

National Sun Yat-sen University

Guidelines for Students' Academic Ethics and Handling of Cases in Violation of the Academic Ethics

Approved by the 129th Academic Affairs Council Meeting, October 17, 2011
Amendment approved by the 136th Academic Affairs Council Meeting, June 10, 2013

Article 1. The Academic Ethics Guidelines were established for the protection of academic ethics and to establish proper academic values and a code of conduct for students.

Article 2. Students are expected to observe the Academic Regulations, examination rules, the study regulations of each department or institute, be rigorous in their pursuit of knowledge, uphold the principles of good faith in their publication of academic papers and reports, and abide by the following regulations:

- (1) Show respect for intellectual property rights by not illegally photocopying textbooks or copying and spreading unlicensed software.
- (2) Properly record and preserve all evidence from one's own research for future review and verification. Do not fabricate or forge research data.
- (3) All published academic papers and reports must be one's own work and signed by the author. There is to be plagiarism, theft, ghostwriting or other forms of cheating.
- (4) The source of all references and data must be clearly indicated. Do not copy or translate domestic and overseas literature then pass it off as your own. If the author cites his or her own work, this should be clearly indicated to avoid self-plagiarism.
- (5) Do not submit of a single paper to multiple publications or repeatedly submit a paper with only minor modifications.
- (6) Do not take research results obtained jointly by two or more people and pass it off as your own.
- (7) Do not list the name of another person as the co-author without his or her consent.
- (8) An agreement and consensus must be reached with the co-author(s) or supervising professor on attribution, copyright ownership and future authorized use prior to the publication of academic writings.

Article 3. Guidelines for handling cases of academic ethic violations stemming from academic writings published by the student while at the university:

- (1) The receiving procedure is as follows:

When any university unit becomes aware of or receives an accusation that a student of the University had violated academic ethics, the nature of the misconduct and related information shall be forwarded to the Office of Academic Affairs; if the accusation is signed and concrete proof is included,

once the Office of Academic Affairs has verified the accusation with the accuser then it is immediately accepted for further action.

Anonymous accusations will not be accepted unless the alleged offender is clearly identified and there is sufficient material evidence. Unless the accusation has been verified, all personnel involved in the investigation or review procedure must maintain the confidentiality of all confidential information they come into contact with.

The identity of the accuser must be kept strictly confidential after the accusation is proved.

- (2) The review procedure is as follows:
 - i. The Office of Academic Affairs shall notify the college and department (institute, degree program) of the accused within one week of the accusation being received, and forward the relevant documents confidentially to the college of the accused for further action. The college must convene the Academic Ethics Committee and complete the review in a fair, equitable, objective and decisive manner within one month of the documents being received.

The aforementioned review period may be extended by up to one month if necessary. Only one extension is allowed.
 - ii. The Academic Ethics Committee shall consist of 5 to 7 members including the dean of the college the accused belongs to, head of the department (institute, degree program), 1 to 2 representatives from the college faculty, and 1 to 2 representatives from related college faculties. The members are to be appointed by the college of the accused and retained with the sanction of the University President.

The accused's current or past supervising professor, relatives within the third degree by blood or marriage, related through academic collaboration or other stakeholders may not serve on the Committee.

The dean of the college serves as the convener and chairperson of the Academic Ethics Committee. If there is a conflict of interest then the deputy dean takes his or her place, or a replacement is appointed by the University President.
 - iii. When the Academic Ethics Committee meets, at least a majority of members must be present and a majority of the present members are necessary to pass a resolution. If a committee member is unable to attend in person, they may not designate a representative to attend on their behalf.

The Committee may invite legal experts or representatives of relevant NSYSU units to attend the review meetings. If necessary, the supervising professor of the accused or other stakeholders may be invited to give their explanation.
- (3) The Academic Ethics Committee should notify the accused or their stakeholders to give their statements in writing within the specified timeframe or in person at the meeting. Failure to give any statements in writing or in person within the specified timeframe will be deemed to have waived the right to make such a statement.
- (4) The Academic Ethics Committee may issue the following decisions:
 - i. If the Academic Ethics Committee finds the accusation to be unfounded, its review report and meeting minutes should be forwarded to the Office of Academic Affairs and retained for reference once approved by the

University President. The Office of Academic Affairs will also notify the accuser, the accused and the college and department (institute, degree program) in writing.

- ii. If the Academic Ethics Committee finds the accusation to be valid then the review report and meeting minutes should be forwarded to the academic affairs council of the college the accused belongs to for decision. Unless the college council can provide sufficient justification on professional and academic grounds to bring the review decision into doubt then the judgment should be respected.

The decision of the college shall be forwarded to the Office of Academic Affairs for reference. Once approved by the University President, the Office of Academic Affairs shall notify the accuser, the accused as well as their college and department (institute, degree program) in writing.

- iii. If the accused wishes to dispute the decision, an appeal in writing with concrete proof and reasons must be submitted to the Office of Academic Affairs or the Student Appeal Review Committee within 15 days of receiving the notice.

Appeals to the Office of Academic Affairs shall be reviewed in writing by the original Academic Ethics Committee. If the original Committee finds merit in the appeal, a review meeting may be re-convened. Appeals to the Student Appeal Review Committee go to the Office of Student Affairs and are handled in accordance with the relevant student appeal regulations.

If an appeal was rejected as being without merit then no further appeals regarding the same matter will be accepted.

- (5) When an accusation of academic ethics violation is confirmed, once the above administrative process has been completed then the department (institute, degree program) of the accused should take punitive action against the accused in accordance with the university's "Student Reward and Punishment Regulations" based on the severity of the offense. The Office of Academic Affairs should also be notified afterwards.

If the academic writing of the accused had already be accepted under the department's study requirements then this should be revoked.

