CODE OF PRACTICE

Research Postgraduate Studies

December 2017
The Chinese University of Hong Kong (CUHK) is a bilingual (Chinese and English) and multicultural institution of higher learning founded in 1963. As a first-class comprehensive research university with both a local and an international outlook, we aim at cultivating quality higher degree graduates to serve the increasingly sophisticated needs of society and making contributions to the pool of human knowledge through research. The majority of our staff teaching on our 134-hectare scenic campus is bilingual and recruited from all over the world. We hold fast to our fundamental goal of aiming for excellence in our intellectual pursuits and strive to achieve high programme quality through our distinguished faculty and experienced administrative staff.

Information and figures given in this Code of Practice are valid as of September 2017, unless otherwise specified. The Graduate School reserves the right to make changes without prior notice if circumstances so require.

Graduate School

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This Code of Practice sets out the University’s guidelines and references for research postgraduate studies, i.e., studies leading to the degrees of PhD, DMus, MPhil, MMus and MFA. It offers practical advice and provides guidance on procedures and good practice. The key target readers are research postgraduate (RPg) students, Supervisors and personnel supporting RPg programmes of the University.

The Code of Practice should be read in conjunction with:
- University regulations, in particular the General Regulations Governing Postgraduate Studies;
- the Guidelines and Procedures for Thesis Submission/Assessment for Research Postgraduate and Taught Doctoral Programmes;
- the latest version of the Postgraduate Student Handbook; and
- any other guidelines provided by the Graduate School and the relevant Graduate Divisions, Departments and Faculties.

RPg students must familiarize themselves with this Code of Practice and the above documents. In particular, the General Regulations Governing Postgraduate Studies and the General Information for Thesis Preparation and Submission – A Guide for Research Postgraduate and Taught Doctoral Students contain detailed information on course load, academic standing, leave of absence, thesis related matters, graduation assessment, etc. These documents can be downloaded at the Graduate School website (http://www.gs.cuhk.edu.hk).

The Code of Practice is applicable to all current RPg students, unless otherwise specified. It is updated annually. Students and personnel concerned should check the latest version of the Code of Practice posted on the Graduate School website for any amendments and changes.

While the Code of Practice provides guidance on studies at CUHK, students and staff will find it useful to refer to circulars, notices, prescribed forms and notes for applicants, etc., for purposes of their day-to-day academic activities. The Graduate School has prepared a collection of such useful information and documents on its website for easy reference by students and staff. Students are advised to visit the Graduate School website regularly to keep themselves well-informed of any latest announcements and activities.
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1. Role of Stakeholders

1.1 Stakeholders

The roles of the various RPg stakeholders and their relationships under the prevailing governance structure are described briefly below.

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

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

Each RPg student is assigned a Supervisor at the time of admission or later on when the student’s field of research is confirmed. A Co-supervisor can also be appointed for academic or administrative reasons.

The Supervisor is a full-time academic staff of a Graduate Division of a specific discipline. Each Graduate Division structurally forms part of a Faculty. The Board of Faculty co-ordinates the activities of the Departments within the Faculty and considers and deals with the recommendations of the Departments regarding the content of courses for the degree or degrees and on the details of syllabuses. A Graduate Panel is set up for each Graduate Division to take care of matters of postgraduate studies. The roles of a Graduate Panel will be discussed later in this Chapter.

A Thesis Assessment Committee is set up for each RPg student. The Thesis Assessment Committee acts independently according to a set of well-defined procedures which makes recommendations to the Graduate School for the final grade of a student’s thesis or other actions regarding the student concerned.

The Graduate School co-ordinates all postgraduate programmes leading to higher degrees and postgraduate diplomas/certificates. Hence, the Head of a Graduate Division reports to the Dean of the Graduate School and the Department Chairman concerned for operations of his/her Graduate Division’s postgraduate programmes. S/he also bears the responsibility to ensure compliance of all RPg programmes offered by the Division with University rules and policies.

The Graduate School also provides administrative support to the Graduate Council and its Executive Committee. The powers and duties of the Graduate Council are (a) to advise the Senate on all graduate programmes of studies; (b) to co-ordinate the activities of the Graduate Divisions within the Graduate School; and (c) to consider and deal with the recommendations of the various Graduate Divisions on the content of courses and on the details of syllabuses.
The Senate has the control of and regulates (a) instruction, education and research; (b) the conducting of examinations for students; and (c) the award of degrees, diplomas, certificates and other academic distinctions of the University.

RPg students are also supported by various service units at CUHK, such as the Postgraduate Halls and the Office of Student Affairs.

The following diagram describes in general the relationships and interactions among various stakeholders.

Key to relationships in general:
- Teaching, learning and academic advice
- Administrative governance and policies
- Progress and assessment
- Non-academic advice, services and support

Among these stakeholders, the relationships and interactions between a student and his/her Supervisor are of prime importance in RPg studies. Their roles and that of the Graduate Panel are described in more detail in the following sections.

1.2 Interaction between student and Supervisor

The student-Supervisor relation is the crux of high-quality postgraduate student management. Yet the situation for each student is unique, Supervisors tend to adopt a great variety of supervising styles, and there are differences in culture from discipline to discipline.
While individuality of each student-Supervisor relation should be fully respected, there are some general principles that students and Supervisors could observe in order to make the most out of the relationship.

For an RPg student under supervision:

(a) The responsibility of producing a quality thesis lies ultimately with the student, not the Supervisor.

(b) Since professors have to manage many tasks simultaneously in addition to supervising research students, it is advisable for a student to take the initiative in establishing an effective and practical work plan with his/her Supervisor. Normally, this implies requesting regular meetings with the Supervisor, providing timely and accurate updates to the Supervisor on ongoing research progress, and seeking feedback and advice on a regular basis.

(c) A good student-Supervisor relation is based on mutual respect and trust. Thus, the academic judgment and supervisory recommendations of the Supervisor should be duly respected. Following this guideline does not imply critical reasoning and objectivity are to be encroached upon, but rather that in case of academic disagreement, frank and respectful communication is always the best approach to take. In the rare instance of serious and prolonged disagreement with one’s Supervisor, a student could bring the matter to the attention of the Head of his/her Graduate Division or the Department Chairman for resolution.

(d) It is important for a student to understand the expectations of his/her Supervisor. The annual research progress report is set up for this purpose. Conversely, it is also important to know the role and responsibilities of a Supervisor as well as his/her limitation. A student should always remember that while a Supervisor is expected to provide guidance and advice on research direction, no one can guarantee success in any meaningful research endeavour. In addition, while a Supervisor is expected to offer advice during the thesis writing process, there is no responsibility for the Supervisor to edit or rewrite a thesis for the student. It is the obligation of a student to submit a well-edited thesis for examination and there should be enough lead time before the deadline to allow for comments and further revision if necessary.

For a Supervisor:

(a) A research student is not a research assistant. Provision of education to the student should be the primary goal.

(b) As it takes a significant amount of time to supervise a research student, there is a limit on the number of RPg students that a Supervisor may take up at one time. A Co-supervisor can offer additional support and input to the students and is encouraged. If a Supervisor who is planning to take a leave of absence, a Co-supervisor must be appointed to ensure provision of continuous supervision.

(c) A student-Supervisor relation based on mutual respect and trust is more efficient and effective. In particular, the rights of the student should be fully recognised and protected, including rights protected under the Personal Data Ordinance and all the ordinances under the purview of the Equal Opportunities Commission in Hong Kong.
(d) A Supervisor should only assign tasks to research students that are directly related with students’ research studies. Duty assignments related to postgraduate studentship is limited to 12 hours per week on average. Under no circumstances should a student be asked to perform duties unrelated to the University. Beware of issues that may give rise to a conflict of interest.

(e) Communicate expectations clearly to the students. Review their progress frequently and do provide timely feedback and advice. Document any unsatisfactory performance of students in detail. The concerned student should be given sufficient warnings so that s/he can take necessary remedial actions.

(f) As the staff in frequent contact with students, a Supervisor is expected to provide invaluable support to the students’ overall educational experience at the University. Supervisors could offer advice to students facing difficulties in their adjustment to the university life or sound early warning signals for potential problem cases. A graduating student on the other hand could benefit tremendously from the first-hand knowledge and connections availed by the Supervisor.

1.3 Graduate Panel

A Graduate Panel is set up for each Graduate Division with the Graduate Division Head as the Chairman and at least two other members to be nominated by the Graduate Division Head. Its responsibility is to endorse or decide on:

- courses of study to be offered;
- the research field for each student;
- the Supervisor/Co-supervisor for each student;
- the selection of applicants for admission; and
- any other matters related to the Graduate Division.

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

(a) Each student selects his/her intended field of studies within his/her Graduate Division at the time of application.

(b) The appointment of Supervisors for each student, if possible, is made as soon as the student is admitted. If this appointment is not made at that time, the Graduate Division may arrange to have an advisor or the Graduate Division Head to serve as temporary Supervisor for the student.

(c) The student may inform the Graduate Panel of his/her preference for Supervisor; but the final decision rests with the Graduate Panel.

(d) A Supervisory Committee may be set up for each student consisting of one to three persons, including the Supervisor, the Graduate Division Head and/or another teacher in the Graduate Division.
2. Basic Information on Programmes and Courses

2.1 Research postgraduate programmes

The Graduate School offers through 59 Graduate Divisions a total of 97 research programmes, namely those examined by scrutiny of an extended research dissertation and an oral examination and are leading to the degrees of PhD, DMus, MPhil, MMus and MFA. As of September 2017, the number of research postgraduates programmes offered by CUHK was as tabulated below:

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<td></td>
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<tr>
<td>DMus</td>
<td>1</td>
<td></td>
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<tr>
<td>Master’s programmes</td>
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<tr>
<td>MPhil</td>
<td>28</td>
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<tr>
<td>MFA</td>
<td>1</td>
<td></td>
</tr>
<tr>
<td>MMus</td>
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<tr>
<td>“Articulated” MPhil-PhD programmes</td>
<td>41</td>
<td></td>
</tr>
<tr>
<td>Total</td>
<td>99</td>
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New programmes may be proposed by Graduate Divisions/Faculties or initiated by the University in accordance with its strategic development. Such initiative may be mobilised by intellectual pursuits, international and societal developments, academic advancement, technological breakthrough or available resources. Graduate Divisions may also propose changes to existing programmes/courses to refresh or revitalise them. There are well-defined guidelines and procedures and a schedule for submission of programme proposals which are available at the Graduate School website.

2.2 MPhil-PhD Programmes

Any Graduate Division that has an MPhil and a PhD Programme may choose to convert to the articulated MPhil-PhD Programmes. New programmes can be created directly in this mode.

The framework of articulated MPhil-PhD Programmes introduces more flexibility in the entry requirement for PhD Programmes, and at the same time imposes formal candidacy requirements. It also brings more uniformity in the programme structure and requirements in order to enhance quality assurance.

Students applying for admission to articulated MPhil-PhD Programmes should state their intention to pursue either an MPhil or a PhD. The minimum requirement for admission to an articulated MPhil-PhD Programme is the same as that for an MPhil Programme. Graduate Divisions will steer applicants into the appropriate stream, according to their research ability, potential and interest.

More information about the articulated MPhil-PhD Programme can be found in Section 5 of this document.
2.3 Strategic goal statement for research postgraduate programmes

As a first-class comprehensive research university, the University places special importance on the RPg programmes offered through different Graduate Divisions. RPg programmes should be pursued with the following strategic objectives in mind:

(a) RPg programmes aim to deliver scholarly values at the quality level of a first-class university. They should be fully in line with the strategic goals of the University as well as the Faculty and the Department concerned.

(b) RPg programmes have the objective to train first-class researchers who attain national and international leadership positions in their respective fields and who advance scholarly knowledge with the ultimate goal to serve the society.

(c) RPg programmes should serve as a two-way link between the University and the outside society. They are expected to incorporate knowledge gained through research conducted at the University and at other places. At the same time, they should disseminate knowledge developed and advanced at the University so as to improve the reputation and the standing of the University locally, regionally and internationally.

Policies and plans for RPg programmes should be formulated with these objectives in mind.

2.4 Graduate attributes of research programmes

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

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

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

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

Postgraduate students are expected to possess attributes of holders of first degrees obtained from the University or other leading tertiary institutions in domains such as academic honesty, personal integrity, critical and independent thinking, communication and language skills, global vision, desire to serve the society, and others. Whole-person development therefore does not form part of the formal educational objectives of most postgraduate programmes offered at the University.

2.5 Modes of study

The mode of study of a postgraduate programme may be full-time or part-time. Unless otherwise specified, classes of part-time programmes may be scheduled in day time as for full-time programmes. Part-time students have to make their own arrangements to attend day-time classes.

Application for change of study mode is allowed only within students’ normative period of study and it must be recommended by the Graduate Division concerned and approved by the Dean of the Graduate School.

The remaining normative and maximum periods of study for both students changing from full-time to part-time or students changing from part-time to full-time are computed based on the following principle – ratios of time spent by part-time students as compared with full-time equivalents:

(a) 2/3 for MPhil students during the normative study period;
(b) 3/4 for PhD students during the normative study period.

Conversion tables are published in the *Postgraduate Student Handbook* for easy reference. Continuing students, i.e., students beyond the normative study period, are not allowed to change their study mode.

2.6 Jointly supervised programmes

Committed to providing world class education and training to researchers, CUHK Departments and Faculties are keen at forming jointly supervised research programmes with strategic research partners outside Hong Kong. Such collaborative programmes are proposed or formed based on, amongst a number of driving factors, the strength and reputation of the partner institutions, alignment of strategic goals, and availability of resources. Some features of these collaborative programmes are described below:
(a) The partner institutions are research organizations of distinguished standing and of strategic alliance value to CUHK.

