studies.

#### **14.0 Re-instatement and Re-admission**

- 14.1 A Student who has withdrawn from CUHK(SZ) 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/Unit concerned and the Academic Board. In principle, no Student whose studies have been discontinued at CUHK(SZ) because of unsatisfactory academic performance or has withdrawn to avoid such discontinuation shall be reinstated.

- 14.2 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 in the following academic year, unless permission is granted by the Academic Board on the recommendation of the School/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.

### **15.0 Recommendation for the Award of Degree**

- 15.1 A Student who has satisfied the graduation requirements shall be presented by the Academic Board of CUHK(SZ) 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 Paragraph 17.0.

### **16.0 Degree Certificate**

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

### **17.0 Disciplinary Action**

- 17.1 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(SZ) and/or CUHK;
  - (b) willful damage to or defacement of any property of CUHK(SZ) and/or CUHK;
  - (c) theft, fraudulent use, misapplication of the funds or property of any kind of CUHK(SZ) 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(SZ) 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(SZ) and/or CUHK;
  - (h) any conduct which is detrimental to the reputation and well-being of CUHK(SZ) 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(SZ) 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 the Unit, as shall be vested with authority in handling matters pertaining to the discipline of Students.

17.2 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(SZ) for a specified period of time;
- (c) demerit(s), of which a total of three may result in termination of studies at CUHK(SZ);
- (d) suspension from CUHK(SZ) for a specified period of time;
- (e) termination of studies at CUHK(SZ); or
- (f) any other form as the Academic Board, School Board or equivalent body of the 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.

17.3 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.

## **18.0 Transitional Arrangements**

18.1 Until the Academic Board of CUHK(SZ) is established, all reference to “Academic Board” in these Regulations should be understood as “Provisional Academic Board” of CUHK(SZ).

Period of Study

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 the **Normative Study Period**. Exceptions require the 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 the 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” or stand-alone M.Phil.)	Full-time	24 months	48 months
M.A., M.Sc., M.S.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

\* CUHK(SZ) 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.