

Shih Chien University Implementation Rules for Academic Ethics Management

Approved by 2nd School Affairs Meeting, 1st Semester, 2017 School Year on 24 October 2017
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Article 1 In order to maintain academic integrity, implement the principle of academic auto-governance and fairly handle cases in breach of academic ethics, these Shih Chien University Implementation Rules for Academic Ethics Management (hereinafter these "Rules") are established in accordance with the Academic Ethics Regulations for Researchers by Ministry of Science and Technology, Guidelines for Processing, Review and Determination of Academic Ethics Cases by Ministry of Science and Technology and the Principles for Handling Academic Ethics Cases by Professional Colleges and Higher Schools by Ministry of Education.

Article 2 These Rules are applicable to personnel related to academic research by the University, including teachers, part-time project assistants and students.

Personnel related to academic research under the previous paragraph shall take academic research ethics educational program, pass the tests and acquire certificates of completion in accordance with the requirements under the University's Implementation Guidelines for Academic Ethics Educational Program for Teaching and Research Staff.

Article 3 "Breach of academic ethics" referred to under these Rules means any of the following events:

1. Forgery: Falsification of non-existent application materials, research materials or research results.
2. Alteration: Wrongful alteration of application materials, research materials or research results.
3. Plagiarism: Use of other parties' application materials, research materials or research results without indicating the sources. Seriously incorrect indication of the sources is deemed plagiarism.
4. Concealment about certain materials being results or written work that are already published.
5. Duplicate publication without specification, resulting in duplicate counting of research results.
6. Significant reference to one's own written work that is already published in a research plan or thesis without proper footnote.
7. Influence of thesis review through illegal or improper means.
8. Breach of applicable laws.

Upon discovery of any of the above acts by the University based on its authority, the Research and Development Division shall take the initiative to handle the case. In case of whistleblowing, the whistleblower shall file a real-name report with evidence to the Research and Development Division. Any report filed under alias, anonymously or without providing real contact details or specific targets or clear evidence will not be processed.

Article 4 The University has an Academic Ethics Review Committee (hereinafter the "Review Committee"), responsible for determining whether any person listed under Article 2 has engaged in any act in breach of academic ethics under paragraph 1, Article 3. Cases shall be processed by the Review Committee composed of 7 to 9 members, among which the Vice Principal, Academic Affairs Director and Research and Development Director shall be ex-officio members. The remaining members shall be selected by the Principal from a list of recommended experts and scholars of relevant domains provided by the Research and Development Division. Members of the Review Committee serve a term until the review of the case is completed. The Vice Principal designated by the Principal shall chair the Review Committee. Other experts, scholars or relevant persons may be invited to provide explanations as required.

When there are any of the following events between a member of the Review Committee and a person subject to whistleblowing, such member shall recuse him/herself:

1. Any event under Article 32 of the Administrative Procedure Act.
2. Employed by the same department, college, academic program or unit at the time of the review.
3. Teacher-student relationship for Ph.D. or Master's thesis in the past 3 years.
4. Co-author of thesis or research results published in the past 2 years.
5. Co-management of research program at the time of the review.
6. Recusal required in accordance with applicable laws.
7. Other relationship of interest determined by the Review Committee.

Resolutions of the Review Committee shall be approved by 2/3 or more of the members attending a meeting attended by 2/3 or more of the total members. However, any resolution to suspend, dismiss, or not renew or expel any person in breach of academic ethics shall be approved by 3/4 or more members attending the meeting.

Article 5 After a case of a suspected breach of academic ethics is processed by the Research and Development Division, the person subject to whistleblowing shall be given notice to file a written defense within 20 days, which shall be submitted to the Review Committee for determination.

If the review results determine breach of academic ethics, the type of breach shall be specified, evidence shall be listed and specific sanctions shall be proposed.

Case review shall be completed within 3 months from the day following receipt of the case. However, if the case is complicated or during winter or summer vacations, the processing period may be extended by one month and notice shall be given to the whistleblower and the person subject to whistleblowing.

Article 6 The review results shall be provided to the person subject to whistleblowing through written notice.

If a breach of academic ethics is established, in addition to ordering the person subject to whistleblowing to participate in at least 6 hours of academic ethics related program

and acquire proof of completion, a notice shall also be given to the relevant unit for subsequent sanction:

1. If the person subject to whistleblowing is a teacher, the review results shall be submitted to the Teachers' Review Committee of the University. Any decision of dismissal, termination or non-renewal shall be in accordance with applicable procedures under the Teachers' Act, shall be resolved by the Level 3 Teachers' Review Committee and shall be submitted to the Ministry of Education for approval.
2. If the person subject to whistleblowing is a student, the review results shall be submitted to the Student Reward and Discipline Committee of the University.

Article 7 Any person who handles any whistleblowing or participates in any investigation or review procedure in accordance with these Rules shall keep confidential the information accessed during the investigation procedure, except if the case involves public interest and it is necessary for the University to provide proper explanations.

Article 8 If any teacher, full-time or part-time project staff or student of the University is deemed in breach of academic ethics in accordance with these Rules, resulting in any claim filed against the University by any subsidizing institution or third party or in case of any other damage, the person in breach shall bear all compensation liabilities.

Article 9 Anything that is not stipulated in these Rules shall be governed by applicable regulations of the Ministry of Science and Technology and the University.

Article 10 These Rules, including any amendment hereto, shall be published and implemented following approval by the School Affairs Meeting and the Principal.