(b) Such programmes are for PhD students only.

(c) Each student should have a CUHK Supervisor and a Co-supervisor from the partner institution. Researchers from the partner institution could not serve as external examiners for the student’s thesis.

Students who wish to find out more about these collaborative programmes may inquire with their Supervisors/Graduate Divisions.

2.7 Courses

A RPg programme is made up of courses on specific topics. Courses could be lectures, tutorials, laboratory work, seminars, studio-based, field studies, meetings on research progress, etc., which carry a different number of units. Although research programmes emphasise mainly research and laboratory activities, there are not less than 12 units of course requirements for students of articulated MPhil-PhD Programmes.

Courses are broadly divided into taught courses and research courses. A typical 3-unit taught course is made up of a two-hour lecture and a onehour tutorial per week throughout a teaching term (the number of hours students spent on out-of-class self-studying is not included). For research courses, arrangements on duration, meeting frequency and venue are usually made between the student and his/her Supervisor. The general rule is that each unit of course is regarded as equivalent to approximately 3 hours of study/research per week by the student.

The fundamental concepts and key principles covered by each course are listed in the course outline. The content specification is not exhaustive. Besides, learning outcomes, i.e., capabilities, knowledge and skills students expected to have developed during the course, are clearly specified in the course outline.

2.8 Course code and sequence

Since 2010-11 the course code comprises 4 letters and 4 numerals. The first 4 letters stand for the subject (e.g. BIOL for Biology) and the first numeral stands for the level of study. Undergraduate courses are coded 1000 to 4000 while postgraduate courses are coded 5000 to 8000. Details are given below:

<table>
<thead>
<tr>
<th>Level</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>5000</td>
<td>Postgraduate Diploma/Master’s courses</td>
</tr>
<tr>
<td>6000</td>
<td>Advanced Master’s courses</td>
</tr>
<tr>
<td>7000</td>
<td>Doctoral courses</td>
</tr>
<tr>
<td>8000</td>
<td>Thesis monitoring courses, e.g., Thesis Research courses of “articulated” MPhil-PhD Programmes or thesis monitoring courses for other MPhil and PhD programmes.</td>
</tr>
</tbody>
</table>
Lower level courses should normally be taken before upper level courses. However, some flexibility is allowed through opening most courses to students of all years subject to satisfactory fulfilment of pre-requisite and co-requisite requirements, unless otherwise stipulated by the Programme.

As resolved by the Senate, no double-coding of a single course is allowed.

2.9 Cross-institutional courses and Joint Centre for Advanced Study

In order to enhance students' access to educational resources available elsewhere in Hong Kong, local universities have entered into collaboration to share RPg courses. Students from local universities are able to benefit from the exposure gained from the joint teaching offered by collaborating universities and interaction with students from other institutions. There are two such collaborative schemes:

(a) Cross-Institutional Course/Subject Enrollment Scheme

Participating universities are CityU, CUHK, EdU, HKBU, HKU, HKUST, LU and PolyU. Students who are interested in taking courses offered by other local universities through this Scheme may visit the Graduate School website for announcements regarding courses to be available for enrollment for each term.

(b) Joint Centre for Advanced Study

The Joint Centre for Advanced Study (JCAS) is a joint effort among CUHK, HKU and HKUST in developing greater and deeper collaboration in response to the University Grants Committee’s (UGC) initiative in the development of strategic alliances and deep collaboration in higher education. The first initiative under this umbrella is the joint offering of courses for RPg students. Courses in Chemistry, Mathematics, Molecular Medicine and Physics are offered.

Students in these research areas who are interested in taking courses available under this Scheme may consult their Graduate Divisions.
3. Admissions

3.1 Admission process

Postgraduate admissions are coordinated by the Graduate School, which invites applications all year round. Applications are considered based on their merits. Local and non-local applications are handled fairly and equally. Successful applicants are normally admitted to the following Fall Term (beginning in August). Applications for deferred admission to the Spring Term (beginning in January) or the next academic year will only be considered if students are unable to take up the study due to illness or an unavoidable cause. The maximum period for deferred admission is one year. Applications for deferred admission should be made to the Graduate Division Head before the start of the academic year.

Each year the Graduate School arranges a briefing on postgraduate admission for staff members of the University. The Manual on Postgraduate Admissions will be updated and distributed to guide them through the exercise. The admission and notification processes are summarised in the diagram on the following page.

3.2 Entrance requirements

Entrance requirements of different RPg programmes are set out in the General Regulations Governing Postgraduate Studies (http://www.gs.cuhk.edu.hk). Graduate Divisions may set additional programme-specific requirements, such as a subject test, or waive such requirements for some special cases. Applicants are also required to fulfil the University’s minimum English language requirements for admission to our RPg programmes. Details are given in the latest year version of the Research Postgraduate Prospectus (http://www.gs.cuhk.edu.hk/admission).

Applicants holding academic qualifications awarded by completing a programme which differed substantially from “traditional” curricula may be required to provide evidence or objective assessment from accreditation bodies, e.g., Hong Kong Council for Accreditation of Academic and Vocational Qualifications (HKCAAVQ), for further consideration.

3.3 Quality of students admitted to RPg programmes

For quality assurance purposes, the entrance qualifications of admitted RPg students is closely monitored. The Executive Committee of the Graduate Council (GCExCo) resolved in November 2011 to entrust Faculties with the responsibility of monitoring the quality of RPg admissions. Statistics are collected from the Faculties for presentation to the Resource Allocation Committee (RAC). Supervisors and staff members responsible for RPg admissions should uphold the standards for student admissions, as one of the quality assurance measures.
Admission and Notification Processes

Applications

Graduate Divisions

Reject

GS

Post result on Web

Applicants who meet all requirements

Recommend to admit

Applicants who do not meet all requirements

Division submits full justification to GSAC

Applicants who are expected to meet all requirements and awaiting documentary proof

GS

GS posts result on Web

Approve

Reject

GS posts result on Web

Applicant declines offer

Applicant accepts offer

GS posts result on Web

Applicant declines offer

Applicant accepts offer

Applicant declines offer

Applicant accepts offer

Evidence provided by applicant do not meet condition or no evidence provided by deadline

Evidence provided by applicant meets condition

Offer void

Registration

Offer void

Registration

GS - Graduate School
GSAC - Graduate School Admissions Committee
4. Registration/Residence Requirements/Leave of Absence

4.1 Orientation

Each year in August, the Office of Student Affairs (OSA) arranges an orientation programme for new postgraduate students. The programme covers matters relating to academic study and campus life. Some of topics are listed below:

- Improvement Postgraduate Learning
- Honesty in Academic Works
- Mental Wellness and Postgraduate Studies
- Introduction to CUPSA and CSSA
- CUSIS & My Study
- Preventing Sexual Harassment
- Introduction to Student Services
- Tips for Non-local Students
- Career Planning & Development

New students are strongly advised to participate in the programme to get acquainted with life in CUHK and also life in Hong Kong for non-local students.

4.2 Student registration

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

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 this University or at any other tertiary institution unless an application has been submitted in advance to the Graduate Division concerned, endorsed by the Faculty concerned and approved by the Graduate Council. A student in breach of this regulation shall be required to discontinue studies at the University.

4.3 Course selection

The Graduate School announces schedules for course selection and course add/drop on its website. Students are able to complete course selection and course add/drop via the Chinese University Student Information System (CUSIS) which is accessible via the Graduate School website. All relevant materials, such as study schemes and teaching timetables, are available at CUSIS. If students wish to register course(s) outside their own study schemes, they should make an application using the prescribed form to obtain prior approval from the Supervisors and the offering department of the course(s).
Students are able to check their own course register at CUSIS during and after the course selection period. The course register is tentative until approval has been obtained from the Graduate Division after the add/drop period. Students will be informed when the final course register is available. Enrollment of courses with limited quota is subject to the Graduate Division’s confirmation. Students are therefore advised to check their final course register before attending classes.

Courses of each programme listed in the Student Handbook will be offered according to resources available each year and are subject to approval by respective Faculty Boards. Students should refer to the “Teaching Timetable” at the Graduate School website for information of course offerings in the current academic year.

According to the Regulations, a student should take at least one course in each term, unless otherwise stated in the study scheme or approved by the Head of Graduate Division concerned. Students who have already submitted their theses are not required to take any courses.

Only under special circumstances may a student apply for permission to withdraw from a course or enroll in another course after the add/drop period. Such an application should be made according to the prescribed procedures which should be submitted to the Dean of the Graduate School for approval. A student who does not complete a registered course without approval to withdraw from it will obtain a failure grade for the course.

4.4 Residence requirements

Residence requirements as defined below are applicable to all full-time and part-time RPg students.

(a) A student is classified as being in residence if s/he is attending courses as prescribed by his/her programme and receiving supervision on a regular basis.

(b) A student who is in Hong Kong except for absences not exceeding three consecutive weeks and not exceeding one month on aggregate in an academic year is deemed to be receiving regular supervision, and is regarded as in residence provided that s/he is also attending courses, if required.

(c) A student who is not in Hong Kong is normally deemed to be not receiving supervision, and is not regarded as being in residence. In cases where the student would nevertheless receive adequate supervision on a regular basis while away from Hong Kong, or where the absence from Hong Kong is related to an academic purpose, an application should be made beforehand via the Supervisor and the Head of Graduate Division for approval by the Dean of the Graduate School in order 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 being away from Hong Kong if the programme of studies approved by the Graduate Council and the Senate so provide.

Except for periods of approved leave, and except as provided in (b) and (c) above, all students are required to be in residence during their period of study. 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 Head of Graduate Division concerned.
4.5 Normative and maximum study periods

An RPg student is expected to submit his/her thesis and complete all other graduation requirements by the end of the normative study period unless an extension has been granted. Beyond the normative study period, students will be classified as continuing students. A student must complete the graduation requirements within the maximum study period, which shall include any periods of leave of absence and any suspension of studies. A student who cannot complete all requirements within the maximum study period is required to discontinue his/her studies at the University.

The normative and maximum study periods of different research programmes are tabulated below:

<table>
<thead>
<tr>
<th>Degree</th>
<th>Normative Study Period</th>
<th>Maximum Study Period</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Full-time</td>
<td>Part-time</td>
</tr>
<tr>
<td>PhD, DMus</td>
<td></td>
<td></td>
</tr>
<tr>
<td>- Students with a research master’s degree</td>
<td>36 months</td>
<td>48 months</td>
</tr>
<tr>
<td>- Students without a research master’s degree</td>
<td>48 months</td>
<td>64 months</td>
</tr>
<tr>
<td>PhD (MPhil - PhD Programmes)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>- Students with a research master’s degree</td>
<td>36 months</td>
<td>48 months</td>
</tr>
<tr>
<td>- Students without a research master’s degree</td>
<td>48 months</td>
<td>64 months</td>
</tr>
<tr>
<td>MPhil</td>
<td>2 years</td>
<td>3 years</td>
</tr>
<tr>
<td>MMus</td>
<td>1 year</td>
<td>2 years</td>
</tr>
<tr>
<td>MFA</td>
<td>2 years</td>
<td>--</td>
</tr>
</tbody>
</table>

More details of the study periods can be found in the *General Regulations Governing Postgraduate Studies* at the Graduate School website.

4.6 Shortening of normative study period

A student who wishes to graduate before the normative study end date may apply with the Graduate Council (via his/her Graduate Division) to shorten the study period, provided that the application is in line with the following principles:

(a) For students who are receiving Postgraduate Studentships, the award period will be shortened according to the new end date.

(b) The application must be endorsed by the Graduate Division concerned.

(c) The student must complete all programme requirements by the new end date.

(d) The student should have passed his/her thesis without the need for major revision.
In any case, approval for shortening the normative study period is subject to the statutory minimum of 12 months for master’s programmes and 24 months for doctoral programmes.

A student who is approved to shorten the normative study period should settle the full tuition fee for the term (or the 6-month period for Ph.D. students) that s/he has partially attended.

4.7 Programme change or transfer candidature

Students may apply to change programme or transfer candidature. Different scenarios and the respective approval procedures are described in the following table:

<table>
<thead>
<tr>
<th>Scenarios</th>
<th>Approval procedures</th>
</tr>
</thead>
<tbody>
<tr>
<td>(a) Change to another programme of a different Graduate Division</td>
<td>1. Heads of both Graduate Divisions to endorse</td>
</tr>
<tr>
<td></td>
<td>2. GCExCo to approve</td>
</tr>
<tr>
<td>(b) Change to another master’s programme in the same discipline (e.g., from MSc to MPhil of the same Graduate Division), where period of study carried over is equal to or NOT more than 50% of the normative period for the new programme</td>
<td>1. Graduate Division Head to approve and report to GS</td>
</tr>
<tr>
<td></td>
<td>2. GCExCo to note</td>
</tr>
<tr>
<td>(c) Change to another master’s programme in the same discipline (e.g., from MSc to MPhil of the same Graduate Division), where period of study carried over is more than 50% of the normative period of the new programme</td>
<td>1. Graduate Division Head to endorse</td>
</tr>
<tr>
<td></td>
<td>2. GCExCo to approve</td>
</tr>
<tr>
<td>(d) Change of the mode of study (full-time/part-time)</td>
<td>1. Graduate Division Head to endorse</td>
</tr>
<tr>
<td></td>
<td>2. Dean of the GS to approve</td>
</tr>
<tr>
<td>(e)(i) Transfer of candidature (MPhil or PhD Programmes) - from MPhil to PhD</td>
<td>1. Graduate Division Head to approve straightforward cases and report to GS</td>
</tr>
<tr>
<td></td>
<td>2. Dean of the GS to approve cases which do not meet entrance requirements but with publications</td>
</tr>
<tr>
<td></td>
<td>3. GCExCo to approve exceptional cases, and to note straightforward cases and exceptional cases with publications</td>
</tr>
<tr>
<td>(e)(ii) Transfer of candidature (articulated MPhil-PhD Programmes) – from MPhil to PhD (pre-candidacy) or vice versa</td>
<td>1. Graduate Division Head to approve and report to GS</td>
</tr>
<tr>
<td></td>
<td>2. GCExCo to note</td>
</tr>
<tr>
<td>(f)(i) Transfer of candidature (articulated MPhil-PhD Programmes) - from PhD (post-candidacy) to MPhil</td>
<td>1. Graduate Division Head to endorse</td>
</tr>
<tr>
<td></td>
<td>2. GCExCo to approve</td>
</tr>
</tbody>
</table>
Regarding (f)(ii) above, transfer from the PhD (post-candidacy) stage to MPhil status is normally not permitted; exceptions will be considered by the GCExCo.

