

National Chengchi University Guidelines for Review of Violations of Academic Ethics

Approved by the 673rd Administrative Meeting on December 6, 2017

Issued by Letter No. Cheng JiaoXiao Zih 1060038759, December 28, 2017

Article 1,2,3,4,5,6,8,10,11and Regulation Title Amended and Approved by the 688rd Administrative Meeting on March 3, 2020

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- Article 1 This policy has been established by National Chengchi University (NCCU) to process violations of academic ethics involving current or graduated students which occurred during their study at NCCU in accordance with Degree Conferral Law, Enforcement Rules of Degree Conferral Law, Ministry of Education Principles for Processing Academic Ethics Incidents at the College Level and Above, NCCU University Regulations, Guidelines for Graduate Degree Examinations, and Student Reward and Punishment Policy.
- Article 2 A violation of academic ethics refers to any of the following situations that presents in the academic work of an NCCU student:
- A. Fabrication: Creating non-existent information in an application, research data, or research results.
 - B. Falsification: False altering of information in an application, research data, or research results.
 - C. Plagiarism: Using, without proper citation, the information of others in an application, research data, or research results. Improper citation, when deemed serious, will be considered plagiarism.
 - D. Presenting work that has been written by someone other than the student him or herself.
 - E. Releasing a duplicated publication without noting it as a duplication.
 - F. Substantial citations of one's own publications in a research project or thesis without proper citation thereof.
 - G. Publishing a translation as an original publication without noting it as a translation.
 - H. Other actions in violation of academic ethics.
- Article 3 If a dissertation or works, achievement certificates, together with a written report, technical report, or professional practice report replacing a dissertation in accordance with Articles 7 and 9 of the Degree Conferral Act, is found via being reported or upon being discovered by NCCU, within its authority, to have been involved in any of the conducts described in the Subparagraphs of Article 2 herein, that student's conduct will be investigated, deliberated, and handled in compliance with these Guidelines.
- Article 4 The NCCU Office of Academic Affairs shall be the competent authority to process

relevant cases.

A report should be submitted under the real name and contact information of the informant, along with an actual subject, contents, and evidence. The report will be processed after the information is verified. NCCU maintains the absolute confidentiality of informants.

If the identification information provided by the informant is false, the report will be regarded as an anonymous report.

If a report is filed in the manner of the preceding Paragraph, where an anonymous informant accuses a subject, provides details of the violation, and there is sufficient evidence thereof, the report will be processed according to Paragraph 2.

All departments, institutions, or offices affiliated to NCCU shall prepare relevant documents and report to the Office of Academic Affairs within their authority if they detect the aforementioned matters related to academic ethics.

Article 5 The cases should be transferred to the department of the accused after received by the Office of Academic Affairs.

Department should form an Investigation Committee within 10 days after received the cases from the Office of Academic Affairs. The formation, meeting, and resolution of the Committee must adhere to the following:

- A. The Committee consists of 7 to 11 members, and is convened by the chair of the department of the accused. The department head recommends the other Committee members who are university and external professional scholars and submit to the dean of the college for appointment. The list of the Committee members must remain confidential.
- B. The formation of the Investigation Committee must consist of at least one non-NCCU member and must include a legal professional; the number of each of the genders of the committee members shall not be less than one-third of the total committee members.
- C. If the convener must recuse himself or herself from the meeting, a member of the Committee will be elected to chair the meeting.
- D. Meetings must be held with the attendance of at least two-thirds of its members; resolutions must have the agreement of at least two-thirds of the attending members.

The Committee shall notify the accused to, within 2 weeks of notification, submit a written defense or attend the meeting to present a statement in person in response to the accusations. If the accused fails to do so by the allotted deadline, he or she will be considered to have forfeited the right to submit a defense or present a statement.

Where deemed necessary by the Committee, the investigation panel may obtain statements from the accused person's advising professor.

The Committee shall complete the investigation one month within its formation and may extend the investigation for another one month if deemed necessary. The

Committee shall submit the investigation report, meeting minutes, specific conclusion on whether the conduct is in violation of the academic ethics described in the Subparagraphs of Article 2, and a disciplinary action suggestion to the college to which the Committee is affiliated for review.

