NOTICE

The Handbook for MPhil and PhD Programmes provides basic information about The University of Hong Kong for students admitted to the MPhil and PhD research degree studies.

Every effort has been made to ensure that the information contained in this Handbook is correct at the time of printing, but some arrangements may be subject to change in the course of the academic year.

The Handbook does not form part of a contract between a student and the University.

Graduate School
August 2018
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Map of the University Campus
The University’s Vision & Mission

Vision

The University of Hong Kong, Asia’s Global University, delivers impact through internationalisation, innovation and interdisciplinarity. It attracts and nurtures global scholars through excellence in research, teaching and learning, and knowledge exchange. It makes a positive social contribution through global presence, regional significance and engagement with the rest of China.

Mission

The University of Hong Kong will endeavour:

• To advance constantly the bounds of scholarship, building upon its proud traditions and strengths

• To provide a comprehensive education, benchmarked against the highest international standards, designed to develop fully the intellectual and personal strengths of its students, while extending lifelong learning opportunities for the community

• To produce graduates of distinction committed to academic/professional excellence, critical intellectual inquiry and lifelong learning, who are communicative and innovative, ethically and culturally aware, and capable of tackling the unfamiliar with confidence

• To develop a collegial, flexible, pluralistic and supportive intellectual environment that inspires and attracts, retains and nurtures scholars, students and staff of the highest calibre in a culture that fosters creativity, learning and freedom of thought, enquiry and expression

• To provide a safe, healthy and sustainable workplace to support and advance teaching, learning and research at the University

• To engage in innovative, high-impact and leading-edge research within and across disciplines

• To be fully accountable for the effective management of public and private resources bestowed upon the institution and act in partnership with the community over the generation, dissemination and application of knowledge

• To serve as a focal point of intellectual and academic endeavour in Hong Kong, China and Asia and act as a gateway and forum for scholarship with the rest of the world
The University’s Mission on Research Postgraduate (RPg) Education

To provide first-class research postgraduate education and learning that meet the highest international standard.

HKU Educational Aims (EAs) and Institutional Learning Outcomes (ILOs) for RPg Curricula

Benchmarked against the highest international standards, the RPg curricula at HKU are designed to enable students to develop their capabilities to:

(a) engage in critical intellectual enquiry

- Critically evaluate information and ideas from multiple perspectives
- Integrate knowledge at the forefront of a particular field

(b) demonstrate a thorough understanding of research methodologies and techniques at an advanced level

- Develop, design and implement research projects competently and independently

(c) conduct innovative, high-impact and leading edge research

- Engage in original research that takes a new technological, methodological, or theoretical approach

(d) provide novel solutions to complex problems

- Identify and define emerging problems
- Offer innovative and original solutions to problems and issues in novel situations
(e) demonstrate adherence to personal and professional ethics

- Maintain the highest standards of personal and academic integrity
- Understand complex ethical and professional issues

(f) demonstrate leadership and advocacy skills

- Articulate analyses and propose solutions in response to social issues
- Communicate and disseminate research findings effectively in the academic community and to stakeholders in society

(g) work with others and make constructive contributions

- Engage in intellectual exchange with researchers from other disciplines to address important research issues
- Collaborate effectively with researchers from different cultures

(h) monitor, review and reflect on one's own work and competencies, and change and adapt in the light of new demands

- Evaluate contribution of one's own work to the field
- Demonstrate flexibility to accommodate new knowledge and perspectives

HKU Programme Learning Outcomes (PLOs) for RPg Programmes

On completion of the programme, students will be able to:

- Demonstrate critical understanding, at an advanced level, of up-to-date knowledge and research methodology of a particular field
- Implement effective academic and personal strategies for carrying out research projects independently and ethically
- Contribute original knowledge in response to issues in their specialist area
- Communicate research findings at a diverse range of levels and through a variety of media
- Evaluate one’s own research in relation to important and latest issues in the field
Definitions

Research Postgraduate Students are, for the purpose of this *Handbook*, those persons registered for the degree of Master of Philosophy (MPhil) or Doctor of Philosophy (PhD). Other postgraduate students also undertake research during their studies for coursework Master’s degrees and for postgraduate certificates and diplomas, but the manner of their supervision is different from those registered for research degrees.

Mode of study. From July 1, 1995 the University introduced definitions of full-time and part-time candidature for MPhil and PhD. A full-time student is defined in Degree Regulations MPH4 and PHD4, see *Appendices XX & XXI*.

Supervisors are appointed for each candidate by the Board of Graduate Studies on the advice of the relevant Faculty. The Procedures in *Appendices XXII and XXIII* of the *Handbook* specify who are eligible to serve as supervisors for MPhil and PhD students.

A Thesis is a piece of writing which a capable, well-qualified and diligent student who is properly supported and supervised can produce and submit in a specified time. The thesis is expected to embody the results of a candidate’s research which displays some originality and in the case of a doctoral thesis, it should also represent an original contribution to knowledge worthy of publication.

Regulations governing the degrees of MPhil and PhD appear each year in the University Calendar. The set of regulations applicable to students enrolled on or after September 1, 2007 is reproduced in *Appendices XX & XXI* of this *Handbook*. The sets of regulations applicable to students enrolled before the above date can be downloaded from the Graduate School website at http://www.gradsch.hku.hk/.

Procedures provide administrative guidance for the interpretation and execution of the Degree Regulations and appear in a separate document. The set of procedures applicable to students enrolled on or after September 1, 2011 is reproduced in *Appendices XXII and XXIII* of this *Handbook*. The sets of procedures applicable to students enrolled before the above date can be downloaded from the Graduate School website at http://www.gradsch.hku.hk/.

Good Practices for Research Postgraduate Students, Supervisors, Faculty Higher Degrees Committees and Departmental Research Postgraduate Committees are intended to be a more informal, “user-friendly” expression of the intentions of the University’s regulations and procedures and they have been formally adopted by the Policy Board of Postgraduate Education as the measure against which good supervisory practice can be judged (reproduced in *Appendices XXIV, XXV, XXVI and XXVII* of this *Handbook*).
Chairman in this *Handbook* refers to Chairperson, which is gender-neutral.

Regulations, Procedures and Good Practices may be amended from time to time. Any revisions which take place are routinely given to Departmental and Faculty Offices and can also be obtained from the Graduate School.
The Organization of the University

The Court, Council, Senate and Faculties

The Court is, subject to the provisions of the University of Hong Kong Ordinance (Cap. 1053, 1964), the supreme advisory body of the University, and must meet once each year. Its President is the Chancellor, and its membership includes the members of Council and the members of the Senate, as well as a number of other persons from the University and from the community in general. In addition to receiving various reports it may request of the Legislative Council changes to the Ordinance and can, itself, change the University Statutes.

The Council is the supreme governing body of the University. It includes academic staff and student members as well as lay members of the community in general and it manages the property, investment, budget, appointments and contracts of the University. Specifically it approves the allocation of resources to the faculties and non-faculty budget centres.

The Senate, subject to the provisions of the Ordinance and the financial control of the Council, regulates all matters in the University relating to education. Chaired by the President & Vice-Chancellor, it has no resource responsibilities of its own but the Council consults it on any implications for the University’s academic affairs of proposals about resourcing. It has delegated its power to determine examination results for the degrees of MPhil and PhD to the Board of Graduate Studies.

The Boards of the ten Faculties (Architecture, Arts, Business & Economics, Dentistry, Education, Engineering, Law, Medicine, Science and Social Sciences) are responsible to the Senate for the teaching of the subjects assigned to them. The Deans of the Faculties are appointed by the Council. They normally serve for a period of five years. Heads of Departments in a Faculty are formally responsible to the Faculty Board for the organization of teaching in their department. Each Faculty Board has a higher degrees committee which is concerned with matters concerning postgraduate education.

The University of Hong Kong Ordinance and the University Statutes are published in the University Calendar together with the General Regulations, which can be amended by the Council or the Senate, and cover such matters as admission requirements, registration, attendance and absence, examinations, discontinuation, fees and charges. The General Regulations applicable to research students are reproduced in this Handbook (see Appendix II).
The Graduate School

The Graduate School was formally established by the Council in September 1998. It is responsible for the quality assurance and overall management of the research postgraduate (RPg) degrees, i.e. Master of Philosophy (MPhil) and Doctor of Philosophy (PhD). It helps to set guidelines and regulations for research postgraduate education, and it implements policies on admissions, academic progress, examinations and quality assurance in respect of training for research students. It also provides compulsory courses and optional workshops to students.

The Graduate School is governed by a Policy Board of Postgraduate Education ("Policy Board") which is a Senate Committee and the School’s main strategic and policy-making body. Under the Policy Board is the Board of Graduate Studies (BoGS) chaired by the Dean of the Graduate School or his/her designate.

The BoGS is given the authority to ensure that best practice is followed in the Faculties. It also has the responsibility for determining examination results of research postgraduate students and maintaining regular review mechanisms to provide feedback for policy considerations.

Policy Board of Postgraduate Education

The Policy Board of Postgraduate Education sets the overall plan of the University’s long-term strategies in, and policies on, all matters concerning research postgraduate education. The powers and duties of the Policy Board of Postgraduate Education are shown in Appendix I.

Board of Graduate Studies

The Board of Graduate Studies ensures that good practices, consistent with policy and guidelines determined by the Policy Board, in admission, academic programmes, progress monitoring, thesis submission, and thesis / coursework examinations are adopted throughout the University. The Board may grant exceptions to the rules and regulations on academic grounds.

The Board consists of representatives from Faculty Higher Degrees Committees, and is chaired by the Dean of the Graduate School or his/her designate. The Board is not expected to deal with routine matters which will be dealt with by the Graduate School Office. The powers and duties of the Board of Graduate Studies are shown in Appendix XIX.

Faculty Higher Degrees Committee

Each Faculty has a Higher Degrees Committee (FHDC) which reports to the Faculty
Board; its membership is determined by the Faculty itself, which accounts for their differing composition.

The FHDC recommends to the Board of Graduate Studies via its parent Faculty Board those who shall be admitted as research students, the degree for which they shall be registered, their field of study, who their supervisors shall be and whether any exemptions from the University’s admission requirements shall be made. The FHDC is advised by the Graduate School on the authenticity and acceptability of qualifications presented for admission. Exemptions from English language qualifications, where necessary, are made on a case-by-case basis by the Board of Graduate Studies on the advice of the FHDC. The FHDC also recommends to the Board of Graduate Studies those students who shall be granted a postgraduate scholarship.

Candidates and their supervisors are required to submit progress reports on the candidates’ studies once every six months. At the end of each student’s probationary period (12 months for full-time students and 18 months for part-time students, or in the case of 4-year PhD students, 18 months for full-time students and 24 months for part-time students), the FHDC receives reports from both the student and the supervisors, whose report is endorsed or commented upon by the Chairman of the Departmental Research Postgraduate Committee, and decides whether to recommend confirmation of candidature, transfer of candidature (MPhil to PhD, and / or between full-time and part-time status) or an extension of the probationary period.

Every 6 months thereafter the FHDC receives further reports from each research student in the Faculty and their supervisors, whose report is endorsed or commented upon by the Departmental Research Postgraduate Committee, and determines whether any particular course of action is required. The FHDC also reports biannually to the Board of Graduate Studies on the progress of students in the Faculty.

The FHDC is responsible for considering, for advice to its Faculty Board, recommendations for individual students about leave of absence, the confirmation of candidature, the transfer of candidature and the appointment of examiners.

The powers and duties of the Committee are shown in Appendix XXXI.

**Board of Examiners**

A Board of Examiners (BoE) is set up by the Faculty for each RPg student and its membership comprises the Dean of the Faculty (Chairperson), members of the FHDC, specialist and additional examiners, supervisor(s), and the Chairperson of the Thesis Examining Committee. The BoE will receive the report of the Thesis Examining Committee, the reports of the specialist examiners of the thesis and the report of the examiners present at the oral examination and recommends a course of action to the Board of Graduate Studies for approval.

The powers and duties of the Board are shown in Appendix X.
Departmental Research Postgraduate Committee

The Departmental Research Postgraduate Committee is the advisory body to the Faculty Higher Degrees Committee on the management of research postgraduate education at department level. Its objectives are to broaden the basis of decision making on research postgraduate education, to give advice to supervisors and supervisees and to function as the departmental quality assurance body.

The powers and duties of the Committee are shown in Appendix XXXII.

Supervisors

Supervisors shall be Teachers of the University as defined in the University Ordinance and Statutes. Visiting and Honorary Teachers of the University can serve as a co-supervisor, but cannot serve as a primary supervisor.

Research Assistant Professors can serve as a co-supervisor. They cannot serve as a primary supervisor unless recommended by their Faculty Dean or his/her delegate (e.g. FHDC), and on the condition that another full-time Teacher is appointed as a co-supervisor.

In addition to the appointment of a primary supervisor, either (i) a co-supervisor shall be appointed; or (ii) a mentor shall be assigned, on the understanding that it is for the benefit of the candidate rather than for assisting the primary supervisor; or (iii) an Advisory/Supervisory Panel or Committee shall be established. The purpose of this arrangement is to provide the candidate with an additional/alternative source of support on the understanding that a person providing continuity advice and guidance at an earlier stage could be helpful in pre-empting/alleviating the occasional situations when a candidate’s relationship with the primary supervisor is suffering strain of if there is a conflict between the primary supervisor and the candidate.

Postgraduate Representation on University Committees

Postgraduate students are represented on a large number of University committees, including the University Council (and hence the Court), the Senate, all Faculty Boards and many of their committees and subcommittees.

Representation is regulated by the terms of reference of each committee and may be effected through the Postgraduate Student Association or be determined by election among all the postgraduate students.

In the case of Faculty Boards, the level of postgraduate representation depends on whether postgraduates or undergraduates are in the majority in a particular faculty. The
majority may elect three representatives to the Faculty Board, the minority only one. At least one postgraduate student is a member of the Senate.

If you wish to identify the postgraduate student(s) serving on any committee, you should contact the Registry (Tel: 2859 2229), or the Centre of Development and Resources for Students (Tel: 2859 2305).
Orientation Programme for Research Students

All newly registered research students, i.e. those registered for the degrees of MPhil and PhD, are invited to attend an Orientation Programme organized by the Graduate School to be held in September. Attendance at this programme is most important if you are to understand what the University expects of you as a research student and what you can expect from the University.

Details of the Orientation Programme are included on a separate sheet in your Graduate School Information Pack.

Careers Orientation

The Centre of Development and Resources for Students (CEDARS) organizes orientation and careers activities for postgraduates regularly throughout the year. Career advising, job posting and recruitment services, career preparation training, and industry collaboration events are available to help you understand the career options and job opportunities that are open to you and how you should prepare yourself in pursuing a successful career.

Stay tuned to their Daily Jobs & Career Events email and website for news, workshops, programmes and events.

Website: cedars.hku.hk/careers
Enquiry: 3917 2317 / careers@hku.hk
Office Address: 3/F, Meng Wah Complex

Hall Orientation Programme

All residential hall associations, in consultation with their wardens and tutors, organize orientation programmes for new residents before the start of the academic year. During the orientation, you will become acquainted with other new residents and existing residents. A variety of activities will be offered during the orientation period, and participation in these activities is voluntary.

Information Technology Services Orientation

Information Technology Services (ITS) organizes orientation seminars at the start of each academic year to facilitate new students to know more about ITS’ services and
facilities. All new students are welcome to join.

Students can find the orientation course schedule and registration at http://www.its.hku.hk/services/training which will be available in August.