The transfer process of articulated MPhil-PhD Programmes is shown in the diagram below:

* The Thesis Assessment Committee may recommend the award of an M.Phil. degree to a Ph.D. student. In this case full justification is requested for the consideration of the Graduate Council.
### 4.8 Leave of absence

In case of illness necessitating absence exceeding three weeks, a student should submit an application together with a medical certificate signed by the Director of the University Health Service or a registered medical practitioner(s) to obtain endorsement from the Graduate Division concerned and permission from the Dean of the Graduate School.

On the other hand, applications for leave of absence for non-medical reasons are handled as follows:

<table>
<thead>
<tr>
<th>Leave of absence</th>
<th>Approval procedures</th>
</tr>
</thead>
<tbody>
<tr>
<td>(a) Annual Leave (i.e. 14 working days with pay per academic year)</td>
<td>Department Chairman to approve</td>
</tr>
<tr>
<td>(b) Academic Leave</td>
<td></td>
</tr>
<tr>
<td>(i) In-residence leave (for conference and other academic purposes)</td>
<td>1. Supervisor and Head of Graduate Division to endorse</td>
</tr>
<tr>
<td></td>
<td>2. Department Chairman to approve</td>
</tr>
<tr>
<td></td>
<td>1. Supervisor and Head of Graduate Division/Department Chairman to endorse</td>
</tr>
<tr>
<td></td>
<td>2. Dean of the GS to approve</td>
</tr>
<tr>
<td>(c) Non-Academic Leave</td>
<td></td>
</tr>
<tr>
<td>(i) No-pay leave (i.e. leave with PGS suspended)</td>
<td>1. Supervisor and Head of Graduate Division to endorse</td>
</tr>
<tr>
<td></td>
<td>2. Department Chairman to approve</td>
</tr>
<tr>
<td></td>
<td>1. Supervisor, Head of Graduate Division and Department Chairman to endorse</td>
</tr>
<tr>
<td></td>
<td>2. Dean of the GS to approve</td>
</tr>
<tr>
<td></td>
<td>1. Supervisor, Head of Graduate Division and Department Chairman to endorse</td>
</tr>
<tr>
<td></td>
<td>2. Graduate Council to approve</td>
</tr>
</tbody>
</table>

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 will be considered as having withdrawn from studies.
4.9 Student visa

As of December 2016, CUHK’s enrollment of postgraduate students is around 12,342, including a substantial portion of international students from around the world, who must first obtain a student visa or other forms of permission by the Immigration Department of the Government of the HKSAR for studying in Hong Kong. Under the refinement measures implemented in March 2014 in relation to Hong Kong’s Development as a Regional Education Hub, the length of stay for non-local students studying full-time locally-accredited post-secondary local programmes will be aligned with the normal duration of programmes, subject to a maximum of six years. As their stay in Hong Kong is governed by law, all non-local students must comply with conditions and requirements attached to their student visa.

The following are some highlights of recent immigration arrangements which are applicable to non-local RPg students:

(a) Full-time students may take up study-related internships as arranged or endorsed by institutions, as well as part-time on-campus jobs for up to 20 hours per week. All students are required to comply with the CUHK policy on taking up of part-time jobs and internship which is applicable to both local and non-local students.

(b) All non-local students will be allowed to pursue short-term studies in programmes offered by Hong Kong higher education institutions with degree-awarding powers, provided that the cumulative duration of short-term studies should not exceed 180 days within any 12-month period. All students are required to comply with the CUHK policy on concurrent registration, which is applicable to both local and non-local students.

(c) Non-local fresh graduates who wish to apply to stay and work in Hong Kong after graduation are not required to secure an offer of employment upon application. They may be granted a 12 months’ stay without other conditions of stay provided that normal immigration requirements are met, and during which they are free to take up or change employment in Hong Kong.

Relevant information on student visa can be found on the Immigration Department website at http://www.immd.gov.hk/.

4.10 Employment

According to the Regulations, full-time students are not allowed to take up any full-time employment, paid or unpaid, during term time within the normative period of study. Moreover, holders of Postgraduate Studentship (PGS) are not allowed to take up full-time or part-time employment. However, there are still chances of employment during their studies:

(a) Taking up of part-time employment by PGS holders – PGS holders may take up part-time engagements of up to 50 hours per academic year. If the engagement concerned was requested by the students’ Graduate Division, the ceiling would be relaxed to a total of 100 hours per academic year. The approval authority rests with the Heads of Graduate Division. However, applications that exceed the ceiling should be submitted to GCExCo for prior approval.
(b) Taking up of full-time employment by full-time students – students who are approaching the end of the normative study period could consider taking up a full-time employment if the following conditions are met:

(i) the student concerned already completed all programme requirements and submitted the thesis;

(ii) the student concerned either is not a PGS holder or is given approval by the Department Chairman to relinquish the PGS giving one month’s notice, as stipulated in the PGS award letter; and

(iii) endorsement from the Thesis Supervisor is obtained.

Non-local students please also refer to the previous section on student visa.
5. Supervisors

5.1 Assignment of Supervisors

A Supervisor is a full-time academic staff of a Graduate Division who is assigned by the Graduate Panel concerned to provide training to students and guide them through their studies. The topics/areas available for thesis research, together with the names of the teachers who can supervise these topics/areas are made known to students by the Graduate Divisions. The student, on the other hand, should make his/her preference known to the Graduate Panel.

A Supervisor is supposed to:

(a) be familiar with rules and regulations of the University, in particular those concerning postgraduate studies;
(b) participate in activities as requested by his/her Graduate Division in support of the running of programmes of studies;
(c) identify eligible and appropriate applicants for admission to his/her programme of studies; and
(d) identify problems and difficulties encountered by his/her students and offer advices.

The Graduate Panel has the responsibility and complete authority to appoint and to reassign academic staff for supervision of students, provided that the Supervisor/Co-supervisor(s) meet the eligibility requirements. There should be only one academic staff designated as Supervisor. All supervisory appointments have to be reported to the Dean of the Graduate School.

A Supervisor should not at any one time supervise more than a specified number of research students (including continuing students), to be determined by each Faculty. The Head of Graduate Division may give approval to a teacher (other than himself/herself) to exceed the limit by two. Further exceptions and exceptions for the Head of Graduate Division himself/herself may be considered by making application to the Dean of the Graduate School.

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

5.2 Eligibility requirements of a Supervisor

For Master’s programmes, the Supervisor should be a full-time academic staff at the rank of Assistant Professor or above at CUHK, in addition s/he should either

(a) have held a PhD degree or equivalent for at least one year; or
(b) have held a Master’s degree by research or a relevant professional Master’s degree for at least three years, and have (i) successfully co-supervised an MPhil thesis or equivalent, or (ii) successfully supervised an MPhil thesis or equivalent at other institution.
For doctoral programmes, the Supervisor should be a full-time academic staff at the rank of Assistant Professor or above at CUHK, in addition should have held a PhD degree or equivalent for at least three years, and have either

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

Potential Supervisors who do not meet the “additional” requirements may (a) act as Supervisors upon the recommendation of the Graduate Division as approved by the Dean of Faculty, considerations to be based mainly on experience in research; or (b) act only in a co-supervisory capacity together with another Supervisor who satisfies the above conditions; or (c) seek special approval from the GCExCo.

In the case of a doctoral candidate who is also an academic staff of the University, all Supervisors must be teachers at the rank of Associate Professor or above. Furthermore, if the candidate is at the rank of Associate Professor or above, the appointment of the Supervisor and/or Co-supervisor will have to be submitted to the GCExCo for approval.

Please also refer to the Guidelines and Procedures for Thesis Submission/Assessment for Research Postgraduate and Taught Doctoral Programmes available at the Graduate School website.

5.3 Induction of new Supervisors

The Graduate School currently maintains a list of Supervisors. In order to better prepare first-time Supervisors, the Graduate School offers, in collaboration with Centre for Learning Enhancement And Research (CLEAR), a module in the Professional Development Course entitled "Workshop on Research Postgraduate Supervision (for Assistant Professor grade only)". Experienced Supervisors will be invited to share their experience with junior faculty members.
6. Progress towards Graduation

6.1 Graduation requirements

All RPg students are required to fulfil a set of graduation requirements as prescribed by the Programme in order to graduate. Some of the requirements are common to RPg programmes while some are specific to individual Programmes or individual students. Different types of graduation requirements will be introduced briefly in the following sections. Students should refer to the Course List, Course Description and Study Scheme of the respective Programmes in the Postgraduate Student Handbook for details. Besides, RPg students should report and record the fulfilment of graduation requirements in the Study Plan and Progress Report for RPg studies in consultation with the Supervisor.

6.2 Course requirements

The course requirements list the required courses and elective courses, if applicable, of the Programme. Taught courses (excluding courses with research elements, such as “Research”, “Thesis Research”, “Thesis Preparation”, etc.) aim to enhance the knowledge in research. In general, the requirement for different RPg programmes is as follows:

(a) not less than 12 units for research Master’s;
(b) not less than 12 units for research doctoral students in the pre-candidacy stage, completion of which will be part of the candidacy requirements.

The two requirements could be identical, but a higher requirement can be set for PhD candidacy if the Graduate Division so desires. Doctoral students without a research Master’s degree may be required to take additional courses. The Graduate Division may specify the minimum grade at which these courses must be passed.

Students should take at least one taught course in each term, unless otherwise stated in the Study Scheme or approved by the Graduate Division Head concerned.

In addition, students’ research progress is monitored through taking “Thesis Research” courses. The minimum number of units to be taken by RPg students in each Term is given below. Each unit is regarded as equivalent to approximately 3 hours of study/research per week by the student.

<table>
<thead>
<tr>
<th>Status</th>
<th>Full-time (no. of units)</th>
<th>Part-time (no. of units)</th>
</tr>
</thead>
<tbody>
<tr>
<td>MPhil</td>
<td>6</td>
<td>3</td>
</tr>
<tr>
<td>PhD (pre-candidacy)</td>
<td>6</td>
<td>3</td>
</tr>
<tr>
<td>PhD (post-candidacy)</td>
<td>12</td>
<td>6</td>
</tr>
<tr>
<td>Continuing students</td>
<td>3</td>
<td>3</td>
</tr>
</tbody>
</table>
6.3 Postgraduate students taking undergraduate courses

Postgraduate students are allowed to enroll in undergraduate courses (4000 level or below) in the following situations:

(a) Taking undergraduate courses as make-up requirements
An RPg student with a first degree in subject A admitted to a postgraduate degree programme in subject B may have to make up some undergraduate courses in subject B.

(b) Taking undergraduate courses which are not required
RPg students may take other undergraduate courses, typically in a different subject, purely for broadening purpose or interest (e.g., calligraphy or music), or to develop other skills (e.g., language, including a third language).

RPg students who wish to take undergraduate courses should first consult their Supervisors.

Programmes can include up to 15% of undergraduate courses in the programme requirements. GCEExCo’s approval is required if Graduate Divisions request to include more than 15% undergraduate courses in the programme requirements.

6.4 Research thesis and oral examination

All RPg students are required to submit a research thesis and pass an oral examination. The schedule, procedures, and assessment of the research thesis and oral examination will be described in detail in section 8 below.

6.5 Candidature for doctoral degree

There are two stages of PhD study: the pre-candidacy stage and the post-candidacy stage. No student will be admitted directly as a PhD student (post-candidacy); such a status can only be gained by a PhD student (pre-candidacy) upon satisfying all candidacy requirements for those under “articulated” scheme and the Qualifying Examination for those under the “non-articulated” scheme. Only a PhD (post-candidacy) candidate can submit a thesis and be examined.

The candidacy requirements are set by the Graduate Division, with administration taken care of by the Graduate School. A PhD student shall not proceed to the post-candidacy stage until s/he has fulfilled all components of the candidacy requirements. The candidacy requirements include at least the following components:

(a) course requirements;
(b) Candidacy Examination/Qualifying Examination; and
(c) thesis proposal and defence of the proposal.

The Candidacy Examination or Qualifying Examination contains a written component of one or more papers, which cover the basic disciplinary knowledge expected of a PhD student. The subject coverage is not specific to each student, but is the same for a broad subject category within each Graduate Division (e.g., applied physics, Chinese linguistics). The Graduate Division may specify
that certain papers can be replaced by passing relevant courses at specified grades. There may be an additional oral component.