Article 6 The college of the accused should form a Review Committee and conduct an examination after received the investigation report, meeting minutes, specific conclusion and disciplinary action suggestion from the Investigation Committee of department. The formation, meeting, and resolution of the Review Committee of college must adhere to the following:

- A. The Committee consists of 5 to 7 members, and is convened by the dean of the college. The dean recommends other 4 to 6 members of Committee who are university and external professional scholars and submit to the principal for appointment. The list of the Committee members must remain confidential.
- B. Over half of the Review Committee members must be non-NCCU members, and the number of each of the genders of the committee members shall not be less than one-third of the total committee members.
- C. If the convener must recuse himself or herself from the meeting, a member of the Committee will be elected to chair the meeting
- D. Meetings must be held with the attendance of at least two-thirds of its members; resolutions must have the agreement of at least two-thirds of the attending members.

The Committee shall conduct a review of the investigation report, specific conclusion, and disciplinary action suggestions. If necessary, the Committee shall notify the accused or his/her advising professor to submit a written defense or attend the meeting to present a statement in person in response to the accusations. If the accused fails to do so, he or she will be considered to have forfeited the right to submit a defense or present a statement.

If the Review Committee has doubts on the Investigation Committee's investigation report and disciplinary action suggestions, the Review Committee shall conduct its own investigation and make resolutions for the disciplinary actions.

The Review Committee shall complete the review within one month after receiving the investigation report from the Investigation Committee and may extend the review for another one month if deemed necessary.

Once the review results and disciplinary action suggestions are submitted to the Office of Academic Affairs and NCCU President for approval, the Office of Academic Affairs shall handle the subsequent administrative procedures accordingly.

Article 7 A Committee member and person who participates in relevant procedures must recuse him or herself if the following relations or conditions with the accused are involved:

- A. A relationship as a spouse or blood relative within the fourth degree of kinship; or relative by marriage within the third degree of kinship.

- B. An advisor-student relationship involving a doctoral or master's degree dissertation (including works similar to a degree dissertation) and degree exam committee member.
- C. Researcher or co-author involved in collaboration within the last 3 years on the presentation of a paper or research results.
- D. An on-going joint research project during the investigation of said case.
- E. A current or previous agent ad litem or assistant for the accused.

In any of the following circumstances, the accused may request that a Committee member recuse him or herself:

- A. Where the Committee member fails to recuse him or herself in spite of the existence of any of the circumstances specified in the preceding Paragraph.
- B. Where there are concrete facts to sufficiently support the belief that the member is likely to be biased in the exercise of his or her duties.

Where a Committee member entails any of the circumstances specified in Paragraph 1 but fails to recuse himself or herself, or where the Committee member is likely to be biased in the exercise of his or her duties, the Committee shall then invoke the authority of position to demand that Committee member to recuse him or herself.

Article 8 If the accused involved in the reported case is found unequivocally in violation of academic ethics, the disciplinary actions are as follows:

- A. In accordance with the Degree Conferral Act, the degree of the accused shall be revoked and the accused will be recorded as having been forced to withdraw from NCCU if the accused is found involved in fraud, alteration, plagiarism, ghost writing or other fraudulent behaviors.
- B. The committee should consider circumstances which the academic ethics violation is less severe than that in the preceding Subparagraph, the accused will be ordered to rectify the violation, provide a public apology, or be subjected to other proper disciplinary actions within a limited time period.

Article 9 After the review and resolution from the Review Committee, the Office of Academic Affairs will handle the following matters to the reported case in accordance with Paragraph 6, Article 6 of the Guidelines:

- A. Notifying informant and accused of disciplinary action in writing.
- B. If a student's degree is revoked as a result of a violation, the revocation of the degree will be announced by NCCU, and the diploma bestowed on the accused will be retrieved. Other universities will be informed of the revocation and annulment, and letters will be sent to the National Central Library and NCCU library to request the withdrawal of the hard copies and electronic files of the accused's dissertation.

Article 10 The accused may submit an appeal to the Ministry of Education in accordance with relevant procedures within thirty days following the day of receiving the review results in written form if the accused is not satisfied with the results.

- Article 11 After resolution, the reported case on violation of academic ethics will not be investigated and reviewed again unless there have been new substantial facts or new evidence. The Office of Academic Affairs may respond to the informant with the prior resolution without further action.
- Article 12 The advising professor of the accused whose degree dissertation is withdrawn by NCCU shall be responsible for negligence in dissertation supervision, and further action will be taken by the department or institution of the advising professor.
- Article 13 Any matters that are not addressed in this policy will be governed by the relevant regulations of the Ministry of Education and NCCU.
- Article 14 These Guidelines have been announced and are implemented upon the approval of the Administrative Committee meeting. The same procedure will apply to all subsequent amendments thereto.