**Orientation for Non-local Students - Weeks of Welcome (WoW)**

This is a series of induction programmes for newly arrived non-local students. Students are free to choose from a range of activities spanning from late August to early September. The activities, a mixture of fun, fact findings, visits and tours, aim to help the newly arrived to settle down, induct into living and studying in Hong Kong and at the University, make friends and to get to know about the new environment. One of the highlights of the WoW is the Orientation for Non-local Students to be held before the beginning of each semester. For details and registration, please visit the website for Non-Local students of the Centre of Development and Resources for Students (CEDARS) at cedars.hku.hk/wow.

Non-local students are strongly recommended to take various learning and psychological assessments on Psychometer (psyax.cedars.hku.hk/), a web-based psychological profile for all HKU students, to monitor how well they adjust to the new cultural and learning environment at HKU.

**Postgraduate Library Workshop**

To facilitate navigation amidst the myriad information resources, students are most encouraged to attend the Postgraduate Library Workshop. Through the workshop, students will learn about the library facilities and services as well as the search tools and skills in support of their research and study.

**Registration**

Workshops are arranged before the commencement of the academic year and fills up very quickly. So, check out the latest schedule at http://lib.hku.hk/general/instruction/. Registration begins in early August. For enquiries, please contact the Information Services Division by email at libis@hku.hk, telephone 3917 2203 or WhatsApp 5441 5441.
Dates of Semesters

There are two semesters in each academic year. The following are the dates of the semesters in 2018-19 for undergraduates and taught postgraduates, as reference for RPg students:

First Semester: September 3, 2018 - December 22, 2018
Second Semester: January 14, 2019 - May 25, 2019
Procedures

After having accepted the University’s offer of admission and paid the required composition fees on first admission to a curriculum of study, a student is required to register with the University.

You are strongly advised to complete the following registration procedures as soon as possible to facilitate collection of the Student Registration Card and any application(s) for other study facilities. You must:

(a) use the login details sent to you by email to gain access to the HKU Portal (http://www.hku.hk/portal) and complete the online registration (HKU Portal > Self Service > Master Registration) as soon as possible;

(b) submit a recent passport-size photograph and a copy of your HKID Card or Passport and Student Visa (if applicable) in accordance with the instructions for ‘Photograph Submission for Student Registration Card’ provided in the registration package for the production of your Student Registration Card;

(c) complete and return the Research Ethics: Declaration Form and Faculty/Department Record Form to your Faculty Office as soon as possible;

(d) complete an online questionnaire “Profile of First Year Postgraduate Students” required by the Centre of Development and Resources for Students (CEDARS); and

(e) collect your Student Registration Card according to the card collection schedule provided in the registration package.

The above registration procedures are set up as of April 2018. You should check directly with your Faculty Office for updated information regarding the registration procedures.

Electronic Communication

All students are given a computer account, identified uniquely by an HKU Portal UID (User Identification) and an associated PIN (Personal Identification Number), for accessing a wide range of network services and applications conveniently and communicating with their fellow students and other members of the University.

The University will disseminate important information and notices to students on the
HKU Portal and communicate with students using the @connect.hku.hk account. You are therefore reminded to visit the HKU Portal (https://hkuportal.hku.hk) and check your emails in the @connect.hku.hk account regularly via the “MyEmail” tab of HKU Portal.

### Composition Fee for MPhil and PhD

<table>
<thead>
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<th></th>
<th>Full-time</th>
<th>Part-time</th>
</tr>
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<tbody>
<tr>
<td>2018-19</td>
<td>$42,100 p.a.</td>
<td>$63,000 p.a.*</td>
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*Due to withdrawal of funding from the University Grants Committee for part-time students, part-time research degree programmes are offered on a self-funded basis. The composition fee for part-time students who register on September 1, 2018 and thereafter is $63,000 p.a.*

All applicants are required to pay a deposit upon acceptance of the offer of admission by the stipulated deadline. The payable amount of the deposit is normally equal to the first instalment of Composition Fees plus Caution Money.

The annual Composition Fee is payable by two equal instalments with the first instalment payable upon registration and at six-month intervals thereafter during the normative period of study; and for the period beyond the normative period of study, the Continuation Fees will be payable quarterly until you graduate.

For the second and subsequent instalments of the composition fee, all students will receive a soft copy of the student invoice concerning payment of University fees (e.g. composition fee) by way of an email attachment to their “@hku.hk” email from the Student Information System (“SIS”). Students who have provided their Hong Kong mobile phone numbers in SIS will receive a SMS message in parallel. A soft copy of the student invoice is also available for download through the SIS system. Students are required to pay the invoice sum on or before the invoice due date.

You must take note of the following important points:

(a) You should follow the instructions as given in the student invoice for making payment and must input the correct ‘Bill Type’ and ‘Bill Account Number’ as specified in the student invoice for payment. It is important to retain the transaction advice slip printed out by the bank machines (or to keep a hardcopy of the acknowledgement of bank payment reference number if using internet banking) as your proof of payment.

(b) A student is liable to pay the Composition Fee, once an offer of admission is accepted.

(c) University fees shall be paid in advance, and once paid cannot be refunded. With the adoption of the Fixed Daily Rate (FDR) approach in 2010, credit(s) arising from
the taking of non-study leave will be carried forward to offset composition fee in the ensuing instalment.

(d) If you are unable to pay fees by the due date, you must contact the Centre of Development and Resources for Students (CEDARS) well before the due date to apply for the permission to defer your payment. For details, please visit cedars.hku.hk/finance/defer.html.

(e) A student who has failed to pay his/her fees within 30 days after the due date shall be de-registered and prohibited from using University facilities and services. For subsequent re-instatement of the student status, the student will have to pay a surcharge of 10% of the outstanding fees, or $500, whichever is the lesser. In addition, the student may also be required to compensate the University for any loss of interest for any late payment or non-payment of fees.

**Deferment of Fee Payment**

**Deferment of Fee Payment Prior to First Registration - Local Students**

(a) Local students who apply for deferment of fee payment when they accept an offer of admission should be referred to the Centre of Development and Resources for Students (CEDARS) with written evidence of University support (PGS, RA, TA, etc).

(b) The decision to approve or reject applications of deferred payment rests with the Dean of Student Affairs. Applicants are requested to release, at the time of application, information on the financial circumstances of themselves and their immediate families for assessment.

**Deferment of Fee Payment prior to First Registration - Non-local Students**

Non-local students who apply for deferment of fee payment when they accept an offer of admission should also be referred to CEDARS. CEDARS will check with the Department and Faculty concerned to find out whether University support will be recommended/granted for these applicants, before making a decision. CEDARS will notify the applicants of the result, and will also relay it to the Finance and Enterprises Office as well as the Faculty Secretary.

**Deferment of Fee Payment after First Registration**

Applications for deferment of fee payment in respect of currently registered postgraduates are also processed by CEDARS. For details on fee deferment, please visit cedars.hku.hk/finance/defer.html.
Personal Photographs

In addition to the personal photographs that you are required to affix permanently onto the registration documents, students admitted to the Faculty of Architecture (other than those reading for the MSc in Urban Planning) are required to submit three personal photographs to the Faculty.

Questionnaires on Profile of First Year Postgraduate Students

The purpose of the survey is to collect information about new postgraduates, which has been proved to be very useful to the University in the planning and development of facilities and services for students generally. All information obtained will be analyzed in aggregate form and none of the data will be used in such a way as to allow the particulars of individual students to be disclosed.

Please complete the questionnaire online at apps.cedars.hku.hk/survey_pg within 2 weeks following registration.

Student Registration Card

Issue of Card

A Student Registration Card is issued free-of-charge to each student on completion of the registration procedures. You must first return the required registration documents to your Faculty Office and complete the online registration to enable the Academic Support and Examinations Section to prepare your Student Registration Card.

The Card serves as evidence of your status as a registered student of this University and is used for access to the Libraries, the Information Technology Services, the Centre for Sports and Exercise, the University Health Service, and other facilities. The Card is a smart card with a contactless chip which will be used by the University for identification purposes and will enable students to have access to facilities in the University.

To collect your Student Registration Card, you will need to produce your HKID Card or Passport and Student Visa (if applicable) for verification of your identity.

Regulations for Student Registration Card

The Student Registration Card is a student's personal identification document and is required to access the University's premises and its facilities. The Card’s validity period represents the normative period of study of the registered programme. However, once the student has completed his/her studies and his/her record has been changed from
current student to that of graduate, the Card will be invalid immediately and the card holder can no longer use the Card to access the facilities. The Card will also be invalid once you have terminated your studies.

The Student Card is University property and is not transferable. Misuse or falsification of the Card constitutes a major offence, and is subject to disciplinary action. The University may, at its discretion, require a student to return his/her Card at any time.

If you find that either the magnetic strip or the contactless chip of your Card is not working properly, you should report to Academic Support and Examinations Section of the Registry (9/F, Knowles Building). If your Card is found to be defective, you will be issued a new card free of charge. However, you will be liable to a charge of $150 for the following:

(i) the Card is damaged due to mishandling (e.g. crack or surface damage);

(ii) you have lost your Card;

(iii) you cannot return the original Card issued to you when you receive a replacement card; or

(iv) you cannot return the Card to your Faculty Office upon discontinuation from studies.

For (i) and (ii), please submit the application for replacement of Student Registration Card online via HKU Portal -> SIS Menu -> Self Services -> Report Lost/Damaged Card. For (iii) and (iv), please contact Academic Support and Examinations Section for further guidelines.

Concurrent Registration

Students registered to read for a postgraduate curriculum at this University MUST NOT be registered simultaneously to read for another qualification in this University or at another institution, except with the approval of the Senate given in advance. A breach of this regulation in Hong Kong or elsewhere may result in the student concerned being required to discontinue studies at this University.

If you are in doubt about your own situation with regards to concurrent registration, please consult the Secretary of your Faculty for advice.

Change of Personal Particulars

As a student, you bear full responsibility to inform the University of any change to your personal details, particularly your contact telephone number(s) and address after registration. These contact particulars will be used for all official documents and
correspondence. Please therefore keep your correspondence information updated via the HKU Portal. For graduates, please complete the form ‘Change of Personal Particulars’ which can be downloaded from www.ase.hku.hk and submit it to Academic Services Office, G04, Run Run Shaw Building. The University takes no responsibility for mail which cannot be delivered to you if you fail to update your records.

The University assumes that a student’s name is the one which is recorded at the time of admission. Your name should be the same as that shown on your HKID Card or Passport. Requests to change or update the record(s) of personal particulars such as name, information of HKID Card or Passport, date of birth or nationality must be supported by legal documentary evidence. The University will not consider any application for changes to be made in the University’s record unless the application is supported by legal documentary evidence. If your name is changed, you must provide a copy of the deed poll and a photocopy of your new HKID Card as soon as available for updating of your personal particulars and Chinese name (if any). If you did not submit a copy of your HKID Card during the registration process, you must provide a copy of your HKID Card once it is available so that your HKID number and Chinese name (if any) can be updated in your student record. Both particulars are crucial for the processing of your transcript.

Transfer

For transfer of candidature from MPhil to PhD (or vice versa) and/or from full-time to part-time (or vice versa), please refer to the relevant Regulations and Procedures as set out in Appendices XX - XXIII of this Handbook.

Withdrawal of Studies

If you are contemplating withdrawal from your study, please consult your Faculty/Department Office before doing so to discuss your options. A student who wants to withdraw from the University officially must complete the form “Withdrawal of Study” which can be downloaded from www.ase.hku.hk, and return the completed form to the student’s home Faculty Office. Upon withdrawal from the University, you are required to surrender the Student Registration Card to your Faculty Office.

Students should note that they are liable to pay the annual composition fee despite their withdrawal from studies at any time during the academic year. Withdrawal from study does not remove the need to settle any outstanding financial payments or financial aid obligations due to the University or financial aid office(s).
Postgraduate Scholarships (PGS)

From September 1, 2000, the University provides Postgraduate Scholarships to selected full-time MPhil and PhD students who normally hold a first degree at second class honours first division (or equivalent) or above. The Board of Graduate Studies may also take into consideration the students' result in Master's degrees to determine their eligibility for the scholarships. Scholarships are tenable on an annual basis and are renewable upon satisfactory academic progress having been made and the availability of funding.

A postgraduate scholarship holder may be required to undertake in each year, under supervision, services which carry educational benefits for the holder. The amount of such work shall not exceed 100 hours in any full 12-month period. Such services are prescribed by the Head of Department, Unit, Centre, School or Institute in which the holder is registered.

The services, which are intended to constitute part of the training of a scholarship holder, normally include:

a) assistance with research;

b) assistance with scheduled laboratory, studio and fieldwork classes, and with tutorials;

c) assistance with preparation of material for scheduled classes;

d) assistance with marking practical notebooks and answers from exercise classes; and

e) assistance with invigilation of University degree examinations.

The basic amount of scholarship is $16,660* per month for 2018-19. A Postgraduate Scholarship holder who is a PhD student and whose candidature has been confirmed will receive a higher rate of Scholarship with effect from the following calendar month after his/her probation is fully confirmed. For 2018-19, the PGS rate after confirmation of probationary PhD candidature is $17,120* per month. Scholarships holders should refer to the Regulations Governing Postgraduate Scholarships at Appendix III for more details.

* subject to the University's approval
Hong Kong PhD Fellowships

The Hong Kong PhD Fellowship Scheme is supported by the Hong Kong Research Grants Council starting from September 2010. The Fellowship Scheme aims at attracting the best and brightest students across the world to pursue their research degree programmes in Hong Kong. New applicants to full-time PhD programmes in government-funded institutions in Hong Kong, irrespective of their country of origin and ethnic background, are eligible to apply. Applicants should demonstrate outstanding academic performance, research ability/potential, communication and interpersonal skills, and leadership abilities. The Fellowship provides a monthly scholarship of HK$25,100 and conference and research-related travel allowance of HK$12,600 per year for a period up to three years. The University provides a monthly scholarship and conference and research-related travel allowance at the same level of the Fellowship for the fourth year for students admitted to the 4-year PhD programme. Please refer to the Graduate School website for more information. Recipients of the Hong Kong PhD Fellowship will not concurrently be awarded the University Postgraduate Fellowship (UPF) and Postgraduate Scholarship.

University Postgraduate Fellowships

The University Postgraduate Fellowships (UPF) Scheme aims to attract top students worldwide and is available for selected new full-time PhD candidates with excellent academic performance. The fellowship is at a value of HK$70,000 in addition to the Postgraduate Scholarships, to be paid in 3 (for 3-year PhD students) or 4 (for 4-year PhD students) instalments of equal amount at the beginning of each year of study. Applicants who have submitted applications to the Hong Kong PhD Fellowship Scheme will be automatically considered for the award of UPF.

Academic Awards and Scholarships

The University administers a multitude of scholarships and prizes which are awarded on the basis of academic merit. Postgraduates can apply directly for scholarships which are advertised on the Faculty notice-boards and on the Student Intranet. For those scholarships which are not publicized, Heads of the applicable departments or Deans of Faculties will be invited to recommend suitable nominees for these awards.

Students are advised to periodically check the notices on the Faculty notice-boards and the e-notices on the University Intranet Systems via the HKU Portal for details on how to apply for the various scholarships during the year. Details of scholarships are available at http://www.scholarships.hku.hk/Scholarships.