6.6 Candidacy Examination and Qualifying Examination

Candidacy Examination and Qualifying Examination are two different terms used in the assessment of PhD students for proceeding to the candidature for doctoral degree. The former is used in “articulated” programmes whereas the latter in “non-articulated” programmes.

Students should refer to the study scheme of their own programme in the Postgraduate Student Handbook for details of the requirements.

For “articulated” programmes, the maximum period to pass the candidacy requirements, counted from first entry to the “articulated” programme, is tabulated below. A PhD student (pre-candidacy) who failed to pass the candidacy requirements within this maximum period is required to discontinue studies at the University:

<table>
<thead>
<tr>
<th>Degree</th>
<th>Full-time</th>
<th>Part-time</th>
</tr>
</thead>
<tbody>
<tr>
<td>PhD (entering with a research master’s degree)</td>
<td>24 months</td>
<td>32 months</td>
</tr>
<tr>
<td>PhD (entering without a research master’s degree)</td>
<td>36 months</td>
<td>48 months</td>
</tr>
</tbody>
</table>

However, for “non-articulated” programmes, the maximum period to pass the Qualifying Examination is defined by individual Graduate Divisions. Please refer to the Postgraduate Student Handbook of individual programmes for details.

6.7 Improving Postgraduate Learning

While there is no universally accepted approach for teaching students to be more creative in research, there are some basic principles, methodologies and skills with which students can equip themselves in the arduous task of doing research. Most knowledge and skills are imparted by the students’ Supervisors as they work together. However, some skills are cross-disciplinary in nature and can be taught in a more formal or systematic manner, e.g., laboratory safety, searching for and analysis of information, principles and ethics in documentation, presentation skills, and so forth. These courses are collectively referred to as the Improving Postgraduate Learning (IPL) programme and are coordinated by the Centre for Learning Enhancement And Research (CLEAR).

Most IPL short courses are optional. However, RPg students are strongly advised to take every module that has potential relevancy to their research endeavours. Supervisors and Heads of Graduate Division should also promote IPL modules and encourage their students to take the modules.

The online module “Observing Intellectual Property and Copyright Law during Research” is compulsory for all RPg students. Relevant information can be accessed from the CLEAR website at http://www.cuhk.edu.hk/clear/prodev/ipl.html.
Different programmes may require students to complete specific IPL modules, such as “General Safety”, “Chemical Safety” or other laboratory safety courses, depending on the nature of the research project. Students should consult their Graduate Divisions or Supervisors for details.

6.8 Research Ethics Training

To strengthen researchers’ awareness of ethical concepts, the Office of Research and Knowledge Transfer Services (ORKTS) offers Research Ethics Training (RET) which contains four online modules in the following domains: (a) Human Subject Ethics; (b) Laboratory Animals Ethics; (c) Survey and Behavioral Ethics; and (d) Publication Ethics.

All RPg students admitted in 2017-18 and thereafter are required to complete the online RET module on “Publication Ethics” and obtain a valid Publication Ethics Certificate for graduation. More information on RET is accessible at https://www.research-ethics.cuhk.edu.hk/web/.

6.9 Other requirements

Graduate Divisions may prescribe additional graduation requirements for students of their particular field of research. For example:

- Language requirement, e.g., knowledge of spoken Cantonese and written Chinese may be required for some courses taught in Cantonese and English.
- Graduate Divisions may specify a minimum cumulative GPA (e.g., 2.0) for graduation.
- Additional requirements for individual students may be set by the Graduate Division or Supervisor, depending on the academic progress of the students.

6.10 Course and unit exemptions

Students who have completed equivalent courses may apply for exemption from taking 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 in the Postgraduate Student Handbook);
(b) consult the Graduate Division concerned on the possibility of granting course and unit exemption;
(c) complete the prescribed online application form and attach any required supporting documents for submission to the Graduate Division via CUSIS; and
(d) pay the required fee.

Application will be considered on a case-by-case basis. The decision rests with the Head of Graduate Division and is subject to approval by the Dean of the Graduate School.

6.11 Study Plan and Progress Report for RPg Studies

In order to improve supervision, ensure timely progress and encourage broader training, the Graduate School requires each RPg student, together with his/her Supervisor or, if no Supervisor has been assigned yet, a divisional adviser, to complete an online Study Plan and Progress Report for RPg studies on an annual basis.
The report is divided into two parts: the 1st part deals with the requirements of the whole Programme, students/Supervisors are required to complete this part once throughout the whole study period. The 2nd part is an annual account on the courses/other requirements completed by the students in each study year.

At the end of each academic year, Supervisors will meet with their RPg students to record the progress of the students’ academic activities and fulfilment of the programme requirements against the study plan. Students also have the opportunity to read the comments put down by their Supervisors. Supervisors should monitor the students’ progress to ensure that the students fulfill the coursework requirements, Candidacy Examination/Qualifying Examination and any other graduation requirements within the study period.

6.12 Departmental duties and teaching assistance

As a condition of the Postgraduate Studentship (PGS) award, RPg students shall carry out assignments relating to teaching and research as part of their postgraduate studies, normally for not more than 12 hours per week on average, as prescribed by the respective Department Chairman, School Director or Faculty Dean. PGS holders are requested to observe at all times the Code of Conduct for Postgraduate Studentship Holders which is enclosed with the Admission Offer and Letter of Award at the time of admission.

Undertaking undergraduate teaching in the capacity of a Teaching Assistant (TA) during the study period is one of the common departmental duties which is also regarded by both the RPg students and the Graduate Divisions as part of the students’ education. The Guidelines on the Allocation of Teaching Duties to RPg Students should be observed in assigning duties to RPg students. RPg students who will take up TA duties are required to attend training courses offered by CLEAR. Students may refer to the CLEAR website (http://www.cuhk.edu.hk/clear) for more details.

6.13 Language policy

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

(a) At the time of admission, ensure a proper alignment of the language proficiency of students with the language of instruction adopted by the programme.

(b) After admission, ensure that students have the opportunity to continue strengthening their language proficiency.

(c) Provide students with opportunities to be exposed to Chinese language and culture, particularly those without such exposure prior to admission, before their graduation.

Recent statistics shows that the majority of postgraduate students at the University are proficient in Chinese and English, though there is a small number of overseas students who do not have prior exposure to the Chinese language and culture. The University deems it desirable that these students, 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 it will not be regarded as a degree requirement. A large variety of such courses are offered at the University.

In addition, postgraduate students will have other language needs while pursuing postgraduate studies at CUHK. They might wish to strengthen their proficiency in Chinese (Putonghua and/or Cantonese) and/or English for academic, professional or other purposes, the programmes in which they enrolled might have specific needs for proficiency in a certain language (such as proficiency in Japanese in the Japanese Studies programme), or the programme might for general educational purposes have a third language requirement. The University will continue to ensure that appropriate language courses are offered through the relevant units, including the Department of Chinese Language and Literature, the Chinese Language Centre, the English Language Teaching Unit, the Department of Modern Languages and Linguistics, and other relevant departments.
7. Assessment and Examination

7.1 Assessment of academic performance

Assessment of a student’s academic performance may take various forms: class work, written work, laboratory performance, field work, research papers, assignments, tests, oral defence and any other method of academic assessment. A combination of assessment methods may be used in one course. The specific method(s) and the relative weight of these methods (e.g., written assignment X%, mid-term test Y%, final course examination Z%) are spelled out in the course assessment scheme which is designed by the teacher responsible and approved by the Assessment Panel of each Graduate Division. The course assessment methods should be announced to students as part of the course outline at an early stage of the academic term.

7.2 Course grades

The University adopts the 4-point grade point system for grading students’ performance. Course grades, their standards and converted points to be used in reporting are as follows:

<table>
<thead>
<tr>
<th>Grade and Standard</th>
<th>Sub-division (if needed)</th>
<th>Converted Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>A</td>
<td>A</td>
<td>4.0</td>
</tr>
<tr>
<td>A-</td>
<td>A-</td>
<td>3.7</td>
</tr>
<tr>
<td>B</td>
<td>B+</td>
<td>3.3</td>
</tr>
<tr>
<td></td>
<td>B</td>
<td>3.0</td>
</tr>
<tr>
<td></td>
<td>B-</td>
<td>2.7</td>
</tr>
<tr>
<td>C</td>
<td>C+</td>
<td>2.3</td>
</tr>
<tr>
<td></td>
<td>C</td>
<td>2.0</td>
</tr>
<tr>
<td></td>
<td>C-</td>
<td>1.7</td>
</tr>
<tr>
<td>D</td>
<td>D+</td>
<td>1.3</td>
</tr>
<tr>
<td></td>
<td>D</td>
<td>1.0</td>
</tr>
<tr>
<td>F</td>
<td>F</td>
<td>0.0</td>
</tr>
<tr>
<td>P</td>
<td>Not counted in the calculation of the grade point average (GPA)</td>
<td></td>
</tr>
<tr>
<td>U</td>
<td>Failure</td>
<td></td>
</tr>
</tbody>
</table>

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

The GPA 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 GPA.

A student who has gained a grade of “D” or above or “P” in a course will earn the unit(s) of that course. The units of courses repeated/retaken will count only once in the total units gained by the student. A
student receiving a failure grade in a required course must repeat the course or take an approved substitute course.

7.3 Assessment Panel

Each Graduate Division should establish an Assessment Panel which is chaired by the Head of the Graduate Division and comprises at least two members from the Graduate Division, apart from the Division Head himself/herself. The membership may overlap with that of the Graduate Panel of the Graduate Division concerned. When handling grade appeals, the Assessment Panel may co-opt other teachers or form ad-hoc panels if necessary.

The terms of reference for assessment panels are as follows:
(a) To review and define grade descriptors as and when necessary.
(b) To endorse course assessment schemes.
(c) To monitor and ensure fairness and honesty in all assessment work.
(d) To review comments provided by external examiners, Visiting Committee and programme review panels.
(e) To endorse the assignment of grades recommended by teachers.
(f) To arrange make-up examination/assessment for students who have been given approval to be absent from examination/assessment.
(g) To endorse requests submitted by teachers for change of marks or grades upon appeal by students (however, for changes submitted after three weeks from the date of release of the academic result to students, approval from the Registrar is required), and to help resolve any informal complaints thereon.
(h) To ensure that reasonable effort is undertaken to monitor and uphold academic honesty in all assessments.
(i) Any other duties as determined by individual Division.

7.4 Examination administration

Course examinations are administered either by the Registration and Examinations Section of the Registry or the Graduate Divisions concerned. The former is responsible for administration of examinations for undergraduate courses, in some of which postgraduate students could have enrolled. The latter is responsible for administration of examinations for postgraduate courses.

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 as early as possible not later than five working days from the examination. The Graduate School will determine in consultation with the Graduate Division concerned the required follow-up action. Application for absence from examination on medical grounds shall be accompanied by a medical certificate signed by the Director of the University Heath Service or a registered medical practitioner(s). 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 in this case. However, under special circumstances, the Graduate Council may on the recommendation of the Graduate Division concerned approve exceptional assessment arrangements.

There are rules to be observed by candidates during examinations. For more information, please
refer to the Postgraduate Student Handbook available at the Graduate School website and additional/specific rules to be prescribed by the Graduate Divisions/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.

7.5 Grade appeal process

Grade appeals are handled by the Assessment Panel of each Graduate Division concerned. However, students who wish to initiate a grade appeal should first approach the teacher responsible and discuss with him/her the expectations of both parties. This will provide a chance for both parties to review the examination script or any other form of student work which has been assessed, together with the relevant course assessment scheme, etc. If a resolution acceptable to both parties cannot be achieved through this informal process, the student may submit a formal grade appeal to the Assessment Panel through the Graduate Division or the Head of Graduate Division within two weeks from the date of issuance of the academic results for the term concerned. No appeal for grade review will be accepted after this period.

7.6 Unsatisfactory performance

A student is required to discontinue studies if his/her performance is unsatisfactory. The definition of unsatisfactory performance is as follows:

(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; or

(c) additional requirements laid down by the Graduate Division concerned are not satisfied.

A student shall be put on academic probation if s/he has obtained a cumulative GPA below 2.0 in the preceding term or upon receiving a failure grade in a thesis monitoring course unless s/he is required to discontinue from study. A student on academic probation shall be reviewed by the Graduate Division at the end of the term in which s/he is put on probation, at which time if s/he has obtained a cumulative GPA of 2.0 or above or attained satisfactory progress, probation shall be lifted, otherwise probation shall continue to apply in his/her next term. If at any time the Supervisor is of the opinion that a student is not making satisfactory progress or is unlikely to attain the standard required for the degree, and the assessment result is endorsed by the Head of Graduate Division concerned and the Graduate Council, the student shall be required to discontinue studies or may be advised to transfer to a course of study for a master's degree in the case of a doctoral student.
8. Thesis

8.1 Preparation for research and thesis writing

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

(a) the thesis or portfolio;
(b) an oral examination; and
(c) a written examination, if required.

In an attempt to collect and distribute to RPg students key learning and research materials, the Graduate School has published a document titled Research and Thesis Writing, which focuses on the structure of a thesis and provides advice on the areas of research and thesis writing that students usually find it most difficult. The publication comprises six chapters:

Chapter 1: Beginning research – particularly how to select a research topic and work with a Supervisor
Chapter 2: Effective use of information – guides students through searching for research information online and helps them develop skills and techniques for using library resources
Chapter 3: Structuring a thesis – outlines the main components of the structure of an academic thesis
Chapter 4: Writing a thesis – focuses on the actual writing of a thesis
Chapter 5: Proofreading – focuses on proofreading and suggests a number of ways of checking for inconsistency in thesis content and structure at micro and macro levels
Chapter 6: Guide to thesis formatting – contains information about the requirements for formatting a thesis, based on the regulations of the Graduate School

The publication is the output of concerted effort of various CUHK departments. RPg students are advised to read the document carefully before they formulate their research plan. It is accessible from the Graduate School (GS) Platform (Students) at the Graduate School website.