Article 4. Any matters not covered by the Guidelines are governed by the relevant Ministry of Education and university guidelines.

Article 5. The Guidelines were approved by the Academic Affairs Council and sanctioned by the University President prior to implementation. Modifications shall follow the same procedure.

英文法規翻譯內容若有疑義，以中文法規為主。

For the avoidance of doubt in English version regulation , Chinese version will be prevailing.

國立中山大學在學學生學術倫理規範暨違反學術倫理案件處理要點

100.10.17 第 129 次教務會議通過
102.06.10 第 136 次教務會議修正通過

- 一、為維護學術倫理、建立學生正確的學術價值觀及行為準則，特訂定本規範暨違反學術倫理時之處理要點。
- 二、學生應恪遵本校學則、考試規則及系所修業相關規定以嚴謹的態度探求學問、以誠信的原則發表學術論著、撰寫報告，並遵守下列規範：
 - (一) 尊重智慧財產權，不得非法影印教科書及任意拷貝、散播非經合法授權之軟體。
 - (二) 應妥善紀錄與保存自己研究過程之相關物證，以提供做為相關查核及驗證之用。不得捏造資料或偽造研究數據。
 - (三) 公開發表之各項學術著作及報告必須親自完成並具名負責，不得有抄襲、剽竊、代寫等舞弊行為。
 - (四) 若引用他人著作或資料，應詳細註明出處。不得抄襲或翻譯國內外文獻，據為己用。引用自己的著作亦應註明出處，避免形成自我抄襲。
 - (五) 學術論著不得有一稿多投或小幅修改重複投稿的情形發生。
 - (六) 不得將二人以上之共同研究成果據為己有。
 - (七) 不得未經他人同意即將他人姓名列為共同作者。
 - (八) 學術論著發表時，應與共同作者或指導老師，對姓名之標示、著作權之歸屬及未來之授權使用等，事先協議並達成共識。
- 三、學生在學期間學術論文著作發表後，違反學術倫理案件之處理要點：
 - (一) 受理程序如下：

本校各單位知悉或接獲檢舉本校學生疑有違反學術倫理情事時，應檢附具體違反情形及相關資料，送交教務處受理；對於具名並提出具體事證之檢舉者，經教務處向檢舉人查證確認其檢舉意願後，即受理處理。

前項檢舉案件以匿名檢舉，非有具體對象及充分事證者，不予受理。檢舉案未經證實成立之前，參與調查或審議程序之人員，就所接觸之資訊有予以保密之必要者，應以保密方式為之。

檢舉案經證實之後，對檢舉人之身分亦應予嚴格保密。

(二) 審議程序如下：

1. 教務處於受理檢舉案後一週內，應即通知被檢舉人所屬學院及學系(所、學位學程)，並將檢舉相關文件以密件送達被檢舉人所屬學院處理。學院應於收件後一個月內召開學術倫理委員會，本公平、公正、客觀、明快之原則審議決議。

前項審議期間必要時得展延一個月，展延以一次為限。

2. 各學院學術倫理委員會置委員五至七人，由被檢舉人所屬學院院長、學系(所、學位學程)主管、所屬學院教師代表一至二名、相關學院教師代表一至二名組成之，並由被檢舉人所屬學院簽請校長遴聘之。

被檢舉人之現有或曾有之指導教授、三親等內血親或姻親、學術合作關係或其他利害關係者皆不得擔任委員會委員。

學術倫理委員會由院長擔任召集人及會議主席，若院長應迴避時，由副院長擔任或由校長指定。

3. 學術倫理委員會開會時，應有委員二分之一以上出席，並經出席委員二分之一以上同意始得作成決議。委員因故不能出席會議時，不得委託代理出席。

委員會召開之相關會議，得邀請法律相關專家或校內相關業務單位代表列席。必要時得邀請被檢舉人之指導教授或其他利害關係者列席說明。

(三) 學術倫理委員會應以書面通知被檢舉人或利害關係人於期限內提出書面說明或到場陳述意見。未於通知期間內提出說明書或到場陳述意見者，視為放棄陳述之機會。

(四) 學術倫理委員會審定決議如下：

1. 檢舉案經學術倫理委員會會議決議不成立，其審定報告書及會議紀錄應送教務處經校長核定後備查，並由教務處以書面通知檢舉人、被檢舉人及副知被檢舉人所屬學院及學系(所、學位學程)。

2. 檢舉案經學術倫理委員會會議決議成立，應將其審定報告書及會議紀錄送交所屬學院院務會議決議。院務會議除能提出具有專業學術依據之具體理由，足以動搖審定決議外，應尊重其判斷。

所屬學院應將審議決議送教務處提報教務會議核備，經校長核定後，由教務處以書面通知檢舉人、被檢舉人及副知被檢舉人所屬學院及學系(所、學位學程)。

3. 當事人若有異議，得於收受通知後 15 日內以書面列舉具體事實及理由向教務處或學生申訴評議委員會提出申訴。

向教務處申訴者，由原學術倫理委員會進行書面審理。原委員會認為申訴有理由者，應重新開會進行審理。向學生申訴評議委員會申訴者，由學務處受理，並依學生申訴相關法規辦理。

申訴經無理由駁回者，不得就同一事件再行申訴。

(五) 檢舉案確立違反學術倫理情事，經完成前項行政程序後，被檢舉人所屬學系（所、學位學程）按情節輕重，應依本校「學生獎懲辦法」對當事人給予處分，並應副知教務處。

若被檢舉人論文著作原已認定為系所修業規定之一者，則應撤銷該論文著作之採認。

四、本規範暨處理要點如有其他未盡事宜，依教育部及本校相關規定辦理。

五、本規範暨處理要點經教務會議通過，陳請校長核定後實施，修正時亦同。