Two of the awards, the Li Ka Shing Prizes and the Award for Outstanding Research Postgraduate Student, are administered by the Graduate School. Details of the two awards are in Appendix IV.
Government Grants and Loans

If you are registered as a full-time student and you take up an exclusively UGC-funded or exclusively publicly-funded place at the University, you can apply for the means-tested Tertiary Student Finance Scheme - Publicly-funded Programme (TSFS) administered by the Government Student Finance Office (SFO). The Non-means-tested Loan Scheme for Full-time Tertiary Students (NLSFT) is also available to complement the TSFS for eligible students to settle tuition fees. Part-time students who are not eligible to apply for the TSFS or NLSFT scheme may apply for the Extended Non-Means-Tested Loan Scheme (ENLS).

For students attending a postgraduate course that commences between March 2018 and February 2019, you should apply for financial assistance for the 2018-19 academic year. The deadline for application is one month after the commencement of the course and in any case not later than March 31, 2019.

To qualify for the above Schemes, you should have the right of abode in Hong Kong or have resided in Hong Kong continuously for three years prior to the commencement of your course. This does not cover students staying in Hong Kong holding student visas.

Details and application procedures of the various schemes are available at wfsfaa.gov.hk/sfo/en/postsecondary. You may also refer to the useful notes on the CEDARS website at cedars.hku.hk/finance/govt.html.

University Financial Assistance

University funds are in general used to supplement Government Grants and Loans. A limited number of bursaries and loans are available, primarily to local students who are in financial need, but they are of limited value and should not be seen as an alternative to Government support. Applications are invited in early September each year. Emergency assistance is also available throughout the year. For details, please visit cedars.hku.hk/finance/ufa.html.
The Centre of Development and Resources for Students (CEDARS) is responsible for accommodation arrangements for undergraduate and postgraduate students. Information on application and lodging charges for postgraduate housing is available on the CEDARS accommodation website at web.cedars.hku.hk/pg_housing/.

<table>
<thead>
<tr>
<th>Postgraduate Housing</th>
<th>Address</th>
<th>Email / Website</th>
<th>Telephone / Fax</th>
</tr>
</thead>
<tbody>
<tr>
<td>Graduate House</td>
<td>On main campus (University Drive)</td>
<td><a href="mailto:gradhse@hku.hk">gradhse@hku.hk</a></td>
<td>Tel: 3917 1811 Fax: 2546 1861</td>
</tr>
<tr>
<td>St John’s College (Wong Chik Ting Hall)</td>
<td>82 Pokfulam Road</td>
<td><a href="mailto:stjohns@hku.hk">stjohns@hku.hk</a></td>
<td>Tel: 2817 7102 Fax: 2817 5624</td>
</tr>
<tr>
<td>Morrison Hall</td>
<td>109 Pokfulam Road</td>
<td><a href="mailto:morrison@hku.hk">morrison@hku.hk</a></td>
<td>Tel: 3604 2014 Fax: 2855 7192</td>
</tr>
<tr>
<td>Ching Lin Terrace Residence</td>
<td>10 Ching Lin Terrace, Kennedy Town, Hong Kong</td>
<td><a href="mailto:chinglin@hku.hk">chinglin@hku.hk</a> wp2.cedars.hku.hk/pac/</td>
<td>Tel: 3917 0133 Fax: 3917 0170</td>
</tr>
<tr>
<td>Pokfield Road Residences</td>
<td>13-21 Pokfield Road</td>
<td><a href="mailto:pokfield@hku.hk">pokfield@hku.hk</a> wp2.cedars.hku.hk/pac/</td>
<td>Tel: 2816 2845 Fax: 2817 2611</td>
</tr>
<tr>
<td>Residential Colleges, Jockey Club Student Village III</td>
<td>9 Lung Wah Street</td>
<td><a href="mailto:jockeyv3@hku.hk">jockeyv3@hku.hk</a> <a href="http://www.jockeyv3.hku.hk">www.jockeyv3.hku.hk</a></td>
<td>Tel: 3917 1419 Fax: 2872 6635</td>
</tr>
</tbody>
</table>

**Robert Black College**

All full-time research students who are registered for an MPhil or PhD degree at the University are eligible to apply for Swire Scholarships to reside in the Robert Black College, where about 9 Swire Scholars are accommodated alongside short-term overseas visitors to the University. Application for residence in the College is invited at the time for admission in October every year, when there are vacancies. Enquiries about the scholarships should be addressed to Scholarships Office, The Registry. For details about accommodation, please contact the College Office (Tel: 2296 1771 or Email: rblack@hku.hk).
Halls of Residence

Full-time postgraduate students may also apply for accommodation in one of the University’s halls of residence on the prescribed form, but it must be emphasized that the majority of places in most halls are allocated to undergraduates.

Off-Campus Housing

CEDARS has rented fully furnished private flats mainly in the vicinity of the University and allocates these off-campus places directly. There are about 186 places for 2018-19 in total. Each flat can accommodate 6 students of the same gender in shared bedrooms with furniture for each student. There are also air-conditioners, communal bathroom and pantry facilities in each flat. Priority is given to newly arrived non-local students.

These off-campus flats are operated on a cost-recovery basis, with the University providing all the administrative and management support at no costs to students. The monthly charge for 2017-18 is around $4,800 per student. The charges are subject to review in July 2018. For more information and charge schedules of University-rented Off-campus Housing, please visit http://www.cedars.hku.hk/campuslife/accommodation/university-rented-accommodation.

Housing Service

CEDARS collects and compiles data on privately-owned rooms or flats in the vicinity of the university campus that are available for rental to students. Students can obtain such information at cedars.hku.hk/campuslife/accommodation/off-campus-housing/online-viewing or CEDARS Office. They also offer assistance in matters relating to the renting of rooms and flats.

Please note that private accommodation is extremely expensive. You are strongly advised to finalize arrangements before you arrive. A list of hostels managed by non-profit-making organizations is also available at the CEDARS website. You may make arrangements directly with these hostels for short-term accommodation.

Please write to cedars.housing@hku.hk for further enquiries.
Centre of Development and Resources for Students (CEDARS)

The Centre of Development and Resources for Students (CEDARS) is committed to fostering an intellectually stimulating and culturally diverse campus to enrich students’ total learning experience at HKU. Bridging the boundary between classroom and the world, they provide support services, resources and co-curricular programmes to facilitate students’ learning.

CEDARS co-curriculum programmes provides non-credit bearing and outside classroom learning opportunities for students to achieve, amongst others, the HKU educational aims of fostering students’ ability in intercultural understanding, enhancing their awareness and commitment to global citizenship, and preparing them to be leaders and advocates for improvement of the human condition.

Website:  cedars.hku.hk
Enquiries:  3917 2305 / cedars@hku.hk
Facebook:  facebook.com/hku.cedars
Addresses:  3/F, Meng Wah Complex
            Room 301-323, 3/F, Main Building

The Dean of Student Affairs has overall responsibility for all aspects of student affairs and aims to provide a campus environment conducive to learning and community life. The Dean provides a bridge between individual students and the University administration, and advises on student affairs and on University policies.

If you want to raise a question with the Dean, you are welcome to do so by email dosa@hku.hk or phone at 3917 2306.

Campus Life

The Campus Life Section of CEDARS is committed to enabling students to pursue full and gratifying intellectual and personal development by providing professional student-centred campus support and student services, including a vibrant, dynamic and inclusive campus environment, staunch support to student activities, responsive and caring services to fulfil students’ changing fundamental and financial needs, promotion of student welfare, well-managed physical facilities and effective communication with the university community.

The Campus Life Section specializes in the following areas:
The Careers and Placement Section of CEDARS organizes a broad range of programmes to facilitate the career planning and preparation for postgraduate students for a career after graduation. A wide spectrum of job interview skill training workshops are conducted regularly to help them prepare for the different forms of recruitment selection processes, ranging from large classes on job application writing skills to small group sessions on group discussion and presentation skill in assessment centres. Schedule and registration method are announced via the Daily Jobs & Career Events email to students.

Other programmes and services they provide to all students:

- One-on-one career advising (career planning, CV review, mock interview)
- Recruitment talks and careers fairs
- Job posting and application platform
  - Joint Institution Job Information System (JIJIS): jijis.org.hk
  - NETjobs: careers.hku.hk/netjobs
- Selection exercise and career preparation training
- Industry collaboration events
- Hong Kong, Mainland and Overseas internships
- Entrepreneurship education and support
- Graduate Employment Survey

The Counselling and Person Enrichment Section of CEDARS offers tailor-made
educational programmes and support services to help postgraduate students not only achieve academic success during their stay at HKU but also develop psychosocial wellbeing as well as positive attitudes for their future success.

**Professional Counselling Service**

Individual counselling service is offered to postgraduate students to support them in handling university adjustment, personal issues, relationship problems and improving psychological health. CoPE has a team of professional Clinical Psychologists and Counsellors. This service is confidential and free-of-charge. To consult a Counsellor, please call 3917 8388, email cedars-cope@hku.hk or visit CoPE at Room 301-323, 3/F, Main Building. You will receive a 15-20 minute screening assessment conducted by the Duty Counsellor between 10 am and 5 pm (except the lunch hour: 1 pm to 2 pm) from Monday to Friday. Afterwards, a full counselling appointment will be scheduled for you within 2 weeks.

**Person Enrichment Programmes**

Students are encouraged to join the Person Enrichment Programmes to explore and develop their potentials. These include workshops on effective learning, stress and time management, social and emotional competence, relationship and communication as well as the Certificate Course on Mental Health First Aid.

**Psychometer and Tips on University Success**

Students are strongly recommended to take various learning and psychological assessments at the web-based Psychological Profile - Psychometer (psyax.cedars.hku.hk/) to monitor how well they are doing at HKU. Instant online feedback is available. Most assessments are free of charge.

**Support for Students with Disabilities or Special Educational Needs (SEN)**

CEDARS is committed to supporting students with disabilities or special educational needs (SEN) in overcoming barriers and achieving successful university education. CEDARS is the one-stop service unit for students with physical and sensory disabilities, learning and developmental disabilities, mental illnesses, chronic medical illnesses, or multiple disabilities. Comprehensive service is provided, which includes support on academic studies, counselling service, support for application of university housing, provision of funding to procure learning aids/equipment, and also access to information and resources.

For more details about the service, please visit cedars.hku.hk/CoPE/SEN. If you have a disability or special educational needs, please contact and register at CEDARS - SEN Support at 3917 8388 or cedars-SEN@hku.hk.
You will be required to present relevant medical and/or supporting documents when applying for this service.

Peer Support Networks

- Join “Peer English Tutoring”, a peer support initiative for group chat or one-to-one conversational English practice, jointly managed by Centre for Applied English Studies and CEDARS.

- Register for “Survival Cantonese” to learn some essential day-to-day Cantonese phrases from a student tutor.

- Take part in the “SEN PIN (Peer Impact Network)”, a service learning programme to foster mutual understanding with your peers or people with disabilities/Special Educational Needs (SEN).

- Check the website and Facebook (facebook.com/cedarscope) for other new initiatives.

Website: cedars.hku.hk/cope
Enquiries: 3917 8388 / cedars-cope@hku.hk
Facebook: facebook.com/cedarscope
Office Address: Room 301-323, 3/F, Main Building

Student Development

The Student Development Team is committed to developing students into global citizens and socially responsible leaders by engaging them in vibrant, innovative and stimulating co-curricular programmes and offering relevant resources and advice. Our Programme covers three themes:

Leadership Programme
Community Engagement Programme
Global Citizenship Programme

Moreover, the Student Development Team also provides support for student-initiated projects, NGOs and social enterprises as well as students’ participation in external competitions and conventions.

Website: cedars.hku.hk/sd
Enquiries: 3917 8387 / cedars-programmes@hku.hk
Facebook: www.facebook.com/hkucedars.student.development
Office Address: 3/F, Meng Wah Complex
Keeping in Touch: Issues related to the University, Local & Global Communities

CEDARS News (cedars.hku.hk/enews), a weekly e-newsletter of CEDARS, aims to serve as a quick guide to learning opportunities on the campus and outside the University. It also includes news and announcements of interest to students.

Sign up iMAP for FREE to stay connected with the University community. iMAP is an online social networking platform. Membership is exclusive for HKU students and alumni. Members can search for private accommodation nearby, look for roommates and other fellow members by interest, talent, nationality and location. To create an account, please visit CEDARS website at cedars.hku.hk/imap/.

“Like” the CEDARS Facebook page facebook.com/hku.cedars to keep abreast of latest news and learning opportunities.

Equal Opportunity Unit

The University is committed to creating, promoting and maintaining an environment for staff and students which provides equality of opportunity, which is free of any discrimination and harassment.

Website: http://www.eounit.hku.hk
Tel.: 3917 5115
Email: eounit@hku.hk
Address: Room 107, Main Building

For more information, please refer to the “Policy on Equal Opportunity” section in this Handbook, and “Procedures for Handling Discrimination/Harassment Complaints” which is available at the website of the Equal Opportunity Unit.

Finance and Enterprises Office

The Student Unit of the Finance and Enterprises Office (FEO), which is located on 1/F, Knowles Building, is available to offer assistance to students in relation to financial matters such as fees, University charges, and payment of scholarship, bursary, and loan awards, etc. Details of fees and charges are available to individual students for viewing through the Student Information System (SIS). Payment must be made by the due date as stated in the student invoice. For details of the payment methods available, please visit the website at http://www.hku.hk/local/finance/student/payment_instructions.pdf.

A student who has not paid his/her fees within 30 days after the due date shall be de-registered and prohibited from using University facilities and services. In addition, if the de-registered student is a full-time RPg student and receiving the monthly Postgraduate Scholarship (PGS) or Hong Kong PhD Fellowship (HKPF), the monthly PGS/HKPF
payment to the student will also be suspended. For subsequent reinstatement of student status, the student will have to pay a surcharge of 10% of the outstanding fees, or $500, whichever is the lesser. In addition, the student may be required to compensate the University for any loss of interest for any late payment or non-payment of fees.

Payment of scholarships, bursaries and loans and any refunds to a student is normally made directly to the student's bank account, accompanied by a notification email to the student's University email account. You are therefore required to open a savings or current account with a bank of your choice in Hong Kong and enter your bank account details during the online registration process. You may amend or update your bank account details through SIS at any time during your study with the University. For any difficulties encountered when using the SIS, please contact the Information Technology Services by email at ithelp@hku.hk or by phone at 3917 0123.

For more information about the FEO, please visit their website at http://www.hku.hk/finance.

**University Health Service**

All entitled students may use the University Health Service (UHS).

Students with disability affecting their University life should report to the UHS and CEDARS so that arrangement could be made for the need of special assistance during their time at the University.

The following services are provided by or arranged through the UHS:

a. Primary medical care at 2/F, Meng Wah Complex. Preventive, elective and expensive items are provided at a charge;

b. Specialist care and hospital care at the public specialist clinic or public ward of Government hospitals by referral (for full-time students only and excluding any maternity care);

c. Dental service at 3/F, Meng Wah Complex at a competitive charge;

d. Preventive measures including Travel Health Clinic, Wellness Clinic, Well Woman Clinic and vaccinations at a charge;

e. Physiotherapy on the referral of UHS physicians at a charge;

f. Health education in the form of individual advice, classes/workshops, exhibitions, web information, posters and pamphlets; and

g. Medical aids, equipment and appliances may be provided at a charge.
Students who are unable to attend any scheduled appointment should notify the relevant receptionist as soon as possible. In the case of Dental, Physiotherapy, medical checkup, Travel Health Clinic and long consultation appointments, at least 24 hours’ notice must be given for any cancellation, or else a penalty fee would be charged.