8.2 Research ethics

The University has an established policy on research ethics which applies to all researchers including students. Please refer to the Policy on Research, Intellectual Property and Knowledge Transfer at http://www.orkts.cuhk.edu.hk/images/Research_Funding/The_Policy_Paper_1b.pdf (see also section 6.8 above on Research Ethics Training).

8.3 Procedures

The procedure relating to the submission of theses/portfolios are summarised in the following table, with more elaborations available in the ensuing sections.
<table>
<thead>
<tr>
<th>Event/Time</th>
<th>Tasks of students</th>
<th>Tasks of Graduate Divisions</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Declaration of intention to submit thesis/portfolio</strong> – submit to Graduate School (GS) four months before actual submission</td>
<td>Complete and submit Form TAS-1 with 1-2 pages summary/abstract of thesis/portfolio</td>
<td>- Supervisor and Head of Graduate Division to approve proposed date of submission and he thesis/portfolio title; - Graduate Division to forward signed Form TAS-1 to GS, with nominations of Thesis Assessment Committee members on Forms TAD-1A/TAD -1B (Master’s) or Form TAD-1C/TAD-1D (doctoral).</td>
</tr>
<tr>
<td><strong>Appointment of examiners</strong> – after approval of nomination</td>
<td></td>
<td>Head of Graduate Division to inform Internal Examiners (IE) of their appointment.</td>
</tr>
<tr>
<td><strong>Change of thesis/portfolio title</strong> – after approval of thesis/portfolio title</td>
<td>Complete and submit Form TAS-2 to Graduate Division for approval</td>
<td>Supervisor and Head of Graduate Division to approve and forward signed Form TAS-2 to GS.</td>
</tr>
<tr>
<td><strong>Change of Thesis Assessment Committee</strong></td>
<td></td>
<td>Complete Form TAD-2A / TAD/S-1 and forward to GS.</td>
</tr>
<tr>
<td><strong>Deferment of thesis/portfolio submission</strong> – delay in submission of thesis/portfolio beyond the original proposed date</td>
<td>Complete and submit Form TAS-3 to Graduate Division for approval</td>
<td>Supervisor and Head of Graduate Division to approve the application and forward signed Form TAS-3 to GS.</td>
</tr>
<tr>
<td><strong>Submission of thesis/portfolio</strong> – according to the proposed date of thesis/portfolio submission</td>
<td>(i) Submit to VeriGuide: - Upload the thesis to VeriGuide at <a href="http://veriguide1.cse.cuhk.edu.hk/portal/plagiarism_detection/index.jsp">http://veriguide1.cse.cuhk.edu.hk/portal/plagiarism_detection/index.jsp</a>; and - Complete the “Academic Honesty Declaration Statement”, which will be sent to student via email after submission. (ii) Submit the following to GS: - copies of thesis for dispatch to External Examiner(s); - an abstract of thesis/portfolio in both Chinese and English; - completed Forms TAS-4, TAS-5, TAS-6 and the &quot;Academic Honesty Declaration Statement&quot;; and - receipt of microfilming fee (doctoral) (ii) Submit copies of thesis (for IEs) to Graduate Division.</td>
<td>Graduate Division to distribute thesis/portfolio and Form TAD-3 (Thesis Assessment Report) to IEs.</td>
</tr>
<tr>
<td>Event/Time</td>
<td>Tasks of students</td>
<td>Tasks of Graduate Divisions</td>
</tr>
<tr>
<td>------------</td>
<td>-------------------</td>
<td>---------------------------</td>
</tr>
<tr>
<td><strong>Oral examination</strong> – after submission of thesis/portfolio to Graduate Division &amp; GS</td>
<td>Attend an oral examination</td>
<td>Graduate Division to arrange oral examination within two months for both doctoral and master’s after thesis submission.</td>
</tr>
<tr>
<td><strong>Assessment reports</strong> – immediately after oral examination</td>
<td></td>
<td>Head of Graduate Division to collect IEs’ reports and complete Form TAD-5.</td>
</tr>
</tbody>
</table>
| **Assessment results** – available upon completion of assessment process | - may check progress on GS Platform (Students);  
- act according to instruction of Graduate Division/GS.  
(For follow-up actions on different final grades, please refer to the relevant sections below.) | Head of Graduate Division to:  
- complete and return Forms TAD-5, TAD-6, TAD-7 to GS with a copy of IE’s reports;  
- copy the above forms to Supervisor, with a copy of all examiner’s reports;  
- copy Form TAD-6 (with Part A of examiners’ assessment report) to student for information and follow up action;  
- provide justification to GS for case of Grade IV.  
*Supervisor* to give advice to student, if applicable. |

8.4 **Declaration of intention to submit thesis/portfolio**

Students have to declare their intention to submit the thesis/portfolio by completing and returning the “Declaration Form on Intention to Submit Thesis/Portfolio” (Form TAS-1) to the Graduate Division concerned and the Graduate School four months before actual submission. Form TAS-1 includes the proposed date of submission and the thesis/portfolio title (with 1-2 pages of summary/abstract of thesis/portfolio) for approval by the Supervisor and the Head of Graduate Division.

If the intended date of submission is more than three months ahead of the end of the original normative period, permission of the Graduate Council is required. Since the normative period will end three months after the intended date of submission, permission to shorten the normative period will be handled at the same time. There will be no separate channel for applying to shorten the normative period.

A PhD student (pre-candidacy) cannot submit a thesis/portfolio. S/he must first proceed to PhD (post-candidacy) before s/he can do so. Students are not allowed to submit theses/portfolios during leave of absence or if the External Examiner(s) has/have not accepted the invitation to serve on the Thesis Assessment Committee.

8.5 **Thesis Assessment Committee**

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

(a) Chairman – the Head of Graduate Division or his/her representative (The Supervisor/Co-supervisor should NOT serve as the Chairman of the Committee).

(b) At least three Internal Examiners –
   (i) the Head of Graduate Division or his/her nominee as the Chairman;
   (ii) the student’s Supervisor; and
   (iii) a third Internal Examiner from within or outside the Graduate Division.

The Internal Examiners must be academic staff of the University. An academic staff who left the University may continue to serve as Supervisor/Co-supervisor/Internal Examiner of the student within three months from retirement/resignation.

(c) External Examiner – An External Examiner must not be an academic staff of the University. Anyone who has been a teaching staff of the University or who has taken part in the teaching of the candidate, even in a visiting capacity, within the last three years of the assessment or anyone who is expected to join the University before the assessment is completed is not eligible for appointment as External Examiner. In addition, an External Examiner must be at least Senior Lecturer in the Commonwealth system or Associate Professor in the American system unless no other suitable academic of an appropriate rank is available, taking into consideration the language used in the thesis/portfolio. Two External Examiners will be appointed to assess the thesis/portfolio of a part-time doctoral student who is a current full-time staff member of the University at the rank of Assistant Professor or above. All nominations of External Examiners must be approved by the Senate and University Council.

8.6 Thesis proposal and defence of proposal

The thesis proposal and its oral defence can take different forms according to the traditions of different disciplines. In the areas of humanities and social sciences, it may consist of the submission of a written thesis proposal (which will include a description of the research methodology, possibly with pilot data), a presentation followed by an opportunity to be orally examined by a panel. In the area of science, it may take the form of an oral presentation of the research planned and undertaken. Graduate Divisions may also decide on whether the submission of the thesis for acceptance of a journal paper, conference paper or even preprint would satisfy this requirement.

8.7 Submission of thesis/portfolio

Students are not allowed to submit theses unless the External Examiners have accepted the invitation. Students should not contact the External Examiners on matters related to thesis examination.

All RPg students are required to submit their theses/portfolios through VeriGuide. Students should submit a hardcopy of their theses/portfolios (bound in a temporary form) together with a signed “Academic Honesty Declaration Statement” downloadable from VeriGuide to the Chairman of the Thesis Assessment Committee, the Supervisor and the Graduate School according to the proposed
schedule, unless permission of deferment has been obtained.

Upon reviewing the student's thesis and the originality report generated by VeriGuide, the Chairman of the Thesis Assessment Committee notifies the Graduate School and the Graduate Division if the thesis can be sent to the External Examiner for assessment. If the Supervisor finds that the thesis is not suitable for submission, s/he will forward the thesis to the Internal Examiners for a decision. If there is any disagreement among the Internal Examiners, the case will be referred to the Head of Graduate Division.

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

(a) Timing
Since the Congregation for conferment of higher degrees is usually held in November/ December, submission of theses/portfolios by the end of May (for doctoral students) or the end of June (for Master's students) would normally have the degree conferred in the same year. If revision/re-writing is required, students who submit the final version of their thesis before August 31 would normally have the degree conferred in the same year as well.

(b) Formatting
There are specific requirements for thesis formatting such as order of contents, margins, paper size, citation styles, etc. For details, please refer to Guide to Thesis Formatting of the Research and Thesis Writing available at GS Platform (Students) for illustrations and samples.

(c) Number of copies
The number of copies to be submitted depends on the number of members serving on the Thesis Assessment Committee. Students should check with their Graduate Division for the number of copies required. Except for the copy for External Examiner(s) which should be submitted to the Graduate School, student must submit all other copies directly to the Graduate Division. The Graduate School will send the hardcopy of the thesis to the External Examiner(s) for assessment.

(d) Required documents and fees
The thesis must be submitted together with completed forms and required fees. Please study the General Information for Thesis Preparation and Submission – A Guide for Research Postgraduate and Taught Doctoral Students carefully well in advance to avoid any problems.

8.8 Oral examination

After dispatch of the thesis/portfolio to the Examiners, an oral examination will be held by the Thesis Assessment Committee. Normally, such an examination will be held within two months after the submission of the thesis/portfolio by doctoral or Master's students. Requests for delay should be submitted by the Graduate Division to the Dean of the Graduate School for approval.

The presence of an External Examiner at the oral examination is compulsory for doctoral programmes. Where the External Examiner is unable to be present at the oral examination, a second External Examiner will be appointed to attend the oral examination and undertake the same responsibilities as the first External Examiner.

The Graduate Division will inform the student of the details of the oral examination at least one week in
The oral examination covers not only the subject matter of the student’s thesis/portfolio but also knowledge in related fields deemed essential to the field of specialisation. The Chairman of Thesis Assessment Committee presides over the conduct of the oral examination to ensure that questions are put fairly and that the student is given adequate opportunity to answer them.

Even if the Examiners consider that a student’s thesis/portfolio is not of the standard for the award of the degree sought, a student may, at the discretion of the Thesis Assessment Committee, be given an oral examination to defend his/her thesis/portfolio.

8.9 Written examination

Any written examination, if required, will be arranged by the Graduate Division concerned. The Graduate Division should keep record of the written examination and will be requested to provide the record if circumstances require.

8.10 Thesis/Portfolio grades and follow-up actions

Examiners are normally given a period of five weeks for assessment of the thesis/portfolio. Students may check for the progress of this assessment process on the GS Platform (Students). Upon receipt of all Examiners’ reports, the Chairman of Thesis Assessment Committee will decide on a final grade within four weeks and through the “Notification to Student on Results of Thesis/Portfolio Assessment” (Form TAD-6) inform the student of the final assessment result and follow-up actions required. If revisions are required, the Supervisor must ensure that corrections are made satisfactorily within a specified period of time not later than three months.

The grading system of the final grades for the thesis/portfolio and follow-up actions on different thesis/portfolio grades are shown in the following table:

<table>
<thead>
<tr>
<th>Grade</th>
<th>Status</th>
<th>Follow-up Action</th>
</tr>
</thead>
</table>
| I     | Pass   | (a) If revision is not required, the student will be recommended for award of degree.  
(b) If revision is required, the revised thesis should be inspected by Supervisor(s) before the student is recommended for award of degree.  
Documents to be submitted to GS:  
- final version of thesis;  
- completed form TAS-7; and  
- completed Agreement Form for microfilming of thesis/portfolio (doctoral students). |
| II    | This submission **NOT** passed. Re-submission allowed and re-examination required. | Students should:  
- revise and re-submit thesis/portfolio to the Thesis Assessment Committee (repeat submission process mentioned in earlier sections); and  
- pay re-submission fee and continuation fee (if applicable). |
<p>| III   | Failure – no re-submission allowed | Graduate Division to submit recommendation to discontinue the student from studies for consideration by the GCExCo. |</p>
<table>
<thead>
<tr>
<th>Grade</th>
<th>Status</th>
<th>Follow-up Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>IV</td>
<td>Recommended for award of research Master's degree (for research doctoral programme)</td>
<td>Graduate Division to provide justification for the recommendation (award of Master's degree) for consideration of the GCExCo.</td>
</tr>
</tbody>
</table>

8.11 Re-submission

A student whose thesis/portfolio is not passed but re-submission is allowed and re-examination is required must re-write and re-submit the thesis/portfolio to the satisfaction of the Thesis Assessment Committee before being recommended for the award of degree. The re-submission must be made within 12 months from the date of the official notification of the result of the first examination and within the student’s prescribed maximum period of study.

A student who fails to re-submit the final version of thesis within one year from the date as specified by the Thesis Assessment Committee will be required to discontinue studies.

Apart from ruling in regard to thesis re-submission, the Thesis Assessment Committee may decide whether or not the student should be re-assessed by oral examination.

