

National Tsing Hua University Directions for Handling of Doctoral/Master's Degree Papers in Violation of Academic Ethics

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

Amendments to Articles 1, 4~10 and 12 approved at the 2nd Faculty Meeting for Academic Year 2022 on December 22, 2022

1. In order to address doctoral/master's degree papers in violation of academic ethics, National Tsing Hua University (hereinafter referred to as "NTHU") establishes the Directions in accordance with Article 17 of the Degree Conferral Act, Article 15 of National Tsing Hua University Enforcement Rules of Master's Degree Examinations, Article 15 of National Tsing Hua University Enforcement Rules of Doctoral Degree Examinations, and National Tsing Hua University Regulations Governing Cases in Violation of Academic Ethics.
2. The doctoral/master's degree papers referred to herein mean those conferred by NTHU in accordance with the Degree Conferral Act.
3. The violation of academic ethics referred to herein means any of the following behaviors:
 - (1) Plagiarism: Quoting another person's work or application information without identifying the source is defined as plagiarism, if the circumstance is considered serious.
 - (2) Fraud: This refers to misconduct, such as fabrication or falsification. Fabrication refers to making up or forging information that does not exist, or having papers written by another person as a substitute. Falsification refers to changing data falsely.
 - (3) Any other violations of academic ethics identified by NTHU Academic Ethics Review Committee.

Plagiarism, fraud or any other violations of academic ethics shall be identified by the Academic Ethics Review Committee consisting of NTHU's related colleges (hereinafter referred to as the "Review Committee").

4. The Research Ethics Office, Office of Research and Development is the unit of NTHU dedicated to accepting reports about doctoral/master's degree papers in violation of academic ethics. Upon receipt of any report from the related unit, which will be registered by an academic officer, the Office of Academic Ethics and Research Integrity (hereinafter referred to as the "Office") shall complete the following approving procedure.

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

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

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

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

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

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

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

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

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

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

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

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

If necessary, the deadlines may be extended upon approval.

Upon completion of the review, the Review Committee shall render its resolution and produce the review meeting minutes in duplicate, which shall be submitted to the Office and the accused person's department (institute, academic program or degree program) for recordation, respectively. If the review result involves withdrawal of the degree, it shall be notified to the Registrar Section, Office of Academic Affairs.

9. If the review members find that a doctoral/master's degree paper violates the academic ethics seriously, the degree shall be withdrawn and the cancellation of the diploma already issued shall be made public. Meanwhile, the students shall be notified to surrender their diploma, and the withdrawal and cancellation shall be notified to other colleges, universities and related agencies.

If the review result finds that the violation of academic ethics is less serious than that referred to in the preceding paragraph, the Review Committee may demand that the accused rectifies their

misconduct, makes a public apology or takes any other appropriate action.

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

10. Once the reported case is concluded through the relevant procedure, the Office shall notify the informer, accused person and their affiliation (school unit or agency (institution)) of the conclusion in writing.
11. Those who receive a doctoral or master's degree in the form of creative work, performance, written report or technical report and are found involved in plagiarism or other frauds may apply the Directions *mutatis mutandis*.
12. Any matters not covered herein shall be resolved in accordance with the regulations governing cases in violation of academic ethics of the Ministry of Education and NTHU.
13. The Directions shall be enforced upon approval of the faculty meeting.