**All non-local students are advised to purchase medical insurance to cover the cost of specialist consultation and hospitalization.**

Students’ family members are not entitled to any services.

Comprehensive information on the health service and health education can be found in the UHS website at [http://www.uhs.hku.hk](http://www.uhs.hku.hk).

**Information Technology Services (ITS)**

ITS provides comprehensive IT support, 7x24 computer and network services, and high performance computing (HPC) and Grid/Cloud Computing to facilitate research activities of the University. Apart from the extensive WiFi coverage on campus (SSID: HKU), students can also enjoy WiFi access off-campus at PCCW and Y5Zone WiFi hotspots in town. They can easily access all the University's web services through “HKU Portal” ([https://hkuportal.hku.hk](https://hkuportal.hku.hk)).

Please visit ITS webpage at [http://www.its.hku.hk/services/students](http://www.its.hku.hk/services/students) to learn more on their services and facilities. Students are most welcome to contact their Service Desk at ithelp@hku.hk or 3917 0123.
The Centre of Development and Resources for Students (CEDARS) provides a wide range of services to non-local students. Highlighted below are some of the major issues that new students from overseas may face. The CEDARS website for non-local students cedars.hku.hk/wow and notice boards across the campus also help students keep in touch with the latest developments.

**Advancement of Postgraduate Scholarship for Non-local Students**

In view of the fact that some non-local students, when they first arrive in Hong Kong, are in need of an initial outlay to pay for rental deposits, etc., the Graduate School and the Finance and Enterprises Office have agreed that any non-local students who have been awarded the Postgraduate Scholarship may apply for advancing half of the first month’s scholarship on grounds of hardship on arrival to Hong Kong. The advance payment will be recovered from the student’s first monthly scholarship payment, i.e. the student will receive the other half of the stipend at the end of the first month. After the student has arrived, he/she should complete the registration procedure at the Faculty Office, set up a bank account with a local bank in Hong Kong and provide the bank account information through the Student Information System (“SIS”) (HKU Portal > SIS Menu > Financial Services > View/Amend Bank Account Info) on or before the 10th day of the first month as a PGS holder. Student should also return the duly completed application form (document 161/118) obtainable from the Graduate School Office in Room P403, Graduate House, on or before the 10th day of the first month. Please bring along a copy of the Notice of Award of PGS and your student visa for verification.

**Non-local Students on Personal Leave and Deferment of Studies**

Regulation 2(3) of the Immigration Regulations, Chapter 115A, Laws of Hong Kong stipulates that

“Permission given to a person to land in Hong Kong as a student shall be subject to the following conditions of stay:

a. that he shall become a student only at a specified school, university or other educational institution and undertake such course of study as may be approved by the Director; and

b. that he shall not
   (i) take any employment, whether paid or unpaid; or
   (ii) establish or join in any business.”
When non-local students are approved by the University to defer their studies or take personal leave for a certain period of time, they are not required to attend any classes and do not have access to the facilities of the University. As advised by the Immigration Department, students who remain in Hong Kong during their deferment of studies or personal leaves should observe their limit of stay and abide by the immigration rules. Students who have left Hong Kong and intend to return to Hong Kong to resume studies after their permitted limit of stay has expired are required to apply for fresh student entry visas/permits. The Immigration Department has clarified that normal university vacations (e.g. summer vacation) and leave for study purpose properly approved by the University are not counted as leave periods for this purpose.

**Visa Requirement**

Generally speaking, if you wish to study in Hong Kong and you do not have right of abode or right to land in Hong Kong, you need to apply for a HKSAR student visa.

For all international students (except summer programme participants) and Mainland research students, please contact CEDARS.

Website:  http://cedars.hku.hk/wow (select ‘Visa’ under ‘Pre-arrival’)
Email:   cedars@hku.hk

**Change of Visa Status during Study**

It is the responsibility of individual students to maintain a valid and legitimate visa status throughout their studies at HKU. Should there be any circumstantial or personal changes leading to the termination of the student's prevailing visa status, the concerned student is required to report the changes immediately to the Hong Kong Immigration Department and to apply for a fresh visa for study. Pursuing study without a valid visa is a breach of law.

**Visa Extension**

Non-local students who have extended their study or whose limit of stay is shorter than the normal duration of their study programme should apply for a visa extension 4 weeks before their limit of stay expires. It is the responsibility of individual students to renew their visa in a timely manner to maintain a valid and legitimate visa status throughout their study at HKU. Please contact CEDARS at cedars@hku.hk for details and procedures.

**Hong Kong Identity Card**

Students who are going to spend more than 180 days in Hong Kong would be eligible to apply for a Hong Kong Identity Card at the Registration of Persons Office of the Immigration Department. For details, please refer to the website of the Hong Kong Immigration Department at immd.gov.hk/eng/services/hkid.html.
Postgraduate Student Association (PGSA)

Why PGSA is of concern to you

Ever since it was founded in late 1993, the Postgraduate Student Association has been an independent organization run by a group of enthusiastic postgraduate student volunteers. Its mission is to safeguard, promote, and strive for the interests of the HKU postgraduates. For this purpose, PGSA organizes all kinds of activities which will enhance solidarity and support among our postgraduates; introduce, facilitate, and put forward democratic reforms in the HKU institutional structure; as well as enable HKU postgraduates to reach out to the community. This is why PGSA does not just organize talks, career building workshops, social parties, study trips, high table dinners and sports, but also nominates representatives to sit on University committees.

PGSA needs your participation

PGSA is open to all part-time or full-time HKU postgraduates (including taught postgraduate students). The membership fee, which is $100, covers your whole course duration. Membership application forms are available in the PGSA Office (P407, Graduate House) and the PGSA Website.

How to reach the PGSA

For further information, please visit their website at http://www.pgsa.hku.hk. Notices for its activities are also posted on the website. You may contact them by sending an email to pgsa@hku.hk, or visit the PGSA Office during office hours from 6 pm to 8 pm on Wednesdays.

Students’ Union

Postgraduate students are free to join the Students’ Union of the University as members. The annual subscription fee for 2018-19 is $140. You are reminded that you will be eligible for Life Membership of the Union if you have kept three or more than three semesters as members of the Union at the University. Union Life Members do not, however, enjoy automatic entitlement of access to University sports facilities.
Policy on Equal Opportunity

Policy statement

1. The University is committed to creating, promoting and maintaining an environment for staff and students which provides equality of opportunity, which is free of any discrimination and harassment. It supports equal opportunity and strongly opposes discrimination/harassment. The University will take whatever action may be needed to prevent, and if necessary, discipline behaviour which violates this Policy.

Implementation

2. A member, employee or student of the University shall not discriminate or harass any other member, employee or student of the University or any other person who has dealings with the University.

3. The University’s equal opportunity policy forbids the following discrimination/harassment in activities carried out in the course of employment, education, provision of goods and services, or other activities organized by the offices of the University. The definitions of the following terms in the relevant legislation will apply unless expressly extended as provided in paragraphs 1-14 of the Procedures for Handling Discrimination/Harassment Complaints:

   i. Sex discrimination,
   ii. Sexual harassment,
   iii. Disability discrimination, harassment and vilification*,
   iv. Marital status discrimination,
   v. Pregnancy discrimination,
   vi. Family status discrimination,
   vii. Harassment on the grounds of sexual orientation, and
   viii. Racial discrimination and harassment

(* As to the admission and employment of persons with a disability, the University has laid down specific policies in helping persons with a disability, as published in prospectuses and Staff Handbooks.)

4. The University would not tolerate discriminatory behaviours as defined at paragraphs 1-14 of the Procedures unless the discriminatory act was an exception. The University allows certain exceptions under this policy. For example, a female hall refuses to accept a male student as a resident. This is sex discrimination but it is a kind of exception for safety and decency reasons. Yet, for harassment cases,
no exceptions are provided. The Discrimination Complaints Committee will have the power to define exceptions under paragraph 15 of the Procedures.

5. The University requires all its employees who hold supervisory positions to take all necessary steps in order to ensure that any member, employee or student of the University or any other person who has dealings with the University is not subject to discrimination/harassment.

6. The Council of this University adopts a set of formal procedures for the investigation of discrimination/harassment complaints. The Procedures apply to all full-time or part-time staff and students in the University.

7. Without prejudice to the right of every University member to lodge formal complaints of discrimination, the Council also recognizes that very often complaints can be most effectively and speedily resolved through informal means at departmental or unit level, without the need to have recourse to formal, quasi-judicial procedures. The Council therefore requests Faculties, Departments and other units of the University to appoint, as far as possible, at least two members of staff, of both gender, as Equal Opportunity Advisers on discrimination issues. The responsibility of these Advisers would include, in liaison with the University's Equal Opportunity Unit, providing information and advice on issues of discrimination/harassment, receiving complaints of discrimination/harassment in confidence and, with the consent of the complainant, attempting to resolve the matter.

8. The President & Vice-Chancellor may take various administrative steps, as the case might warrant, to protect any members of the University or the proper functioning of the University.

9. Students/staff with enquiries, complaints, or requests for assistance on discrimination issues could contact a number of offices.

   i. The Equal Opportunity Unit is responsible for informing individuals regarding the University policies and procedures relating to discrimination, outlining options that may be available to them for addressing their concerns or complaints, and offering assistance to the individuals concerned in the subsequent mediation or complaint resolution processes (Tel: 3917 5115; Email: eounit@hku.hk).

   ii. The Centre of Development and Resources for Students (CEDARS) provides a wide range of support and resources for students to have a safe and diverse student life. The Counselling and Person Enrichment Section of CEDARS provides individual counselling, consultation and support services to students in need (Tel: 3917 8388; Email: cedars-cope@hku.hk).
iii. Students/staff may also contact the responsible bodies such as Halls and Departments if it is appropriate.

The Procedures for Handling Discrimination/Harassment Complaints is available at the website of the Equal Opportunity Unit (http://www.eounit.hku.hk). Enquiries and complaints should be directed to the Equal Opportunity Officer of the University (Tel: 3917 5115; Email: eounit@hku.hk; Office: Room 107, Main Building).
University Safety Policy

Safety policy in the University is formally the responsibility of the Committee on Health, Safety and Well-being, a committee of the Council chaired by the Executive Vice-President (Administration & Finance). The University has a continuing commitment to all staff, visitors and students to provide them with a safe and healthy place to work and study. This commitment is the foundation of the University’s Safety Policy.

Deans of Faculties and Heads of Departments have the responsibility to fulfil this commitment at the appropriate levels, and students should be made aware of faculty / departmental rules and regulations.

The Safety Office acts as both an advisory centre and a service centre in occupational health and safety matters. In addition the Safety Office assists management to identify health and safety problems by carrying out safety inspections, audits and surveys, to monitor their progress and to comply with health and safety legislation, policies and codes.

The Safety Office employs a number of staff of different specialisms so that issues on most health and safety matters can be addressed. As well as professional safety officers, the office employs a biological safety officer, a construction safety officer, an occupational hygienist, a chemical safety manager, a radiation protection officer and a Fire Team to look after the various health and safety issues.

The University has made significant efforts to provide a safe environment for students as far as reasonably practicable. However, maintaining a safe and healthy workplace and study environment depends as much on the staff and students as on the University. Safety is not an “add-on” luxury or an extra: it is a fundamental requirement of modern day living. The University therefore expects students to contribute and play their part by considering health and safety issues whilst present on the campus and in their study activities.

Students are welcome to call the Safety Office at 2859 2400 at any time to ask for safety assistance or advice, and its staff will respond to queries as quickly as they can.

1. Accidents

Any student who suffers any injury or illness as a result of an accident occurring during the course of or arising from his study or activity at HKU must report the incident as soon as possible to his/her supervisor, or the Head of Department, or the Security Centre of the University.
2. Report of Fire, Dangerous Occurrences & Other Untoward Incidents

Any fire, dangerous occurrence or untoward incident with or without injury is required to be reported immediately to the Security Centre of the University or to the Head of Department for the necessary investigation and appropriate follow up action.

3. Report of Near-Misses and Dangerous Conditions

To help make the campus safe, any near-miss or dangerous conditions detected in all parts of the campus or any study activities should be reported to the supervisor or the Security Centre of the University.

4. Action in Case of Fire Alarm

In the event of the fire alarm sounding, all students should immediately stop what they are doing, evacuate the building and gather at the appropriate assembly point to await further instruction. Whilst the bells are ringing, students should not use the lifts nor enter the building under alarm.
Insurance Coverage

For all registered students who sustain injuries or incur sickness within or outside Hong Kong during the course of University business, the University has arranged a general insurance coverage for medical expenses incurred by students up to the limit of $5,000 within Hong Kong and $25,000 outside Hong Kong under the Group Personal Accident Insurance Policy and up to the limit of $400,000 under the Corporate Business Travel Insurance Policy when travelling outside Hong Kong. For reimbursement of medical expenses incurred, claimable amounts shall subject to insurance policy terms, and students are required to provide to the Finance and Enterprises Office the original receipted medical bills (endorsed by a certified medical doctor with diagnosis indicated) together with a certification from the Head of Department concerned that the student was undergoing official activities arranged by the University at that time. For details on the insurance coverage, please contact the Finance and Enterprises Office through email at feo_insurance@hku.hk or login to your HKU Portal account to find out more information about HKU’s Travel Insurance by following the path: SIS Menu > Financial Services > FEO Info and Hotlines > Finance and Enterprises Office > Insurance Information for Students. The Finance and Enterprises Office must be informed of all potential, possible or actual insurance claims within 30 days from the date of incident or as soon as practical by means of the aforesaid email in order to avoid a claim being declined by the insurer for the reason of late notification.

If a student is in need of serious emergency assistance such as in-patient hospital treatments due to bodily injury or sickness, emergency medical evacuation and/or repatriation service etc. while staying overseas, the student must directly contact the 24-hour Emergency Assistance Service provided by the insurer.

In addition to the standard insurance coverage provided by the University, students may personally arrange additional coverage at their own expenses. For any postgraduate student who is expecting a letter from the Graduate School confirming that he/she has completed all requirements for the award of the degree sought, due care should be taken in arranging travel insurance for his/her planned overseas trip supported by the University such as University Research Committee (URC) conference/travel support programmes, as he/she would no longer be regarded as a registered student of the University once the letter is issued by the Graduate School. The insurance company may reject those claims which relate to event(s) happened after the de-registration date. In order to ensure such students will have insurance coverage during the whole traveling period, it is also recommended for them to make their own travel insurance arrangement instead of relying on the standard travel insurance cover provided by the University which would only cover the registered students of the University.
Students should note that the University would only provide standard travel insurance coverage, and would not insure any personal cash or property of students in any circumstances. If additional or special insurance cover is required, it is entirely up to the student concerned to make personal arrangement at their own expense.

**Emergency Assistance when Travel Overseas**

HKU has signed an agreement with international SOS (Intl.SOS) to provide general assistance, local information such as nearby clinic/pharmacy, police station, translation services etc. or travel advice to all HKU students. Students are required to use their HKU Portal ID to register for the service with CEDARS before departure. Intl.SOS is NOT an insurance policy.

HKU students doing study abroad programmes that are arranged by the University will be covered by the University's Group Travel Insurance, which provides basic benefits to the students. For request of urgent/emergency assistance such as the need of advanced cash in case of loss of money, financial/payments guarantee, immediate medical care and/or hospitalization if (suffered from) bodily injury or sickness, or emergency rescue etc., you should contact our insurer “Zurich” Emergency Assistant Services.

You are still strongly advised to arrange your own travel insurance that better suit your needs.