Only one re-submission of thesis/portfolio is allowed unless exceptional approval is granted by the GCExCo.

8.12 Deferment of submission of thesis/portfolio

To delay submission of thesis/portfolio beyond the originally proposed date, the form for “Application for Deferment of Submission of Thesis/Portfolio” (Form TAS-3) should be completed and forwarded to the Supervisor and the Head of Graduate Division for approval then to the Graduate School for record. Deferment must NOT exceed the maximum study period. Please also note that the deferment of the thesis/portfolio submission may result in a delay of the graduation.

8.13 Submission of final version of thesis/portfolio

Students are required to submit electronic copy of the final version of their theses/portfolios. The arrangement is applicable to both research Master’s and doctoral students, including M.D. and D.Sc., who are required to submit theses in order to fulfil the graduation requirements. For details please refer to the General Information for Thesis Preparation and Submission – A Guide for Research Postgraduate and Taught Doctoral Students.

8.14 Copyright of RPg theses

The University decided in 2007-08 that students should hold the copyright ownership of their theses/portfolio. However, to provide a wider accessibility of theses/portfolios for scholarly and academic purposes, students are requested to sign an agreement to grant the University a worldwide irrevocable, non-exclusive right in respect of the copyright to the theses/portfolio for the purpose of making copies, abstracts, reproducing or otherwise dealing with the theses/portfolios by whatever means, including but not limited to, digitizing, storing, reproducing, and distributing the
theses/portfolios in any media and in any format, provided that any and all such acts are only for scholarly and academic purposes and with proper acknowledgment of authorship.

For theses/portfolios submitted before 2007-08, the University retains the copyright of each of the theses/portfolios submitted. A request may be made to the Dean of the Graduate School to grant permission to release this copyright to anyone intending to use a part or whole of the materials in any thesis/portfolio in a proposed publication. Students/graduates are expected to give due acknowledgement of their Supervisors’ guidance (in case of a translation, students should seek the approval of the original author). Photocopying of theses/portfolios may be made for “fair use” for the purposes of research or private study, without the express permission of the Dean of the Graduate School, in accordance with the prevailing guidelines for copyrighted works.
9. Services and Support for Students

9.1 The Chinese University Student Information System (CUSIS)

The Chinese University Student Information System (CUSIS) provides a “centralised” interface for students to obtain the following information and services through a personal account:

- Personal record
- Handbooks, study schemes
- Course selection and course add/drop
- Academic results
- Online application for programme change, course and unit exemptions, etc.
- CUHK Webmail

Teachers and staff of Graduate Divisions could also login CUSIS for information and functions for their reference and use.

9.2 Graduate School Platform

The GS Platform (Students) provides a supplementary platform for students to obtain the following information and services at the Graduate School website:

- Rules and regulations, guidelines
- Announcements
- Thesis supervision and submission
- Improving Postgraduate Learning (IPL), academic honesty
- Useful forms

Teachers and staff of Graduate Divisions may login to the GS Platform (Divisions) for information and reference.

9.3 Student Advisory System

The University has put in place a Programme/Division-level advisory system, which primarily focuses on academic advising, to support students’ academic development and to overcome academic problems. Advisors, apart from giving advice on academic matters, can become resource persons and provide information on other whole-person development opportunities to students.

Under the implementation plan approved by the Senate, every student will be assigned one academic advisor (Level I Advisor) by the Graduate Division. Graduate Divisions will also be requested to nominate designated academic advisors (Level II Advisor) for students who need further support. Graduate Divisions/Programmes will have the flexibility to decide on the details of the appointment of Levels I and II advisors, such as whether Levels I and II advisors are to be the same person for a
particular student, and the number of academic advisors for the Graduate Division, etc. so as to suit the different needs of Graduate Divisions/Programmes.

9.4 Library facilities

The Chinese University of Hong Kong Library is one of the major academic research libraries in East Asia, attracting students and scholars to its rich and extensive print, online and special collections. It comprises the University Library and six other Libraries – the Elisabeth Luce Moore Library at Chung Chi College, the Ch’ien Mu Library at New Asia College, the Wu Chung Multimedia Library at United College, the Li Ping Medical Library at the teaching hospital in Shatin, the Architecture Library and the Lee Quo Wei Law Library.

With over 2.6 million print volumes, 4 million online books, more than 140,000 journal subscriptions and 843 databases, the Library welcomes around 2.5 million visits per year. Collections reflect The Chinese University of Hong Kong’s bilingual and multicultural environment. Access to the electronic collections and searching of library resources (LibrarySearch) is from its website at http://www.lib.cuhk.edu.hk. Books can be borrowed from any of the libraries, and as part of Hong Kong Academic Library Link (HKALL) students can also use books from the seven other university libraries in Hong Kong.

The Library offers inspirational facilities, with over 4,000 study spaces across its buildings. It caters for all, from silent individual study to the vibrant Learning Garden collaborative area. There are extensive PC facilities and WiFi is enabled throughout the libraries. The University Library also accommodates the needs of postgraduates and researchers, with a Research Commons and individual study rooms. During the semester 24/7 study space is available in the Learning Garden at the University Library, the Architecture Library and all year round at the Li Ping Medical Library.

In addition to a roving help team, librarians offer specialist support in person, via email or phone, and library orientation sessions are organised for new students at the beginning of each academic year. Workshops are held throughout the year, so that students can find, use and apply the information they need effectively. Information guides and news about all of the Libraries are available on the Library website.

9.5 Language training

Language courses for non-major students are mainly organised by the English Language Teaching Unit (ELTU) and Yale-China Chinese Language Centre (CLC). There are practical language courses, such as Postgraduate Presentation Skills and Putonghua/Cantonese for non-native speakers, or courses in special topics like Chinese Reading and Chinese Culture.

A Supervisor may include additional language courses in a student’s study scheme as the Supervisor considers it necessary or appropriate to improve the student’s ability in understanding the literatures in the field of research of the student as well as in the presentation of his/her own ideas and research outputs. Students may also take the initiative to request the Supervisor for adding language courses in their study scheme. In both scenarios, the additional workload to be imposed on the students is a factor of consideration.
Interested students please visit the website of ELTU at www.cuhk.edu.hk/eltu/ and of CLC at www.cuhk.edu.hk/clc/new/en/.

9.6 Independent Learning Centre

The Independent Learning Centre (ILC) provides a resource rich environment for students to reflect on and engage in their role as Independent Learners. Through specialized workshops, individual consultations, online resources, and guided study plans, the ILC helps learners to improve their communication and study skills, as well as plan their own learning strategies.

Objectives of the Independent Learning Centre:

- To make available expert advice on independent learning and communication issues in both English and Chinese.
- To provide a resource rich and relaxing environment for students to engage in self study.
- To provide online content and multi-media learning resources to help students reach their individual learning goals.
- To collaborate with teachers and units across The Chinese University of Hong Kong to provide resources and activities to support and encourage independent learning.

Please visit the ILC website (http://www.ilc.cuhk.edu.hk) for its services and resources available to students.

9.7 Information Technology Services Centre

The Information Technology Services Centre (ITSC) provides a comprehensive range of IT infrastructure and services, and integrates information technology into almost every facet of university life.

(a) IT Facilities – User Areas and Learning Commons
The User Areas (1/F, Pi Ch’iu Building) and the Learning Commons (6/F, Wu Ho Man Yuen Building) are both equipped with computers, audio visual facilities and multi-functional printers to provide printing, scanning and photocopying services. They also have functional spaces to facilitate students’ private and collaborative work.

(b) MyCUHK – University Portal
MyCUHK, the one-stop University portal, offers personalized access to the Chinese University Student Information System (CUSIS), University administrative system, cloud e-mail service, library services, a wide range of online services and campus information. Through CUSIS, students can manage personal particulars, enroll courses, view official grades, print transcripts, submit applications online (e.g. outgoing exchange applications, financial aid and scholarship application), make online payment, etc.

(c) Network Connection
The entire campus, including classrooms, student hostels, teaching blocks, academic and administrative buildings, is connected to the University Campus Backbone Network via high-speed 10 Gigabit or Gigabit Ethernet links.
Meanwhile, students can enjoy Wi-Fi service in libraries, classrooms, student canteens, student hostels and most of the student common rooms and indoor or outdoor communal areas on campus. Student residents can also access the campus network and the Internet through network ports that are available in hostels.

When off campus, students can connect to the campus network through commercial broadband service providers using a virtual private network (VPN) connection. Under a partnership programme, registered users can enjoy free Wi-Fi Internet access at hotspots throughout Hong Kong and at many overseas universities.

(d) eLearning Systems and Tools
Various systems and tools are offered by ITSC to enrich online learning experience of students at the University. Teaching staff can set up course websites on CUHK eLearning System for students to access online learning materials, submit assignments, participate in class discussions, take quizzes online etc. Other systems and tools used to support teaching include CUHK on iTunes U and Lecture Recording System.

(e) Information Security
Under the University Software License Programme, each CUHK student is entitled to a free copy of anti-virus software for their computer protection. Students are also encouraged to learn good IT practices to safeguard personal information and sensitive data through.

(f) Cloud Service – Office 365
Student can enjoy cloud services under Office 365, which provides a range of collaboration tools to facilitate your study. It includes a 50GB mailbox, 1TB cloud storage and free installation of Microsoft Office applications.

For further Information, please visit ITSC website at http://www.itsc.cuhk.edu.hk.

9.8 Student services and student activities

The CUHK is committed to providing its students with a holistic and balanced education, consisting of both formal and non-formal elements. The formal element is primarily academic pursuit, while the non-formal element includes non-academic and extracurricular activities and personal education. The Office of Student Affairs (OSA) aims to facilitate the all-round personal development and growth of students of the University. It works with other functional units within the University and external resources to provide quality non-formal educational experience and support to students.

The OSA provides a wide range of services for eligible postgraduate students as follows:

(a) Wellness and counselling:
   (i) Provide individual and group counselling services*.
   (ii) Organize personal growth and self-development groups and workshops.
   (iii) Promote mental wellness and positive psychology through educational and developmental programmes.
   (iv) Offer consultation services to departments on matters pertaining to counselling service and mental health.
(v) Coordinate the support services for students with disabilities.

(b) Learning and cultural enhancement:
   (i) Offer academic counselling and related support services to students.
   (ii) Organize adjustment and developmental programmes for learning enhancement of students.
   (iii) Organize cultural diversity activities and administer fund for promoting internationalization and cultural integration.
   (iv) Provide support services to non-local students.
   (v) Liaise with and provision of advice and support for the Postgraduate Student Association (CUPSA) and other student associations.

(c) Career planning and development:
   (i) Organize career guidance and enrichment programmes.
   (ii) Provide students with job information and placement services.
   (iii) Support employers with their recruitment exercises.
   (iv) Organize offshore summer internship programmes.
   (v) Provide individual and small group career counselling services*.

(d) Student amenities:
   (i) Manage the student amenities and facilities located in Benjamin Franklin Centre, John Fulton Centre and Pommerenke Student Centre, and administer the online facilities booking system for student facilities and equipment.
   (ii) Manage the International House providing on campus residence.
   (iii) Manage the University Swimming Pool.

For details of OSA services, please visit OSA website at http://www.cuhk.edu.hk/osa.

(*The service is normally available to full-time RPg students.)

9.9 Student hostels

(a) On-campus housing - The Postgraduate Halls consist of 6 buildings and offer about 1,100 hostel places. Owing to the shortage of hostel places, hostel accommodation is considered on a yearly basis. Full-time RPg students are eligible to apply for hostel residence. Please visit its website at www.pgh.cuhk.edu.hk/ for details. However, continuing students are not eligible and may consider off-campus housing.

(b) Off-campus housing - The information is available on the Off-campus Housing Information Service (OHIS) website (http://www.cuhk.edu.hk/osa/iss/OHIS_Eng/index.html) which is managed by the Incoming Students Section of the OSA. Students will find useful information such as accommodation for rental in relevant districts, points to note in signing tenancy agreements, FAQ and useful links on the website. There is also an online forum for students to share housing information and look for flat-mates.
9.10 Student association

RPg students are eligible to join the Postgraduate Student Association of the Chinese University of Hong Kong (CUPSA). Its missions are:

(a) Be a bridge of communication between postgraduate students and the University by reflecting students’ opinions and views;
(b) To organise student activities for the development and well-being of students;
(c) To broaden the network and horizons of students by communicating with external groups; and
(d) To nurture team spirit, sense of responsibility, cooperativeness and leadership skills of students.

Please visit CUPSA website at http://cupsa.hk for more information and the latest activities.

9.11 University Health Service

The University Health Service (UHS) provides on-campus medical, dental and health promotion services to full-time students and staff members and their dependants. Its medical team includes eight physicians, five dental surgeons and other allied health professionals. The health clinic is equipped with a minor operating theatre, a dispensary, a medical laboratory and a physiotherapy unit to provide primary medical and dental care services. For specific or more serious medical conditions, the clinic can arrange referrals to specialists.

The Health Education Unit organizes regular talks, student activities, awareness campaigns, and vaccination programmes.

The Dental Unit provides both preventive and curative services, as well as dental prostheses.

Appointments can be made via telephone, Internet or in person. Medical services are generally free of charge, whereas the Dental Unit charges a nominal fee.

In case of emergency, members of the University should seek prompt treatment at the Accident and Emergency Department of Prince of Wales Hospital in Shatin or any Hospital Authority hospital. To call an ambulance, please dial 999.

Please visit UHS website at http://www.uhs.cuhk.edu.hk/ for more information.