For details, please visit cedars.hku.hk/overseasemergencyassistance
Preparation

The Graduate School has produced a booklet entitled Preparing and Submitting your Thesis: a Guide for MPhil and PhD Students. It can be downloaded at the Graduate School website at http://www.gradsch.hku.hk/gradsch/publications-newsletters/other-publications. You should read this booklet as soon as possible since it contains much useful advice. What follows is the briefest possible summary.

You are strongly advised that due care must be taken in the preparation of the thesis to ensure that the description is complete, the data are accurate, the references are correctly transcribed and the grammar, spelling and other minor details are properly attended to. It would affect the examiners’ impression of the thesis if the writing of the thesis is sloppily done no matter how well the research has been conducted. You must be satisfied that your thesis is near perfect before you submit it. You must allow sufficient time for this to be done.

We would also like to take this opportunity to remind you that plagiarism is a serious academic misconduct. In order to help students avoid committing the offence, the University has published two booklets, “What is Plagiarism?” and “Plagiarism - A Guide for Research Postgraduate Students at The University of Hong Kong”. This Handbook also contains some useful sections on the offence of plagiarism. You can find all these publications on our website at http://www.gradsch.hku.hk/gradsch/publications-newsletters/other-publications. You should consult your supervisor(s) or the Departmental Research Postgraduate Committee if you have doubts as to whether certain acts constitute plagiarism.

The Policy Board of Postgraduate Education has approved that all MPhil and PhD theses submitted from January 1, 2011 and thereafter are required to go through a compulsory plagiarism check via the software Turnitin for self checking, and refinement where appropriate, in consultation with supervisor(s) if necessary, before a formal submission for examination.

Submission

When you submit your thesis for examination, you are required to deliver to the Faculty Secretary sufficient copies of your thesis in accordance with the Regulations Governing the Format, Binding and Presentation of Theses (see Appendix XI).
Each copy of the thesis submitted for examination, with its abstract preceding the title pages, shall be bound in one or more volumes either in the manner described in Regulation 4(a) or in a temporary binding with the title, name of author, degree, date and the words “Temporary Binding for Examination Purposes” lettered on the front cover (or, if a transparent cover is used, then on the first page so that the lettering may be read through the cover).

Note that the University permits candidates to present their theses in a temporary binding and this is strongly recommended since it means that, after the examination process is complete, those pages which require no modification can be used again in the corrected, final copies of the thesis including the one that shall be submitted to the University Library. Taking advantage of this provision may save you time, effort and money especially for those pages which have illustrations mounted upon them and which do not need to be changed.

One copy of the final, corrected and approved version of the thesis of each successful candidate shall be submitted to the University Library for cataloguing and then assensioned by University Archive. This copy shall be bound, in one or more volumes as determined by the Librarian, with its abstract preceding the title page, between boards faced with green cloth with the title, name of author, degree and date to be stamped on the front cover and spine in accordance with the standard layout approved by the Librarian. The title of theses written in Chinese shall be lettered on the cover in Chinese and in English.

Students on successful completion of study shall additionally be required to deposit a soft copy of the thesis with the Libraries. Detailed specifications regarding the format of electronic theses will be provided by the Librarian from time to time (please refer to the booklet ‘Preparing and Submitting Your Thesis: a Guide for MPhil and PhD Students’). The Libraries have undertaken to provide technical advice to students in this respect.

Students who register on September 1, 2017 and thereafter are required to upload their bibliography when submitting their finalized theses online. Details on electronic theses are available on the website of the University Libraries.

**Examination**

You can expect to have two to three specialist examiners who “shall read the thesis and submit separate written reports to the Faculty Secretary.” The procedures for appointing examiners are extensive and are explained in the procedures (see Appendices XII & XIII).

The external and internal examiners are given a maximum period of 6 weeks in which to submit their reports and the Faculty Secretary is empowered to issue reminders of this fact during this period. When all the reports of your examiners are received, upon
the recommendation of the Thesis Examining Committee, the Faculty Secretary will organize the oral and any written examinations required. Those who must be present at oral examinations are specified (see Appendix XXIX). All oral examinations have a Chairman, who is also the Chairman of the Thesis Examining Committee, appointed by the Faculty. The examiners present at the oral examination, for the conduct of which there are formal guidelines (see again Appendix XXIX), make a formal report to the Faculty.

The Faculty considers the written reports on your thesis, the reports on your oral examination, and the result of any written examination required, and makes a formal recommendation on the result of your examination to the Board of Graduate Studies.

The Board receives the recommendation of the Faculty and determines the result of your examination on behalf of the Senate.

**MPhil**

A candidate who has satisfied the examiners shall be recommended for the conferment of the degree of Master of Philosophy.

A candidate who has not satisfied the examiners

a. may be required to resubmit the thesis after making corrections and amendments as required by the Board of Examiners, without a new examination; or

b. may be required to revise and resubmit the thesis for a new examination within a specified period, and may also be required to satisfy the examiners at an oral examination, or any other examination as appropriate, on the subject of the revised thesis and/or the approved course of study and research; or

c. may be required to attend a new oral examination, or any other examination as appropriate; or

d. may be deemed to have failed, without the option of resubmission.

Regulations for the degree of MPhil MPH16/16A, Thesis Examination Results (Appendix XX)

**PhD**

A candidate who has satisfied the examiners shall be recommended for the conferment of the degree of Doctor of Philosophy.

A candidate who has not satisfied the examiners
a. may be required to resubmit the thesis after making corrections and amendments as required by the Board of Examiners, without a new examination; or

b. may be required to revise and resubmit the thesis for a new examination within a specified period, and may also be required to satisfy the examiners at a new oral examination, or any other examination as appropriate, on the subject of the revised thesis and/or the approved course of study and research; or

c. may be required to attend a new oral examination, or any other examination as appropriate; or

d. may be deemed to have failed, without the option of resubmission.

Regulations for the degree of PhD PHD16/16A,
Thesis Examination Results (Appendix XXI)

Successful candidates recommended for the conferment of the degree sought will be informed of the decision of the Board of Graduate Studies by the Dean of the Graduate School. Unsuccessful candidates will be informed of what further requirements they need to meet, if any, by their Faculty Secretary.
Acknowledgement of the University in Publications and Publication By-lines

Research Postgraduate students are encouraged to publish in high-quality journals and attend international conferences. Students may apply to the University Research Committee (URC) conference support programmes to attend academic conference(s) in the course of their candidature. Please refer to Appendix V for eligibility and application details.

Due acknowledgement should be given by students to the University’s contribution to their thesis and to all forms of publication based on the work of their thesis, and especially for the postgraduate scholarship conferred, if any, and for the conference support awarded, if applicable.

If a publication or a conference paper stems from work done on the MPhil/PhD thesis, students should enter “The University of Hong Kong” in the publication by-line. For graduates who are working in other institutions, both institutions should be entered in the by-line.
The Ethics of Research

All members of the University, including research students, are under an obligation to observe the highest standards of professional conduct. Failure to do so, not only defeats the object of scholarly enquiry, but brings both the researcher and the University into disrepute. The need for researchers to comply with strict ethical guidelines is especially important where the pressure to complete dissertations promptly or produce other publications, e.g. journal articles, may generate a temptation to neglect or relax normal practices.

The nature and scope of one’s ethical duty as a researcher rests on two fundamental assumptions that ought to be self-evident. The first is that of honesty in the conduct of research, the reporting of findings, and the proper attribution of ideas and their source. The second is that positions of seniority or responsibility should never be abused so as to put pressure on research students to forego their right to proper acknowledgement of their contribution to the research or publication in question.

Certain sorts of work in the University need specific permission before they can be embarked upon. Experimental work with animals must be approved by the Committee on the Use of Live Animals in Teaching and Research; work on human subjects in a clinical setting needs ethical approval from the Institutional Review Board of the University of Hong Kong/Hospital Authority Hong Kong West Cluster. For non-clinical research studies involving human subjects, please seek ethical approval from the Human Research Ethics Committee (HREC). Research students’ supervisors and departments will be able to give them guidance on what is required.

The most common form of academic misconduct is, however, plagiarism which assumes several forms. Research students’ attention is drawn to the following Regulation:

6. *A candidate shall not engage in plagiarism nor employ nor seek to employ any other unfair means at an examination or in any other form of assessment. Plagiarism is defined as direct copying of textual materials or willful use of other people’s data and ideas, and presenting them as one’s own without acknowledgement, whether or not such materials, data and ideas have been published.*

*Regulations Governing Students’ Academic Conduct Concerning Assessment (Appendix XIV).*

As a general rule, all researchers are duty bound to acknowledge the source of ideas or data used in their research. The University expects that senior staff, such as heads of department or supervisors, will never coerce students into allowing them to pass off the research of their students as their own, either wholly or partly.
Students should take the greatest care in acknowledging the work of others, whether it be through the use of marks to designate quotations or through the proper acknowledgement of sources. Three booklets available from the website of Graduate School can help you with this problem. *Preparing and Submitting your Theses* provides general advice and deals with the related area of copyright. *What is Plagiarism? and Plagiarism - A Guide for Research Postgraduate Students at The University of Hong Kong* offer further advice and simple exercises on how to acknowledge and present the ideas of others in one's own writing.

Any research student who is in any doubt about his or her ethical responsibilities should discuss the matter, at the earliest opportunity, with his or her supervisor.

The Graduate School also provides a course on research ethics for MPhil and PhD students. The course is compulsory for all MPhil and 4-year PhD students and 3-year PhD students who are not able to provide documentary evidence of completing an equivalent course.

Falsification of data is another equally serious offence. Research findings or data which have been fabricated, manipulated or falsified, are easily discernible. Students suspected of having committed such fraudulent acts may be subject to disciplinary action and / or may be deemed to have failed the thesis examination.

A student who is alleged to have infringed Regulation 6 of the Regulations Governing Students' Academic Conduct Concerning Assessment in any form is liable to be the subject of a complaint before the Disciplinary Committee under “an offence in connexion with degree, diploma, or certificate examinations, including violation of any of the regulations of the Senate governing conduct at examinations or otherwise”. For a student who is found to be guilty of an alleged offence under the said Regulations by the Disciplinary Committee, the consequences are severe. The range of penalties which may be imposed by the Disciplinary Committee include:

a) a formal reprimand;
b) a fine;
c) withdrawal of any academic or other University privileges or rights;
d) suspension; or
e) expulsion from the University.

The student may also be subject to such other actions as may be considered appropriate by the examiners under the relevant examination regulations.

Full details on what constitutes disciplinary action, and the possible consequences of such action can be found in the Powers of the Disciplinary Committee (Statute XXXI) which can be viewed at the University’s website at http://www4.hku.hk/pubunit/calendar/.
The Policy on Research Integrity (Appendix VII) - an updated version approved by the Council on February 28, 2017 - clearly lays down the fundamental principles of what constitutes responsible behaviour in research and standards that are expected to be observed. The updates took into consideration collective experiences and a large volume of literature cases in ensuring that the advice and guidelines are consistent with the best international practice.
Grievances and Disciplinary Matters

Grievances

In 1992 the University put in place procedures for the resolution of the grievances of students, both undergraduate and postgraduate. The procedures recognize that complaints become grievances when they remain unresolved and provide for a two-stage process.

Firstly, the University expects everyone involved to make all necessary efforts to conciliate between the aggrieved parties fairly and informally before the formal procedures are invoked. This may involve the Head of Department, the Dean of the Faculty, the Dean of Student Affairs, the Dean of the Graduate School or others as appropriate.

If these efforts at conciliation fail then it is for the President & Vice-Chancellor, if he judges it appropriate, to ask the Chairman of the Grievances Panel, who is not a member of The University of Hong Kong but comes from one of the other tertiary institutions in Hong Kong, to form a Committee of Enquiry with two others selected from amongst the members of the Grievances Panel.

The Committee of Enquiry is an advisory committee to the President & Vice-Chancellor. It conducts its business in strict confidence and reports to the President & Vice-Chancellor, again in confidence, after it has carried out an enquiry according to the procedures laid down.

It is on the basis of the report of the Committee of Enquiry that the President & Vice-Chancellor decides upon a course of action.

It should be noted that in The University of Hong Kong there is no appeal against examination results: the decision of the Board of Examiners, as ultimately approved by the Board of Graduate Studies on behalf of the Senate, is final.

Procedures for the Resolution of the Grievances of Students is shown in Appendix XVII and can be viewed at http://www.cedars.hku.hk/info/grievances.htm.

Disciplinary Matters

The Disciplinary Committee shall investigate and make findings upon any complaint ordered to be brought before it by the President & Vice-Chancellor against a student who is alleged to have committed offences as specified in paragraph 2(1) of Statute XXXI. Powers of the Disciplinary Committee is shown in Appendix XVIII.

For more information of the Disciplinary Committee, please visit the University’s website at http://www4.hku.hk/pubunit/calendar/.
The University of Hong Kong Libraries is an important part of the educational facilities provided to you by the University. The Libraries advances the teaching, learning, research, and knowledge exchange pursuits of the University through its outstanding resources, people-centred services as well as its innovative and collaborative approaches. The Libraries consists of the Main Library and six branch libraries, namely the Fung Ping Shan Library, Yu Chun Keung Medical Library, Dental Library, Tin Ka Ping Education Library, Lui Che Woo Law Library and the Music Library. Of scholarly interest is Special Collections which houses a unique collection of Hong Kong materials, rare books, pamphlets, and microforms.

The Main Library and the six branches are located across the University, lib.hku.hk/general/location/index.html.

Access

With your Student Registration Card, MPhil and PhD students may access the Libraries during opening hours, lib.hku.hk/general/hours/index.html. Level 3 Study Zone and G/F Library Corner in the Main Library are available when the Main Library is closed. During the revision and examination period, the Main Library and Medical Library extend opening hours.

The library homepage http://lib.hku.hk provides a central resource for you to access the Libraries electronic resources and services anywhere, anytime. You are also eligible to apply for a JULAC (Joint University Librarians Advisory Committee) Card which will enable you to access and borrow from the libraries of local UGC-funded tertiary institutions. Application for the JULAC Cards can be made online at http://lib.hku.hk > e-forms > Library Cards Application.

Facilities

The Libraries offers a congenial environment for study, research, and knowledge exchange. HKU Campus WiFi services are available throughout the Libraries connecting patrons to the HKU network and to a number of printers throughout the Libraries. Scanners are also available and payment for the peripheral usage can easily be made by using an Octopus card.

Of special mention is the learning commons style facility on the 3rd floor of the Main Library. Opened in January 2012, Level 3 is a learning commons style facility providing a variety of spaces suitable for different learning styles including reflective self-study as well as collaborative study. Similar facilities are available at a number of branch libraries.
Booking a study space can be arranged at lib.hku.hk/general/e-form/book-a-space.html and higher degree students are eligible to apply for research carrels or single study rooms for half monthly use at lib.hku.hk/mainlib/studyplace.html.

**Resources**

The Libraries provides a wide range of information resources including a comprehensive collection of books, journals, audio-visual materials and a rapidly expanding collection of article databases, e-books, e-journals, e-news. Many of these electronic resources are available on the web by authenticated access.

You are also entitled to request books from other local academic libraries through the Hong Kong Academic Library Link (HKALL). The Interlibrary Loan service allows you to obtain resources not available at the Libraries from other local and overseas libraries, lib.hku.hk/mainlib/ill.html.

**Borrowing**

The Libraries’ Inter-branch Delivery service provides the convenience of requesting library material be delivered to any of the 6 libraries. Returning of library material can be done at any of the 6 libraries or be returned at one of two 24/7 Automated Book Returns located at the Main Library and Law Library.

Library material can be renewed and requested online, http://lib.hku.hk/cdd.html. You can also view and manage your Library account online at MyAccount@HKUL.

**Library Skills Training**

Postgraduate Library Workshops aim to familiarize new postgraduate students with the information resources and the library facilities and services in support of their research and learning. Offer of these workshops starts in mid-August and they usually fill up very quickly. Registration is available online at http://lib.hku.hk/general/instruction/.

Research Consultation Service is a personalized service offered by our librarians for researchers working on specific research projects. The service is provided via appointment during office hours. Visit http://lib.hku.hk/mainlib/reference/research_consult.html for more information.

**Library Regulations**

Please be reminded that your Student Registration Card (SRC) is important for you to gain access to the Libraries and Library services. Use of the Library is governed by the Library Regulations: lib.hku.hk/general/services/regulations.html.
Contacts

- Information Counter (Main Library and Branch Libraries)
- Tel: 3917 2203
- Email: libis@hku.hk
- WhatsApp: 5441 5441
- Facebook: https://www.facebook.com/hkulib
- Twitter: https://twitter.com/Ask_HKUL
- Youtube: https://www.youtube.com/c/HKULibrariesCollection

Knowledge Exchange for Your Thesis Details (HKU Scholars Hub)

With the University’s emphasis on Knowledge Exchange, research details are made known and visible to allow those in government, industry, and academia to find an expert at The University of Hong Kong for contract and collaborative research, media comment, supervision of postgraduate students, etc. The University Libraries has developed an Exchange Hub, namely, the HKU Scholars Hub (http://hub.hku.hk), with author profiles (ResearcherPage) of each of its professoriate staff.

Under the section ‘Supervision of Research Postgraduate Students’ in the HKU Scholars Hub, information of research postgraduate students being supervised by each of the HKU professoriate staff will be shown, including a student’s programme, and his/her field of study or proposed title of thesis as appropriate. After graduation, a hyperlink from this section will link to the finished thesis**.

The Libraries also created profile pages for new research postgraduate intakes in the HKU Scholars Hub with information pre-populated from the University’s central databases. Profile pages of these students will be linked with their supervisors’ ResearcherPages. More information about this initiative is available at the HKU Scholars Hub.

Discovery of such information by potential publishers, employers, or researchers would help enhance visibility of both the supervisor and the student.

** Existing HKU policies require RPg students to create both print and electronic versions of their theses. The printed thesis will be accessioned in the HKU Archives for general viewing. The electronic version will go online in The HKU Scholars Hub, in open access. Further information on HKU RPg theses can be found at http://etd.lib.hku.hk/. 
Bad Weather

Cancellation of Classes and Examinations

When Tropical Cyclone Warning Signal No. 8 (or above) or Black Rainstorm Signal is hoisted, the following arrangements will apply:

(A) For classes and examinations not yet started

| If either of the warnings is hoisted or in force at or after 6:00am | All classes and examinations commencing before 2:00pm will be cancelled automatically. |
| If either of the warnings is hoisted or in force at or after 11:00am | All classes and examinations commencing at any time from 2:00pm and before 6:00pm will be cancelled automatically. |
| If either of the warnings is hoisted or in force at or after 3:00pm | All classes and examinations commencing from 6:00pm onward will be cancelled automatically. |

(B) For classes and examinations already started

| When Tropical Cyclone Warning Signal No. 8 or above is hoisted | All classes will be suspended immediately. All examinations to continue until the end of that examination session. |
| When Black Rainstorm Signal is hoisted | All classes and examinations, except those held outdoors, will continue. For outdoor classes and examinations, the responsible staff members on the spot should suspend the activities immediately, ensure that all students are taken to a safe place, and remain there until it is safe for them to return home. |

When Tropical Cyclone Warning Signal No. 3 or below or Red or Amber Rainstorm Signal is in force, it should be assumed that all classes and examinations will be held as scheduled unless an announcement to the contrary has been made by the University.

**Tropical Cyclone Warning Signal No. 8 (NW, SW, NE, SE)**

Definition: *Gale or storm force wind is expected or blowing generally in Hong Kong near sea level, with a sustained wind speed of 63-117 km/h from the quarter indicated and gusts which may exceed 180 km/h, and the wind condition is expected to persist.*
Weather information about the tropical cyclone will be broadcast and updated at frequent intervals. When the Tropical Cyclone Warning Signal No. 8 (or above) is in effect, radio broadcasts are made every half hour in English and four times each hour in Chinese at quarter past, half past, quarter to and two minutes to each hour.

**Rainstorm Warning System**

The Rainstorm Warning is issued by the Hong Kong Observatory and is broadcast to the public over radio and television. When either the Amber, Red or Black warning is in force, an amber, red or black rain cloud icon will be displayed at the corner of television screen similar to that used during tropical cyclone situations.

**Amber**

**Definition:** *Heavy rain has fallen or is expected to fall generally over Hong Kong, exceeding 30 millimetres in an hour, and is likely to continue.*

The signal gives alert about potential heavy rain that may develop into RED or BLACK signal situations. There will be flooding in some low-lying and poorly drained areas. Key Government departments and major transport and utility operators are put on alert.

**Red**

**Definition:** *Heavy rain has fallen or is expected to fall generally over Hong Kong, exceeding 50 millimetres in an hour, and is likely to continue.*

**Black**

**Definition:** *Very heavy rain has fallen or is expected to fall generally over Hong Kong, exceeding 70 millimetres in an hour, and is likely to continue.*

The RED and BLACK signals warn the public of heavy rain which is likely to bring about serious road flooding and traffic congestion. They will trigger response actions by Government departments and major transport and utility operators. The public will be given clear advice on the appropriate actions to take.
Universities are classified as “public bodies” for the purposes of the Prevention of Bribery Ordinance and the definition of the term “public servant” as used throughout the Ordinance includes:

“any employee or member of a public body, whether temporary or permanent and whether paid or unpaid ...”.

This means that every member of the University, whether he / she is a teacher, an undergraduate, a graduate, or any other kind of member, and every person employed by the University, even if only temporarily or part-time, or unpaid, is classified as a “public servant” for the purposes of the Prevention of Bribery Ordinance.

You should make yourself thoroughly familiar with this Ordinance, and study its implications for you personally. Your attention is particularly drawn to the following sections of the Ordinance:

(a) Section 4: which prohibits both the “offering of an advantage” to, and the “solicitation of an advantage” by, a “public servant”;

(b) Sections 5, 6, and 7: which prohibit the bribing of “public servants” in relation to certain specific dealings with “public bodies”, namely contracts, tenders and auctions;

(c) Section 8: which applies also to “public servants” and prohibits the offering of a bribe by a person having dealings with a “public body”. 
The Personal Data (Privacy) Ordinance (Ordinance) was brought into force on December 20, 1996. The University as a data user controls the collection, holding, processing or use of the data. Student data are collected at different stages, such as application, admission, registration and graduation, for various academic and administrative purposes relating directly to the functions and operations of the University. For details of the purposes of collections and creation of personal data by the University, please refer to the relevant Personal Information Collections Statements and other specific documents.

Under the provisions of the Ordinance, a student being a data subject has the right to request the University (data user) to ascertain whether it holds his/her personal data, to be given a copy, and to apply for correction of the data, if deemed incorrect. Both data access and correction requests will be processed within 40 days after receipt of the relevant requests.

Applications for access to personal data should be made by using a Request Form specified by the Privacy Commissioner. The form can be downloaded from http://www.pcpd.org.hk/english/publications/files/Dforme.pdf. Requests for correction of data should be made in writing with supporting documentation.

For the processing of data access requests, a fee is charged and the current fee schedule is: $5 per page.

Enquiries should be directed in writing to the Data Protection Officer of the University, Registry, 10/F, Knowles Building, or by email to privacy@hku.hk. For examination-related personal data, please contact the home Faculty Office direct.
Appendix I

Policy Board of Postgraduate Education
(Committee of the Senate)

I. POWERS AND DUTIES

1. To formulate and determine policy and guidelines on the administration of research postgraduate education.

2. To formulate and determine policy and guidelines on the requirements for the award of the degrees of MPhil and PhD.

3. To provide the Board of Graduate Studies with policy and guidelines on the distribution of MPhil and PhD places and the allocation of Postgraduate Scholarships.

4. To advise on all issues relating to the administration of regulations and procedures governing the MPhil and PhD degrees.

5. To formulate and determine policy and guidelines on the provision and allocation of residential accommodation for postgraduate students.

6. To consider reports annually from the Board of Graduate Studies.

II. MEMBERSHIP

1. Vice-President & Pro-Vice-Chancellor (Research) (Chairman).

2. Three teachers appointed by the Senate from different faculties for two years at a time amongst the following academic groupings:

   a. Faculty of Dentistry
   Faculty of Medicine

   b. Faculty of Engineering
   Faculty of Science
   Faculty of Architecture

   c. Faculty of Arts
   Faculty of Business and Economics
   Faculty of Social Sciences
   Faculty of Education
   Faculty of Law

3. Dean and Associate Deans of the Graduate School.

4. Up to two teachers co-opted by the Policy Board for one year at a time.

5. A research postgraduate student recommended by the Postgraduate Students Association and appointed by the Senate.

6. The President & Vice-Chancellor (statutory).
Appendix II

Sections of the General Regulations of Special Concern to Research Students

G2. Admission:

(b) An applicant who wishes to become a candidate for a higher degree shall apply for admission by the date prescribed. In addition to satisfying the requirements for admission to the curriculum concerned, an applicant who is seeking admission on the basis of a qualification from a university or comparable institution outside Hong Kong of which the language of teaching and / or examination is not English is required to obtain:

(i) a score of 550 or above in the paper-based Test of English as a Foreign Language (TOEFL) or a score of 213 in the computer-based TOEFL or a score of 80 in the internet-based TOEFL; or

(ii) a minimum overall band of 6 with no subtest lower than 5.5 in the International English Language Testing System (IELTS); or

(iii) Grade C or above in the Overseas General Certificate of Education (GCE); or

(iv) Grade C or above in the International General Certification of Secondary Education (IGCSE); or

(v) Grade C or above in the Cambridge Test of Proficiency in English Language;

unless in exceptional circumstances he is exempted from this requirement by the Board of Graduate Studies upon the recommendation of the Board of Faculty or Board of Studies in the case of MPhil and PhD candidates; or by the relevant Board of the Faculty or Board of Studies, in the case of higher degrees by coursework.

1 Applicants for admission to read for an MPhil, a PhD degree or a higher degree by coursework in the Faculty of Arts (except those seeking admission to the School of Chinese and the Centre of Buddhist Studies) are also required to obtain a Test of Written English (TWE) score of 4 or above or a Writing score of 25 or above in the internet-based TOFEL.

2 Applicants for admission to read for an MPhil, a PhD degree or a higher degree by coursework in the Faculty of Arts (except those seeking admission to the Centre of Buddhist Studies) are required to obtain a score of overall band of 7 with no subtest lower than 5.5 in the IELTS.

G6. Registration:

(a) An applicant who has been admitted to a course or courses as a candidate for any degree or diploma or any other University qualification shall be deemed to have entered upon such
course or courses on the date of his first registration. Every candidate shall register on admission to the University and thereafter at the beginning of each academic year of his curriculum. On first registration, a candidate shall complete a health questionnaire and may be required to report for a chest X-ray examination at the University Health Service. Registration shall include the payment of fees due.

(b) (i) A person who is registered as a candidate for a degree, diploma or certificate of the University listed in Statute III shall not register as a candidate for any other degree, diploma or certificate of the University or for any other post-secondary qualification at any educational institution except with the approval of the Senate given in advance. A candidate in breach of this regulation may be required to discontinue his studies in the University.

(ii) A person who is registered for any post-secondary qualification at any educational institution shall not be registered as a candidate for a degree, diploma or certificate of the University listed in Statute III except with the approval of the Senate given in advance.

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G7. Academic year:

The academic year shall begin in September each year.

G8. Attendance and absence:

(a) Attendance: A student shall follow his courses of instruction and complete the requirements of his curriculum to the satisfaction of the Heads of the Departments concerned.

(b) Absence:

(i) A student who cannot attend for between three and seven days inclusive because of his illness shall, if he is registered in a Faculty, inform the Dean of the Faculty concerned in writing at the earliest opportunity. A student who is registered other than in a Faculty shall in similar manner inform the Registrar. When longer absence is necessary or when absence from assessments is in question, a student shall submit in writing an application for leave of absence to the Dean, or the Registrar, as the case may be, together with a certificate signed by a registered medical practitioner. In such cases the University shall consult the Director of the University Health Service and may seek advice from a medical board of three medical practitioners, one of whom shall be the Director of the University Health Service, and one of whom may be nominated by the student.

(ii) A student who, during his studies, desires leave of absence for more than two full consecutive days for non-medical reasons shall, if he is registered in a Faculty, apply to the Dean of the Faculty concerned in writing at the earliest opportunity, stating the reasons for which the leave of absence is sought. A student who is registered other than in a Faculty shall in similar manner apply to the Registrar. Permission for such leave shall be granted only in exceptional circumstances and shall not be granted by reason only that the student has already made arrangements to be absent.

(iii) A student who is suspended shall not be permitted to attend during the period of suspension.
(c) Re-entry:

(i) A student registered in a Faculty who has been absent, whether leave has been granted under this regulation or not, for a period of such length as to make it impossible, in the opinion of the Dean of the Faculty concerned, for him to complete his year's work, shall not resume attendance in the same academic year, except with the permission of the Board of his Faculty. A student registered other than in a Faculty who has been absent shall in a similar manner not resume attendance except with the permission of the Register.

(ii) A student who has been granted leave of absence on the basis of a certificate of his illness signed by a registered medical practitioner shall, before resuming his studies, present a further certificate signed by a registered medical practitioner to the effect that his state of health will permit him to resume and complete his studies.

(iii) A student who is not permitted to resume attendance in the same academic year under the provisions of clause (c)(i) of this regulation shall be regarded as having withdrawn from his studies with effect from the first day of his absence but shall be re-admitted at the commencement of the next academic year to the same curriculum and year of his previous registration. He may be required, before being re-admitted, to submit a certificate signed by a registered practitioner to the effect that his state of health will permit him to resume and to complete his studies.

(iv) A student who is unable for reasons of health to attend for a period of more than twelve continuous months shall be regarded as having withdrawn from his studies but may apply again for admission to the same or to another curriculum provided that he submits a certificate signed by a registered medical practitioner to the effect that his state of health will permit him to resume and to complete his studies.

(v) In cases where a student submits a certificate signed by a registered medical practitioner in accordance with the provisions of this regulation, the University shall consult the Director of the University Health Service and may seek advice from a medical board of three medical practitioners, one of whom shall be the Director of the University Health Service and one of whom may be nominated by the student.

G9. Assessments:

(a) There shall be assessments as specified in the regulations for each degree, diploma or certificate.

(b) A student shall not be admitted to an assessment except under the regulations for the particular degree, diploma or certificate.

(c) A student suspended under Statute XXXI shall not be allowed to take, present himself for, and participate in any assessments during the period of suspension, unless otherwise permitted by the Senate.

(d) A student who is unable, because of his illness, to be present for any paper or papers in an examination shall be permitted to present himself at a supplementary examination in the paper or papers where such an examination is prescribed in the regulations only if his application for permission has the support of the Director of the University Health Service.
(e) Examiners may examine by means of written, practical, or oral test, or by continuous assessment, or by any combination of these.