9.12 Other cultural/recreational/sports facilities and services

There are other sports facilities, cultural and recreational facilities and services for students:

(a) Sports facilities

In order to promote students’ health and fitness, the University provides a variety of sports facilities, including two sports fields, five gymnasia, a water sports centre, a swimming pool, tennis courts, squash courts, badminton courts, basketball courts, volleyball courts, table-tennis rooms, dance studio, fitness rooms, etc.
(b) The Sir Run Run Shaw Hall
With a seating capacity of 1,438 and experienced housing and backstage staff, the Sir Run Run Shaw Hall is the biggest and professionally-equipped theatre in the University suitable for holding ceremonies, assemblies, meetings, lectures and examinations, and for staging concerts, drama and dance performances, film shows and exhibitions. Temporary studio setting is possible on request. Booking for cultural activities is welcomed. For further information, please visit the Hall’s website: [http://www.srrsh.cuhk.edu.hk](http://www.srrsh.cuhk.edu.hk).

(c) The Office of the Arts Administrator
The Office of the Arts Administrator is responsible for presenting and organising arts programmes, promoting and coordinating campus-wide arts activities, and providing educational opportunities in the arts for students' holistic development. For more information of the Office of the Arts Administrator, please visit the website: [http://www.oaa.cuhk.edu.hk](http://www.oaa.cuhk.edu.hk).

(d) Parking

(e) MTR Student Travel Scheme

### 9.13 Safety and environmental issues

At CUHK, high standards of occupational safety and health are integral management objectives on a par with excellence in teaching and research. The University recognizes that the benefits to be gained from successful occupational safety and health programmes are great, both in human and monetary terms. CUHK is devoted to cultivating a positive safety culture through the concerted efforts of all departments/units.

The University Safety Office co-ordinates activities to support this mission, including provision of safety manuals and guidelines for the University community, organizing health and safety talks and training courses such as *Getting to know the Safety Instructions of Chemicals*, *Safety Talk on Manual Handling Operation and Prevention of Back Injuries*, *Safety Talk on Health Hints on the use of Display Screen Equipment*. The Office also coordinates a list of departmental safety officers. Students and staff may contact the Office directly or the departmental safety officers if they need advice on safety issues. The Office's website is [www.cuhk.edu.hk/useo/](http://www.cuhk.edu.hk/useo/).

The Campus Planning and Sustainability Office (CPSO) is a policy unit responsible for campus planning and sustainability matters. CPSO supports the University's long-term physical developments in terms of campus and space planning, institutionalize green policies and practices to build a sustainable campus, and steer and coordinate efforts in these strategic areas with increased visibility and augmented leadership.
CUHK, as a socially responsible institution of higher education, is committed to building and maintaining a sustainable campus to support its future developments and meet its growth needs, and to providing leadership in sustainability efforts in Hong Kong and beyond, for the present and future generations.

For further information relating to the above, please visit the CPSO website (http://www.cuhk.edu.hk/cpso/).
10. Financial Assistance and Fees

10.1 Postgraduate Studentship

Postgraduate studentship (PGS) is available to full-time RPg students and is awarded to them at the time of admission. Students awarded PGS will receive stipends in return for assisting in the teaching and research work of the Graduate Division. The monthly stipend for 2017-18 is HK$16,270 for MPhil and PhD (pre-candidacy), and HK$16,790 for PhD (post-candidacy). This monthly stipend is payable only within the normative study period and is subject to revision by the University from time to time as it considers fit.

The PGS is a form of financial assistance. Holders of PGS are not employees of the University. PGS is payable monthly in arrears, except in the following situations:

(a) Termination
   (i) For students who are discontinued or withdraw from studies for whatever reason, the award of PGS will automatically be withdrawn with immediate effect.
   (ii) The University may terminate or the student may relinquish the PGS award at any time by giving to the other party one month’s notice in writing or payment equivalent to one month’s award in lieu of notice.

(b) Suspension
   (i) The PGS award is tenable in Hong Kong. Award of the PGS will be suspended for any period of absence away from Hong Kong unless otherwise approved by the University.
   (ii) The Graduate Division may recommend a suspension of the PGS for a certain period of time if the student’s performance is found to be unsatisfactory.
   (iii) For PhD students (without research Master’s) who cannot pass the candidacy requirement by the end of the 24th month of their studies, the PGS will be suspended from the 25th month and will resume upon passing the candidacy requirement.

(c) Curtailment
   The Graduate Division may also recommend a curtailment of the PGS award if the student’s performance is found to be unsatisfactory. To curtail the PGS award, the student’s PGS will be reduced by 20%.

(d) Academic probation
   If a student is put on academic probation due to unsatisfactory progress of his/her studies, s/he may be barred from performing teaching or other duties carrying studentships/bursaries, until s/he is advised that probation has been lifted.

The student may submit his/her appeal within two weeks from the date of notification of the suspension/curtailment to the Dean of the Graduate School who will review the case. The Graduate School will then notify the student of the result of his/her appeal.
10.2 Grants for academic travel and Global Scholarship

(a) Research Postgraduate Student Grant for Overseas Academic Activities are available for full-time RPg students to conduct academic activities abroad, such as presenting papers at academic conferences or conducting research or academic visits overseas. Starting from the 2012-13 academic year, applications for conference grants will be vetted and approved by Graduate Divisions. Applications for conducting other academic activities shall be considered and approved by the Graduate School Bursary Sub-Committee.

(b) With effect from 2017-18, a research master’s student and a research doctoral student can claim up to a maximum of $10,000 and $15,000 respectively during his/her whole normative study period. For attending academic conferences, preference will be given to applicants who i) should have at least one accepted paper in a pre-approved conference determined by his/her Graduate Division; ii) should be the presenting author of an accepted paper in that conference; and iii) may be required to comply with additional requirements(s) determined by his/her Graduate Division. For other academic activities, higher priority will be given to those which are directly related to the applicants’ research, e.g., field trip for collecting data for thesis, attending workshop/laboratory for acquiring skills which are essential for the applicants’ research work.

(c) Global Scholarship Programme for Research Excellence - to provide funding to support academic exchange of RPg students and junior faculty with a selected group of leading research universities. Full-time PhD students are eligible to apply for the Global Scholarship Grant. For details, please visit the Office of Academic Links website at www.oal.cuhk.edu.hk/index.php/intlegt/rtmobility/phd/gsp.

10.3 Other financial assistance and scholarships

Besides PGS and the grant/scholarship programme mentioned above, there are Government grants and loans, University bursaries and loans, scholarships and prizes, and financial assistance for disabled students. For more details and application, please consult the Office of Admissions and Financial Aid website at http://www.oafa.cuhk.edu.hk/sfas/scholarships-financial-aid/introduction.

10.4 Student fees

Some student fees applicable to RPg students are listed below for reference. For information on other fees, please refer to the Fees table published in the CUHK Calendar. The 2017-18 version of the Fees table can be found at http://www.iso.cuhk.edu.hk/english/publications/calendar/.

<table>
<thead>
<tr>
<th>Types of Fees</th>
<th>HK$</th>
</tr>
</thead>
<tbody>
<tr>
<td>Tuition fee for UGC-funded RPg Programmes (per annum)</td>
<td></td>
</tr>
<tr>
<td>Full-time students</td>
<td>42,100</td>
</tr>
<tr>
<td>Part-time students (2009-10 intake and beyond):</td>
<td></td>
</tr>
<tr>
<td>- PhD Programme</td>
<td>42,100</td>
</tr>
<tr>
<td>- MPhil Programme</td>
<td></td>
</tr>
<tr>
<td>- Master of Music Programme</td>
<td></td>
</tr>
<tr>
<td>- Doctor of Music</td>
<td></td>
</tr>
</tbody>
</table>
### Types of Fees

<table>
<thead>
<tr>
<th>Types of Fees</th>
<th>HK$</th>
</tr>
</thead>
<tbody>
<tr>
<td>Continuation fee (per term)</td>
<td>1/8 of current full-time annual tuition fee</td>
</tr>
<tr>
<td>Thesis/Portfolio Examination</td>
<td></td>
</tr>
<tr>
<td>Research Doctoral programmes</td>
<td>2,400</td>
</tr>
<tr>
<td>Research Master’s programmes</td>
<td>2,000</td>
</tr>
<tr>
<td>Re-submission of thesis in revised form</td>
<td></td>
</tr>
<tr>
<td>Research Doctoral programmes</td>
<td>2,400</td>
</tr>
<tr>
<td>Research Master’s programmes</td>
<td>2,000</td>
</tr>
<tr>
<td>Fee for application for course and unit exemption</td>
<td>160</td>
</tr>
<tr>
<td>Fee for transcript or certifying letter (per copy)</td>
<td>40</td>
</tr>
<tr>
<td>Fee for report on curriculum details</td>
<td></td>
</tr>
<tr>
<td>First copy</td>
<td>120</td>
</tr>
<tr>
<td>Each subsequent copy</td>
<td>30</td>
</tr>
<tr>
<td>Fee for replacement of graduation certificate (per copy)</td>
<td>800</td>
</tr>
<tr>
<td>Fee for replacement of CU Link Card (each card)</td>
<td>130</td>
</tr>
<tr>
<td>Administrative fee for award of taught postgraduate degree to PhD student</td>
<td>8,000</td>
</tr>
<tr>
<td>Caution money</td>
<td>450</td>
</tr>
<tr>
<td>Graduation fee</td>
<td>450</td>
</tr>
<tr>
<td>Reinstatement of Studentship</td>
<td>430</td>
</tr>
<tr>
<td>Fine for fee payment in arrears</td>
<td>200</td>
</tr>
</tbody>
</table>

Fees are subject to revision from time to time.

#### 10.5 Payment schedule of tuition fee

Tuition fee notes are issued by the Donations and Projects Management Unit (DPU) of the Bursary in electronic format by e-mails to students’ @Link mailbox two weeks prior to the payment due date. Students are advised to check their mailbox according to the following schedules to receive the fee notes and make payments accordingly:

<table>
<thead>
<tr>
<th>Students of programmes</th>
<th>During normative period of study</th>
<th>After normative period of study</th>
</tr>
</thead>
</table>
| Doctoral programmes    | Fee notes will be issued every 6 months of study  
                          - Full fee  
                          - Continuation fee if no taught course is taken; or  
                          - Full fee if taught course(s) is taken.  
| Master’s programmes    | Fee notes will be issued every term after the course add/drop period  
                          - Continuation fee if no taught course is taken; or  
                          - Full fee if taught course(s) is taken.  

<table>
<thead>
<tr>
<th>Students of programmes</th>
<th>During normative period of study</th>
</tr>
</thead>
</table>
| Doctoral programmes    | Fee notes will be issued in early September (1st term) and early January (2nd term)  
                          - Full fee  
| Master’s programmes    | Fee notes will be issued every term after the course add/drop period  
                          - Continuation fee if no taught course is taken; or  
                          - Full fee if taught course(s) is taken.  |
A student who is in arrears shall be subject to fines. Unless written approval is given by the University to defer payment, a student who is in arrears, whether in part or in full, or who has outstanding fees/fines unpaid for more than two weeks shall be considered to have withdrawn from studies.

Apart from caution money, all fees once paid shall not be refunded, unless exceptionally approved by the Bursar.
11. Academic Honesty and Disciplinary Action

11.1 Academic honesty

The University places utmost importance on honesty in academic work and intellectual property, and adopts a policy of zero tolerance on cheating in examinations, plagiarism and infringement of intellectual property. Any related offence by students or staff will lead to disciplinary actions including termination of studies or employment. As such, the University has prepared *Honesty in Academic Work: A Guide for Student and Teachers* which is available at the University’s website (http://www.cuhk.edu.hk/policy/academichonesty/).

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:  CUHK regulations on honesty in academic work
Section 6:  CUHK disciplinary guidelines and procedures
Section 7:  Guide for teachers and department in handling plagiarism and undeclared multiple submission
Section 8:  Recommended statement to be included in course outlines
Section 9:  Electronic submission of assignments via VeriGuide
Section 10: Declaration to be attached to assignments

CLEAR has prepared a video regarding honesty in academic work (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.

11.2 Infringement of copyright

The law protects creators for their original work such as books, newspapers, computer programmes, photographs, films, sound recordings and broadcasts. The creators hold the exclusive right to use or authorize others to use their work – including reproduction, public performance and broadcasting. The Copyright Ordinance provides certain limited exemptions for learning purposes. “Fair dealing” of a work for research or private study, criticism, review, news reporting, or for giving or receiving instruction in a specified course of study provided by an educational establishment is permitted. Infringement of copyright is a serious offence and may lead to civil remedies or even criminal sanctions. For more information, please visit the University’s website at www.cuhk.edu.hk/policy/copyright.

Copyright infringement by CUHK members, such as excessive downloading of electronic content, violates local laws and University license agreements and will subject the user to University disciplinary action. For details of the University’s policy on copyright and confidentiality of theses/portfolios, please refer to the *Postgraduate Student Handbook*. 
11.3 Graduate School Disciplinary Committee

The University may take disciplinary action against a student, who violates any rule or regulation prescribed by the University authorities, and/or commits any misconduct such as plagiarism, willful damage to any property of the University, fraud, theft, refusal to comply with regulations, offence of immoral nature, etc. Disciplinary actions may take the form of reprimand, suspension of rights, termination of studies, etc. The Graduate School Disciplinary Committee is a sub-committee of the Graduate Council which handles all non-academic disciplinary matters pertaining to postgraduate students and where appropriate, recommend penalties to be imposed.