(f) Subject to Statute III (Degrees), a student who has been exempted from any part or the whole of a course or assessment shall be deemed to have completed that part or the whole of the course or to have satisfied the examiners in that part or the whole of the assessment.

(g) Examination scripts and theses and dissertations for higher degrees shall be written in English, unless the candidate is given permission by the Senate to use another language¹.

(h) There shall be no appeal against the results of examinations and all other forms of assessment.

1. The Senate has given permission for the following students to use Chinese:
   - students in the School of Chinese;
   - students in the Faculty of Education
     - following courses, modules and programmes in Chinese subjects,
     - in the PGDE (formerly entitled PCEd) programme practicing teaching in schools using Chinese as medium of instruction,
     - in Speech and Hearing Sciences;
   - students in the Department of Law taking the following courses:
     - “Use of Chinese in Law I”,
     - “Use of Chinese in Law II”,
     - “Cross-border legal relation between the Mainland and Hong Kong”;
   - students in the School of Chinese Medicine;
   - students in the Master of Buddhist Studies programme, in assessments of specified courses; and
   - students in programmes offered in Mainland China, in specified parts of the assessments.

G11. Unsatisfactory performance or progress:

A student whose performance at examinations or in continuous assessment as may be held from time to time is unsatisfactory, or in the case of a higher degree student whose progress is unsatisfactory, may be required by the Senate (a) to discontinue his studies, or (b) to repeat any part of his course before being admitted to further assessments or before being allowed to present his thesis or dissertation, or (c) to re-present himself for assessment without repeating any part of his course.

G12. Discontinuation of studies:

(a) The Board of a Faculty or an appropriate committee may recommend to the Senate that under the provisions of G11 and, where applicable, in accordance with any degree, diploma or certificate regulation, a student be required to discontinue his studies in a curriculum administered by the Board or the committee.

(b) In all cases where a student is recommended for discontinuation in accordance with G12(a) or liable for discontinuation under the provisions of any degree, diploma or certificate regulation, there shall be a review of the circumstances of the case by the Committee on Discontinuation. The student shall be so informed in writing and be provided with a statement of the reasons thereof. He shall be invited to submit in writing to the Registrar any non-academic reason which he considers relevant to the issue of his discontinuation.
He shall also be invited to appear before the Senate Committee on Discontinuation and may, if the Committee so desires, be required to appear.

(c) The decision of the Committee on Discontinuation shall be communicated as soon as may be to the student and the Board of the Faculty concerned.

G13. Change of name:

A student shall retain the name under which he has been first registered. Change of name on the University register shall be effected only on receipt by the Registrar of a recognized form of legal deposition.

G14. Transcripts and certificates of attendance:

A transcript of academic record or certificate of attendance giving information on courses of study may be issued to a student or former student on application and upon payment of the prescribed fees.

G16. Compliance with regulations and exemption from provisions thereof:

(a) Subject to the Ordinance and the statutes and without prejudice to section (b) below, the regulations made by the Senate and / or the Council shall apply uniformly from the date upon which they come into operation and shall continue so to apply until the date of their amendment or repeal: always provided that the Senate and / or the Council may provide in any particular case that a regulation shall remain in force for the purpose of completion of a candidature which was commenced prior to the amendment or repeal of the regulation.

(b) Subject to the Ordinance and the statutes, and notwithstanding section (a) above, the Senate may exempt any student from the provisions of any regulation made by the Senate, provided that, in the case of an exemption from the provisions of any of the regulations governing degrees or diplomas or certificates, there is a recommendation to the effect from the Board of the Faculty or from the Senate Committee concerned.

G17. University fees:

I. Conditions

(a) University fees shall be payable in accordance with Section II of this regulation, and fees for the current academic year shall be as prescribed by the Council. They may be varied from time to time at the University's absolute discretion provided that notice of not later than June 30 preceding the academic year in which the fee is to be varied shall be given, by announcement posted on all official University noticeboards, whenever a variation is to be made.

(b) University fees shall be paid in advance, unless otherwise specified, and once paid shall not be refunded except as prescribed in Section II.

(c) Unless he has received, in advance of the date on which payment of any fees is due, permission from the Registrar or another authorized officer to postpone payment to a later
date, a student who has not paid within 30 days after the due date shall have his name removed from the register of students. Notwithstanding the provisions of Section II(k) of this regulation and other regulations where applicable, the University may in its absolute discretion withhold the provision of any services to the de-registered student including the issue of assessment results, transcript and certificate of attendance. To re-instate his student status, the student shall be required to pay a surcharge of 10% of the outstanding fees, or $500, whichever is the lesser, in addition to settling the outstanding fees. The University may additionally request the student to compensate the University for any loss of interest for any late payment or non-payment of fees, including the surcharge, irrespective of whether the student's name has been removed from the register. This clause shall be applicable to all University fees, fines, charges, and other payments for which a student is liable, whether they are stipulated in this regulation or not.

(d) There shall be no remission of fees in whole or in part except when remission is a specified part of a University scholarship, prize, bursary, or similar award.

II. Fees

(a) A candidate registered for a Bachelor's, Master's or Doctor's\(^2\) degree, other than higher doctorates, or a diploma or certificate, shall pay caution money and the fees for application, composition and graduation; and, where appropriate, the fees for qualifying examination, repeating, re-assessment, continuation, examination and compulsory residence. An applicant for admission to candidature of a higher doctorate shall pay an application fee; and, upon admission to candidature, shall pay an examination fee. A candidate registered for the degree of Doctor of Medicine or the degree of Master of Surgery shall pay caution money and the fees for application, registration, examination and graduation. A visiting student shall pay the fees for application and composition. Payment of the Students' Union membership fee shall be compulsory for a candidate registered for a Bachelor's degree on full-time basis.

(b) The composition fee, which includes elements for registration, tuition or supervision, laboratory, workshop, library, health service, and other facilities offered, shall be payable in the following manner unless otherwise stated in the schedule of fees:

(i) by a candidate registered for a Bachelor's degree or a Master's degree by coursework or diploma or certificate: annually by two instalments by dates to be prescribed by the Registrar, the first during August to October and the second in January;

(ii) by a candidate registered for the degree of MPhil and PhD: annually by two equal instalments during the candidate's period of study as prescribed in the regulations governing the degree\(^3\);

(iii) by a candidate registered for the Diploma or Certificate in Chinese Language: annually by three instalments in September, December and March;

(iv) by a visiting student: in one single payment at the time of admission.

(c) Caution money shall be paid by a student on first registration and shall be retained by the University as a deposit from which it may make deductions in respect of fees, fines, breakages, damage, loss and other charges incurred by the student; if at any time, as a result of deductions made, the balance of the deposit be inadequate to meet future charges outstanding, the student shall restore the balance therein to its original level. On withdrawal from the University, the balance of a student's caution money shall be set off against the graduation fee or, if the student is not graduating, be returned to the student.
(d) The continuation fee, which includes elements for registration, tuition or supervision, laboratory, workshop, library, health service and other facilities offered, shall be paid by a candidate who is registered for an MPhil or PhD degree and who requires to continue beyond the period of study prescribed for the degree.

(e) The repeating fee, which includes elements for registration, tuition or supervision, laboratory, workshop, library, health service and other facilities offered, shall be paid by a candidate registered for a Bachelor’s degree or Master’s degree by coursework, or a diploma or certificate and who is permitted or required to repeat part of the courses of any one year of the curriculum. The fee shall be charged in respect of each course to be repeated, and dissertations and fieldwork for Master’s degrees by coursework shall be counted as one course each. A re-assessment fee shall not be payable in addition.

(f) A student who is permitted or required to repeat the whole of one year of the curriculum for a degree, diploma or certificate shall pay the composition fee prescribed.

(g) The re-assessment fee, which includes elements for registration, library, health service, and other facilities offered, shall be paid by a candidate registered for a Bachelor’s degree or Master’s degree by coursework, or a diploma or certificate and who is permitted or required to present himself for re-assessment without repeating any courses.

(h) Candidates may be required to pay a deposit on acceptance of an offer of admission, the amount of which shall be determined by the Registrar. Such deposit shall be credited towards the first year’s composition fee and shall not be refunded, except to a candidate admitted provisionally who fails to satisfy the admissions requirements.

(i) The registration fee shall be paid by a candidate for the degree of Doctor of Medicine or Master of Surgery upon his first registration.

(j) The graduation fee shall be paid by a candidate for a degree, diploma or certificate on completion of the curriculum and before the degree, diploma or certificate is awarded.

(k) A charge shall be made for a transcript of results in The University of Hong Kong Advanced Level Examination and for a transcript of a student’s record or a certificate of attendance.

(l) Candidates may be required to pay such other fees, fines and charges as prescribed by the Council from time to time. Such fees, fines and charges shall be payable by the dates specified.

1 For current fees, please refer to the Schedule of Fees in the University Calendar.
2 Fee arrangements for the three-year programme of PhD shall normally be applicable to the degree of SJD.
3 A candidate for the degree of MPhil or the degree of PhD will be liable for the continuation fee for each three-month period following the expiry of his period of study as prescribed in the regulations governing the degree. This means that a candidate registered for the degree of MPhil becomes liable for the continuation fee at the end of the twenty-fourth month of his full-time candidature or at the end of the thirty-sixth month of his part-time candidature; and a candidate registered for the three-year programme of the degree of PhD becomes liable for the continuation fee at the end of the thirty-sixth month of his full-time candidature or at the end of the fifty-fourth month of his part-time candidature; and a candidate registered for the four-year programme of the degree of PhD becomes liable for the continuation fee at the end of the forty-eighth month of his full-time candidature or at the end of the seventy-second month of his part-time candidature.
G18. Academic dress:

C. Graduates

Gowns

Masters
- A robe of black stuff, Oxford MA pattern.

Masters of Surgery (full dress)
- A robe of purple panama with lavender silk facings.

Doctors (undress)
- A robe of black silk, Oxford DPhil pattern.

Doctors (full dress)
- A robe of scarlet panama with silk facings of appropriate colour (LLD old gold; DLitt royal blue; MD red; DSc white; DSocSc dark green).

Doctors of Philosophy (full dress)
- A robe of maroon panama with facings of deep blue.

Doctors of Medicine and Masters of Surgery (undress)
- A robe of black silk with purple silk facings 6.4 cm wide.

Hoods

All Faculties

MPhil
- Deep blue with maroon silk lining throughout, the lining being turned over to the depth of 1 cm.

PhD (undress and full dress)
- Maroon panama with deep blue silk lining throughout.

Caps

Bachelors, Masters and Doctors (undress)
- College cap, ‘mortar-board’ pattern.

Doctors and Masters of Surgery (full dress)
- Black velvet cap, bonnet-shaped and soft, with a hard round brim and a narrow cord of gold at the junction of the crown and the brim.

G19. Registered Graduates:

(a) All graduates of the University shall be entitled to have their names enrolled in a Register of Graduates and to enjoy all the privileges of registration.

(b) Graduates of the University whose first degree was conferred before January 1969 shall be enrolled as Registered Graduates on payment of the fee for enrollment as a Registered Graduate; graduates of the University whose first degree was conferred after January 1969 shall be enrolled as Registered Graduates on payment of the graduation fee. Subject to (g) below, graduates of the University who have paid these fees as prescribed shall remain on the roll, until death or resignation, without payment of any further fee.

(c) Registered Graduates shall be members of Convocation.

(d) Registered Graduates shall be eligible to attend Congregations for the conferring of degrees and functions and conferences that may, from time to time, be arranged.

(e) Registered Graduates, if resident in Hong Kong, may read in the Library and borrow books in accordance with Library rules, without payment of a Library subscription.

(f) The rights and privileges of a Registered Graduate shall terminate if his University degree
qualifying him for registration is forfeited, cancelled or withdrawn, with effect from the date of such forfeiture, cancellation or withdrawal.

(g) The Chancellor shall, with the concurrence of the Court, have the power to remove the name of any person from the Register of Graduates.

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G20. Hall charges:

(a) The following charges shall be made:

(i) for lodging in a University-maintained residential hall: an annual charge for a residential year of a length prescribed each year by the University;

(ii) for board in University Hall: the daily charge is determined by the hall; and

(iii) for non-residential membership of a residential hall, whether University-maintained or approved, or for membership of a non-residential hall: an annual charge.

(b) These charges shall be determined annually and may be varied at the University's absolute discretion provided that notice is given, by announcement posted on all official University and appropriate hall notice boards, as follows:

(i) for the non-residential membership charge: twelve calendar months; and

(ii) for lodging and board charges: by June 30

in each case before the beginning of the academic year when a revised charge is to be made¹.

¹ For schedule of current charges, please refer to the Schedule of Hall Lodging Charges under Schedule of Fees in the University Calendar.
Appendix III

Regulations Governing Postgraduate Scholarships

I. PURPOSE

The purpose of Postgraduate Scholarships (‘PGS’) is to provide selected students who have attained good academic qualifications as determined by the Board of Graduate Studies with financial assistance to study full-time for the degree of MPhil or PhD.

II. REGULATIONS

1. Postgraduate Scholarships shall:

   (a) be awarded by the Board of Graduate Studies (BoGS), on the recommendation of the appropriate Faculty Higher Degrees Committee (FHDC), to selected students who (i) normally hold a Bachelor’s degree at second class honours first division or above and/or Master’s degree as appropriate from this University, or another qualification of equivalent standard, as determined by the Board which has sole and absolute discretion in this matter; and (ii) hold full-time candidature for the degree of MPhil or PhD.

   (b) be tenable on an annual basis and renewable upon the conditions stated in this Regulation and Regulations 4, 5(a) and 8 below being fulfilled. The maximum period of award shall be, in the case of full-time MPhil candidature, two years from the date of registration and in the case of full-time PhD candidature, the first three or four years from the date of registration, this being the period of study as specified in the “Offer of Admission” letter. In the event of transfer from MPhil to PhD or vice versa, the period of study for the new degree shall be calculated from the date of first registration for the initial degree. Scholarship holders who are allowed to submit their theses earlier than the specified periods of study are eligible to continue to receive the balance of the award before notification of degree conferment, on the condition that they continue to be registered for the degree, to be physically present in Hong Kong, and continue to provide their prescribed services for the Department (see Regulations 4 and 5(a) below). They will cease to receive the balance of award upon expiry of the award or confirmation of the award of the degree, whichever the earlier.

2. The annual value of the Postgraduate Scholarship shall be determined by the University from time to time and the Scholarship terms are not negotiable. Payments to Postgraduate Scholarship holders shall be made on a monthly basis.

3. Postgraduate Scholarship holders shall be responsible for paying whatever University fees are liable to be paid.

4. A Postgraduate Scholarship holder may be required to provide, under supervision, services which carry educational benefits for the holder, as prescribed by the Head of the Department, Unit, Centre, School or Institute in which the holder is registered. The amount of such services shall not exceed 100 hours in any full twelve-month period (or pro rata if the period is less than twelve months), and the calculation of the hours shall include preparation time in all cases. The provision of services

385/412 amended
forms part of the research student's training covered by the value of the Scholarship, and no other payment for these hours of services may be made to a Scholarship holder.

5. (a) For Postgraduate Scholarship holders who registered before September 1, 2012

In addition to the 100 hours of training stipulated in Regulation 4 above, a Postgraduate Scholarship holder may provide extra services for a maximum of a further 150 hours per annum, as part of his/her PGS training, in return for a higher rate of Scholarship (i.e. PGS top-up levels). The higher rate of Scholarship is determined by the University from time to time. The services provided in this capacity shall be relevant to the holder's research training, beneficial to his/her studies and subject to the concurrence of the supervisor(s). The holder shall not otherwise undertake any employment either within or outside the University during tenure of the Scholarship.