Upon receipt of a case involving student discipline, the respective Disciplinary Committee shall constitute a Disciplinary Panel to examine the case and recommend a course of action. The Senate Committee on Student Discipline has resolved that with effect from 2015-16, all disciplinary cases of an academic nature involving postgraduate students shall be handled by the faculties that offer the courses concerned. The Graduate School Disciplinary Committee will handle non-academic disciplinary matters. The Panel of the Graduate School Disciplinary Committee normally consists of three members of the Committee who, wherever possible, shall not be from the same Faculty as that of the student who is the subject of the complaint.

The student concerned has the following rights:

(a) S/he is allowed to raise objection to any member of the Disciplinary Panel formed for his/her case, giving reasons therefor. The Chairman of the Committee is the authority for ruling on such objections.

(b) S/he has the right to request for a meeting with the Disciplinary Panel before a decision on his/her case is taken. S/he is also allowed to meet the Panel, as the case may be, with an accompanying person whose identity should be limited to: University staff member, fellow University students, parent, sibling, spouse or registered guardian.

(c) S/he has the right to appeal against the verdict and/or penalty passed by the Panel, giving reasons therefor. The matter will then be referred to the Senate Committee on Student Discipline.

Details on the workflow on handling discipline cases by the Graduate School Disciplinary Committee can be found at https://www.cuhk.edu.hk/gss/Student_Staff/GSDCworkflow.pdf.
12. Appeals and Complaints

12.1 Complaint process

The University is committed to the provision of the highest standard of education for all its students, and to maintaining an environment that facilitates learning to the fullest extent possible. In so doing, the University has established formal complaint procedures so that any current student who has reasonable ground to believe that s/he might have been treated in an improper manner by a staff member of the University, in an academic or non-academic matter, resulting in his/her being directly affected, may lodge a complaint with the University for an independent investigation.

These procedures are based on the principle that complaints will only be considered on matters of procedure that might have resulted in the complainant being unfairly treated, e.g., a complaint about the grade given by a teacher is admissible on possible procedural errors in determining the grade, but not on a teacher's academic judgment or evaluation with which the student concerned might disagree.

Although no student should be discriminated against or penalised for raising a bona fide complaint on reasonable grounds, the University also recognises the rights of individuals who may be wrongfully accused in the circumstances of a complaint. Where it is found that a student has raised a frivolous or vexatious complaints, or used false information in lodging a complaint, the complaint will be dismissed and any ongoing investigation will be terminated. The University reserves the right to invoke its student disciplinary procedure in respect of the student's conduct.

When a complaint is first lodged, the parties concerned should attempt to resolve the matter by informal means as far as possible. If an informal resolution cannot be reached, one or more of the following stages in the procedures should be followed:

Stage 1:  Formal Complaint
Stage 2:  Appeal to the Vice-Chancellor
Stage 3:  Appeal to the Council

A summary of the procedures is shown in the flowchart below:
Procedures for dealing with Student Complaints

Stage of Procedures

Informal Resolution

Informal resolution achieved

Yes

Complaint resolved?

No

Informal resolution cannot be reached / formal complaint is lodged at the outset

Stage 1
Formal
Complaint

Written record kept

Student submit complaints form

- Responsible Authority set up Panel
- Panel meeting

Complainant informed

Panel decision

Complainant accept decision?

Yes

No

Complaint resolved

Stage 2
Appeal to VC

Case documented

Student submit appeal form

Responsible Authority submit a report to Vice-Chancellor

Dismissed

Allowed

VC decide on admissibility of appeal

Admitted

VC reject original decision

Responsible Authority to reconsider complaint with original or new panel

Panel decision

Appellant informed

Yes

Appellant accept decision?

No

Appeal resolved

Case documented

Stage 3
Appeal to Council

Case documented

Appellant appeal to Council

Decision of Appeal Committee of the Council

Notes:
- As far as these procedures on student complaint are concerned, there shall be no further appeals beyond the Council.
- The flow chart is only a summarized description of the procedures. Please refer to the full text of the procedures for details.
Students who wish to lodge a complaint should first look at the Procedures for Dealing with Student Complaints at https://www.gs.cuhk.edu.hk/download/ComplaintProcedures.pdf, complete the prescribed complaints form and submit it to the Responsible Authority as set out therein.

Matters related to student discipline and allegations of sexual harassment will be dealt with by the Senate Committee on Student Discipline and in accordance with the University’s prevailing Policy Against Sexual Harassment respectively.

12.2 Policy against sexual harassment

Sexual harassment is prohibited by law in Hong Kong. The University is committed to eliminating and preventing sexual harassment and will not condone any act of sexual harassment committed by its students and staff members as it may adversely affect the learning environment of students and the work of staff members.

There is well-defined mechanism for dealing with allegations or complaints of sexual harassment and for providing proper redress if and when harassment occurs. By clearly stating the University’s stance on sexual harassment and putting an appropriate procedure in place, the University aims to cultivate a sense of justice, fairness and openness in the University community in relation to gender equality and the furtherance of mutual respect. For more information on the legal definition and examples of sexual harassment and details of CUHK’s policy, please refer to the website on the Policy Against Sexual Harassment at http://www.cuhk.edu.hk/policy/harass.

Any staff member or student of the University who (a) has been sexually harassed by another staff member or student; (b) has witnessed an act of sexual harassment committed by another staff member or student of the University; or (c) has been expressly authorised by a victim to act on his/her behalf may approach the Panel Against Sexual Harassment. The current officers designated by the Panel Against Sexual Harassment to deal with enquiries and complaints are:

<table>
<thead>
<tr>
<th>Name</th>
<th>Email</th>
</tr>
</thead>
<tbody>
<tr>
<td>Professor Helene Fung, Convenor</td>
<td><a href="mailto:hhfung@psy.cuhk.edu.hk">hhfung@psy.cuhk.edu.hk</a></td>
</tr>
<tr>
<td>Ms. Yvonne Luk, Secretary</td>
<td><a href="mailto:yvonneluk@cuhk.edu.hk">yvonneluk@cuhk.edu.hk</a></td>
</tr>
</tbody>
</table>

The following flowchart summarises the procedures to handle sexual harassment complaints, which is applicable to both staff and students.
Flow Chart on Handling Sexual Harassment Complaints

Conciliation

- Allegation received by the Panel Against Sexual Harassment
- Designated Pro-Vice-Chancellor and the Panel Convenor to review complaints under the complainant's veto or brought anonymously or by third parties if deemed necessary

Conciliation

- Resolved
- Not resolved

Investigation

- if so indicated by the complainant

* Investigation Team
(At least two panelists of different genders) appointed by the Convenor of the Panel Against Sexual Harassment
(hereafter "the Panel Convenor")

Investigation Team to submit a fact-finding report to the Panel Convenor who will notify the complainant and the complaine in writing of the findings of the fact-finding report

Complainant or Complainee may submit an appeal to the Panel Convenor

Ad Hoc Panel (a panel of 3 members) appointed by the Panel Convenor

Ad Hoc Panel to report their decision to the Panel Convenor
(Their decision on the facts will be final)

Investigation and Appeal Procedure

Disciplinary Procedures

- Sexual harassment not established
  - Panel Convenor to report the matter to designated Pro-Vice-Chancellor
  - Inform complainant and complaine

- Sexual harassment established
  - Panel Convenor to make recommendations to designated Pro-Vice-Chancellor on the disposal of the case
  - Inform complainant and complaine
  - Compliance will have the right to appeal to the Vice-Chancellor on designated Pro-Vice-Chancellor's decision on disposal of the case
  - Disciplinary procedures/other appropriate actions

* Under special circumstances as deemed necessary by the Convenor of the Panel Against Sexual Harassment, a non-staff Council member/external member/student representative will join the investigation team to ensure that justice is upheld and seen to be upheld in the process of investigation.
12.3 Personal Data (Privacy) Ordinance

As a data user and a responsible public institution, CUHK undertakes to comply with the requirements of the data protection principles set out in the Personal Data (Privacy) Ordinance, and to ensure that personal data kept are accurate, securely kept and used only for the purpose for which they have been collected. All students are required to comply with all relevant provisions of the Ordinance and observe the following six Data Protection Principles under the Ordinance in the collection, use, disclosure and retention of personal data:

Principle 1 – Purpose and Manner of Collection: this provides for the lawful and fair collection of personal data and sets out the information a data user must give to a data subject when collecting personal data from that subject.

Principle 2 – Accuracy and Duration of Retention: this provides that personal data should be accurate, up-to-date and kept no longer than necessary.

Principle 3 – Use of Personal Data: this provides that unless the data subject gives consent otherwise personal data should be used for the purposes for which they were collected or a directly related purpose.

Principle 4 – Security of Personal Data: this requires appropriate security measures to be applied to personal data (including data in a form in which access to or processing of the data is not practicable).

Principle 5 – Information to be Generally Available: this provides for openness by data users about the kinds of personal data they hold and the main purposes for which personal data are used.

Principle 6 – Access to Personal Data: this provides for data subjects to have rights of access to and correction of their personal data.


It is important that any incident or suspected incident of violation of the Personal Data (Privacy) Ordinance such as the loss of devices which carry identifiable personal or sensitive data, is reported to the University as soon as possible so that remedial actions can be taken to prevent or minimise the damages caused to the data subjects, the University and all other parties concerned. Please refer to the Information Security Incident Report Policy and Procedures under Information Security Policies posted on the ITSC website.

For further information, please visit the University’s website at http://www.cuhk.edu.hk/policy/pdo/.
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 Feedback via Research Progress Report

RPg students meet regularly with their Supervisors and they should make use of these chances to give their feedback to the Supervisors about any facets of their studies and research at the University. In particular, during their meetings for completing the Research Progress Report, their opinions and feedback can be recorded formally for follow-up actions.

Completed Research Progress Reports of all RPg students will be endorsed by the Graduate Division Head concerned and then submitted to the Graduate School. If there are comments which need special attention, the case would be brought up to the Dean of the Graduate School for perusal and to decide proper actions to be taken.

13.3 Exit survey (Survey on Research Postgraduate Programmes)

Upon graduation, all RPg students will be invited by the Graduate School to complete a Survey on Research Postgraduate Programmes. The survey, which can be regarded as an exit survey, is for the quality assurance of the RPg programmes at the University. It is not for the assessment of individual performance of teachers or students. The purpose is to collect feedback from students on the quality of supervision and learning difficulties for the improvement of the RPg programmes. Individual responses will be kept strictly confidential.

The survey contains questions on admissions, academic supervision, programme of study, campus life, and also personal information without personal identifiers. Graduating students can make use of this chance to help improve the quality of the RPg programmes and the teaching and learning environments of the University.

As stated at the end of the Survey on Research Postgraduate Programmes, students are most welcome to discuss their problems and/or suggestions with their Supervisor, Department Chairperson, Head of Graduate Division, Faculty Dean or the Dean of the Graduate School.
14. Credentials

14.1 Academic results

Students can check their academic results (grades and GPA of the courses taken in each term) at CUSIS. Relevant information about academic results, such as the schedule for releasing grades for each term and the guide to the grading system, are available via the GS Platform (Students). Students may also generate an unofficial transcript via CUSIS. However, it is not an official document and is intended for students’ reference or records of their academic results. If a student or a graduate needs a formal document as proof of his/her academic achievements, s/he should apply for a transcript to be issued by the Graduate School.

14.2 Transcripts

A transcript is an official proof of a student/graduate’s academic achievements. It is a formal document listing the student/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 his/her period of study at the University.

There are two versions of transcript for different purposes: official copy and student copy. A student who wishes to apply for admission to another educational institution or for employment may apply for an official transcript. The official transcript shall not be issued to a student or any private individual. It shall be sent directly to the institution or prospective employer. The student transcript is issued to students directly. Students may request an official copy or a student copy, or both, to serve different purposes.

Applications for transcript could be made in paper form or online via the Graduate School website at a fee.

14.3 Letter of Certification

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

Applications for the Letter of Certification could be made in paper form or online via the Graduate School website at a fee. Applicants are advised to state the purpose of their applications so that required information could be included in the Letter.
14.4 Report on Curriculum Details

The Report on Curriculum Details sets out the study scheme and course descriptions of a student/graduate’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 could be made in paper form or online via the Graduate School website at a fee.

14.5 Graduation Certificate

The Graduation Certificate is an official proof of the conferment of degree. There is no need for students/graduates to apply for it. It will be distributed to each graduate after the graduation ceremony. Graduates are advised to keep it in a safe place.

14.6 Replacement of Graduation Certificate

In case of loss or damage of the original Graduation Certificate, a graduate may apply for a replacement Certificate from the Graduate School at a fee. However, application for replacement due to change of name after graduation will normally 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 the extra copy to the Graduate School.

A replacement Certificate follows in general the current format of the Graduation Certificate, with an additional statement “This certificate is re-issued 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 Graduate School website at www.gs.cuhk.edu.hk.

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 true copy of the Graduation Certificate at the Graduate School and a certified true copy could be prepared immediately at a fee.
Sources of information contained in this Code of Practice

CUHK units:
Academic and Quality Section
Campus Planning and Sustainability Office
Centre for Learning Enhancement And Research
CUHK Library
English Language Teaching Unit
Independent Learning Centre
Information Services Office
Information Technology Services Centre
Office of Admission and Financial Aid
Office of Student Affairs
Office of the Arts Administrator
Postgraduate Halls
Postgraduate Student Association of the Chinese University of Hong Kong
Registration & Examinations Section
Sir Run Run Shaw Hall
University Health Service
University Safety Office
University Security Office
Yale-China Chinese Language Centre

Websites of other bodies:
Commissioner for Personal Data
Immigration Department of the Government of the HKSAR