(b) For Postgraduate Scholarship holders who registered on September 1, 2012 and thereafter

Any work required by the supervisor/Department/Faculty/unit above the maximum 100 hours per annum of services or scope expected from a Postgraduate Scholarship holder shall be treated as part-time employment between the party concerned and the Scholarship holder in accordance with the University's human resources policy and practices, subject to the approval of the FHDC.

Part-time employment within the cap of 150 extra hours per annum shall be approved by the FHDCs. The FHDCs, in approving Scholarship holders' part-time employment (regardless of whether it is undertaken within or outside the University), should ensure that it does not exceed the cap of 150 extra hours per annum and is in compliance with the relevant immigration policies/guidelines where appropriate.

6. The services referred to in Regulations 4 and 5(a) above are intended to constitute part of the training of a Postgraduate Scholarship holder, and the nature of the training may for example include:

(a) assistance with research;

(b) assistance with scheduled laboratory, studio and fieldwork classes and with tutorials;

(c) assistance with the preparation of materials for scheduled classes;

(d) assistance with marking practical notebooks and answers from exercise classes; and

(e) assistance with invigilation of University degree examinations.

7. With effect from September 1, 2012, a Postgraduate Scholarship holder who is a PhD student and whose candidature has been confirmed will receive a higher rate of Scholarship with effect from the following calendar month after his/her probation is fully confirmed. The higher rate of Scholarship shall be determined by the University from time to time and is not negotiable.

8. Continued tenure or renewal of a Postgraduate Scholarship during the prescribed period of study or a higher rate of Scholarship for PhD students after confirmation of candidature shall at all times remain conditional upon the requirements specified in Regulations 1 and 4 and 5(a) above continuing to be met, and also upon:

(a) the holder continuing to make satisfactory academic progress; and
(b) the holder continuing to undertake training as stipulated in paragraphs 4 and 5(a) and 6 above to the satisfaction of the Department; and

(c) funds for the payment of the Postgraduate Scholarship continuing to be available.

Should the requirement in either Regulation 8 (a) or (c) cease to apply, the Postgraduate Scholarship may be suspended, terminated and/or not renewed altogether, as appropriate. In case of non-compliance with Regulation 8 (b), the Scholarship may be reduced partially, subject to the provision of Regulation 11.

9. Postgraduate Scholarship holders shall sign a declaration agreeing to abide by these regulations and agreeing that they will immediately inform their supervisor(s) and the Secretary of the Board of Graduate Studies if they cease to comply with any of the requirements specified in Regulations 1 and 4 and 5(a).

10. If academic progress is unsatisfactory, a written warning will be issued by the Departmental Research Postgraduate Committee (DRPC) or FHDC in the case of unitary Faculties indicating the need for improvement within a period to be specified. The student may present his/her case to the FHDC. If progress continues to be unsatisfactory, the DRPC will recommend that the whole PGS be suspended for initially up to two months. If the FHDC decides to impose the sanction, it will inform the student, giving at least one month's notice in writing, copying the letter to the DRPC Chairman and the Research Services. The student may appeal to the FHDC. The FHDC will, in light of such an appeal, review its earlier decision and determine if the sanction should be imposed. If the FHDC does not endorse the recommendation for sanction, it will notify the DRPC accordingly. Uplifting the sanction will be conditional upon demonstrated improvement to the satisfaction of the DRPC and the FHDC. A decision to resume the PGS will in no way lead to the payment of PGS suspended.

11. If the Postgraduate Scholarship holder does not perform the training as stipulated in Regulations 4, 5(a) and 6 above to the satisfaction of the Department, a written warning will be issued by the DRPC indicating the need for improvement within a period to be specified. The student may present his/her case to the FHDC if he/she so wishes. If performance continues to be unsatisfactory after the written warning has been served, the DRPC will recommend to the FHDC that an initial sanction in the form of a deduction of $4,000 per month from the PGS value be imposed for a specified period of no more than two months. The sanction, if approved by the FHDC, will be preceded by at least one month's notice in writing to the student. The student may appeal to the FHDC. The FHDC, upon receiving the appeal, will review its earlier decision and determine whether or not the sanction should be imposed. The PGS holder will be required by the Faculty to provide services as part of his/her training as stipulated in Regulations 4, 5(a) and 6 above during the period of sanction for a decision to be made on the subsequent resumption of the PGS in full or otherwise. Uplifting the sanction is conditional upon demonstrated improvement to the satisfaction of the DRPC and the FHDC. A decision to resume the PGS in full will in no way lead to the deducted portion be paid to the student.

12. In cases where the sanctions referred to in paragraphs 10 and 11 have not led to an improvement in performance to the satisfaction of the relevant department, the relevant sanction may be renewed for a further period to be specified. Suspension may in effect lead to termination of the Postgraduate Scholarship, if academic progress remains unsatisfactory. The Board of Graduate Studies will hear appeals, if any, from students against the decision of the relevant Faculty Higher Degrees Committee. The decision of the BoGS on this matter shall be final.

III. ADMINISTRATIVE ARRANGEMENTS

1. Applications for Postgraduate Scholarship shall be made together with the application for
admissions to the MPhil and PhD programmes via the on-line application system of the Graduate School.

2. The recommendation of students for the award of Postgraduate Scholarship shall be made by the DRPCs of Departments, Units, Centres or Institutes in which the students are (or shall be) registered, and such recommendations shall be considered by the appropriate FHDC for recommendation to the Board of Graduate Studies.

3. FHDCs shall receive reports on the academic progress of Postgraduate Scholarship holders and their performance of departmental training; and shall be responsible for assessing progress and making recommendations on the continuation/renewal or otherwise of Postgraduate Scholarship for the consideration of the BoGS.

4. Notices to deduct part of the PGS payment or to suspend the entire Scholarship are issued by the FHDCs on the recommendation of the DRPCs, whereas notices of termination are issued by the BoGS on the recommendation of the DRPCs and the FHDCs.

5. DRPCs will consult supervisor(s) concerned, as appropriate, before a recommendation on reduction of PGS payment or suspension/termination/non-renewal of Postgraduate Scholarship is made.

Note: The Regulations Governing Postgraduate Scholarships are also applicable to holders of the Hong Kong PhD Fellowship.
Appendix IV

Prizes and Awards

285/611 amended

Li Ka Shing Prizes

In 1990, Dr. Li Ka Shing made a generous donation to the University. It was agreed that a part of the investment income earned on the donation be used to establish six prizes under the following regulations:

1. The prizes shall be known as the Li Ka Shing Prizes.

2. There shall be six Prizes, awarded on the basis of academic excellence, four for the PhD theses and two for the MPhil theses, for award annually in and after 2005-06.

3. The Prizes shall each year be for award to graduates from within one of two broad groupings - group A, comprising PhD and MPhil graduates of the Faculties of Architecture, Arts, Business and Economics, Education, Law and Social Sciences; and group B, comprising PhD and MPhil graduates in the Faculties of Dentistry, Engineering, Medicine and Science – i.e. 2 PhD theses and 1 MPhil thesis in each Faculty group.

4. The Prizes shall be in the form of gold-plated medals (for desk display – not to be worn) plus a cash prize. Each Prize shall be awarded to one person only and may not be shared.

5. The award of one or more of the Prizes shall be withheld in any year in which candidate(s) are judged to be of insufficient merit.

6. The award may be retracted by the University if the award recipient is found to have committed research misconduct within and/or outside the University.

Award for Outstanding Research Postgraduate Student

In 2002, the Graduate School established an award to give due recognition to research postgraduate students who have submitted a thesis of exceptional quality and have demonstrated outstanding performance in other academic aspects. Students shall be nominated by the relevant Faculty Higher Degrees Committee to be considered by the Board of Graduate Studies for the award under the following regulations:

1. The Award shall be known as the “Award for Outstanding Research Postgraduate Student”.

2. The Award shall be in the form of a certificate and book prize, and shall be recorded in the recipient's transcript of studies.
3. The criteria for the Award shall be based on the quality of the thesis and other aspects of performance pertinent to the relevant discipline to which the nominated student belongs.

4. Up to ten Awards may be made each year.

5. Up to four research postgraduate students may be nominated for the Award by each Faculty on the basis of the criteria set out above.

6. The decision of the Board of Graduate Studies shall be final.

7. The award may be retracted by the University if the award recipient is found to have committed research misconduct within and/or outside the University.
Appendix V

Regulations Governing Conference Support for Research Postgraduate Students

1. These regulations are determined by the Senate and are administered by the University Research Committee (URC).

2. An MPhil student may apply to the URC for conference support to attend one academic conference (or other academic meeting of similar standing and status) OR travel support once in the course of his/her registration for the degree. A PhD student may apply for conference support twice OR conference support once and travel support once in the course of his/her registration for the degree, and only one application can be submitted per financial year (July 1 to June 30).

Eligibility

3. To be eligible to apply for conference support, a research postgraduate student:
   
   (a) must be in full-time candidature for an MPhil or a PhD degree at the University when the conference takes place; part-time MPhil and PhD students who registered before September 2009 are also eligible;

   (b) must be presenting a paper or a poster which he/she has (co-)authored at the conference; and must be the only person applying to the URC (whether under these regulations or under the regulations governing conference support for teaching staff) for conference support in respect of this paper or poster; and

   (c) must not have received travel support or conference support awarded by the URC if the applicant is an MPhil student; for PhD students, he/she must not have received conference support twice or conference support once and travel support once from the URC.

4. In the event of conference support being made to a research postgraduate student who subsequently completes or withdraws from the degree programme, the Committee reserves the right to withdraw the funding.

Applications

5. Applications are considered in each financial year (July 1 to June 30), on a first-come-first-served basis subject to availability of funds in the conference support budget for the financial year concerned, with funding being charged against the budget for the financial year in which the first day of the conference falls.

6. Applications must include documentary evidence issued by the conference organiser(s) confirming that at least one paper or poster (with the title clearly stated) which the applicant has (co-)authored has been accepted for presentation at the conference.

7. Applications must also include two airfare quotations from a reputable travel agency for conference attendance overseas.
8. Applications must be made on-line, endorsed by the research student's supervisor and the Head of Department concerned, and together with the supporting documents, must be submitted via the on-line system at least 14 days (weekends and public holidays included) before the first day of the conference. Applications which are not accompanied by supporting documents, incomplete at the time of submission, or received less than 14 days before the first day of the conference, will not be considered.

9. The Committee reserves the right not to fund a paper/poster presentation which has received funding support from the Committee previously.

Awards

10. The maximum level of conference support an eligible student can receive is subject to review by the Committee from time to time. The funding awarded is to contribute towards the costs of:

(a) the cheapest airfare direct to and from the conference held outside of Hong Kong (including airport taxes) or by another route if this is less than the cost of the cheapest direct flight, and public means of transport between home/University and the Hong Kong international airport, and between the nearest international airport and the place of conference; and

(b) the conference registration fee and accommodation (room costs only subject to the per diem rate set by the Finance and Enterprises Office) for a period beginning one day before the start of the conference and ending one day after the end of the conference (meals, laundry and long distance telephone calls are excluded).

Reimbursement and Reporting

11. Funding recipients qualify for travel insurance coverage under a Corporate Business Travel programme taken out by the University for a period of up to 180 days. Inquiries about the coverage may be addressed to the Finance and Enterprises Office.

12. Expense claims, accompanied by original receipts (and used air ticket(s) if reimbursement of airfare is requested), must be submitted directly to the Finance and Enterprises Office not more than 60 days after the end of the conference. Expenses claimed after this period will not be allowed.

13. The funding recipient wishing to stop over en route to a conference, or wishing to use an indirect route, must provide to the University's Finance and Enterprises Office an additional quotation from a travel agency for the cheapest direct airfare to the place of the conference. This will be used for the purpose of assessing the travel costs which may be set against the funding.

14. Funding recipients who are subsequently unable to attend the conference due to change of personal circumstances (except for medical reasons) or visa delay/denial will not be reimbursed for the pre-paid conference registration fees or other associated cancellation charges.

15. A brief online report on the conference must be submitted to the URC within 30 days of the end of the conference.

Enquiries should be addressed to the Secretary,
University Research Committee
Appendix VI

Regulations Governing Travel Support for Research Postgraduate Students for International Academic Training / Research Activities

Objective

1. The travel support scheme to support research postgraduate students to engage in international academic training/research activities operates in parallel to the conference support programme, and is administered by the University Research Committee (URC).

2. The scheme is designed to provide an alternative opportunity for research postgraduate students to develop academic and research expertise or to collect essential data for their theses which was not available locally and was not possible under the existing conference support programme.

3. All full-time students registered for the MPhil or PhD degree or part-time students registered for the MPhil or PhD degree before September 2009 at the University may apply to the URC for travel support to (i) undertake international academic training activities under supervision overseas, including but not limited to taking courses, conducting research/thesis preparation work, undertaking empirical fieldwork investigation, and laboratory work, or (ii) collect essential data in overseas for thesis research such as archival study and fieldwork, in the course of his/her registration for the degree.

Eligibility

4. To be eligible to apply for travel support, a research postgraduate student must be in full-time candidature for an MPhil or a PhD degree at the University covering the entire period of the proposed activities. Part-time students who registered for the MPhil or PhD degree before September 2009 are also eligible to apply for this funding. An MPhil student can only receive funding support once, either conference support OR travel support, during his/her candidature. A PhD student may apply for conference support once and travel support once OR conference support twice during his/her registration for the degree, and only one application can be submitted per financial year (July 1 to June 30).

Applications

5. Applications will be considered by the URC twice a year at the beginning of each semester, i.e. September and February. Applicants should submit applications according to the deadline set by the Committee and make sure that the forthcoming deadline at the time of application is at least one month before the proposed departure date. All applications have to be submitted on-line and endorsed by the research student’s supervisor and the relevant Faculty Higher Degrees Committee.

6. Applicants should provide sufficient details of the academic training/research activities which the applicant will be engaged in, the duration of such activities, their relevance to the applicant’s work on the thesis, and the concrete benefits that will bring to his/her degree programme at the University, accompanied by documentary evidence of supervision of academic training/research
activities from the receiving institution(s), and/or documentary evidence of approval to access the required data/equipment.

Award

7. The maximum amount of support an eligible student can receive for the purpose of international academic training/research activities is the same as that for presentation of academic papers at international conferences, and is subject to review by the Committee from time to time. The funding awarded is to contribute towards the costs of:

(a) the cheapest airfare direct to and from the city where the receiving institution is located (including airport taxes) or by another route if this is less than the cost of the cheapest direct flight, and public means of transport between home/University and the Hong Kong international airport, and between the nearest international airport and the receiving institution; and

(b) the registration/enrolment fees for coursework/seminars/workshops and accommodation (room costs only subject to the per diem rate set by the Finance and Enterprises Office). Meals, laundry and long distance phone calls are excluded.

8. A total of 20 awards may be made in each financial year. If there are more than 20 applications worthy of support in a financial year, the URC may waive this quota subject to the availability of funding.

Insurance and Reimbursement

9. Funding recipients qualify for travel insurance coverage under a Corporate Business Travel programme taken out by the University for a period of up to 180 days. Inquiries about the coverage may be addressed to the Finance and Enterprises Office.

10. Expense claims, accompanied by original receipts (including used air tickets if reimbursement of airfare is requested) should be submitted directly to the Finance and Enterprises Office not more than 60 days after return to the University. Expenses claimed after this period will not be allowed.

11. The funding recipient wishing to stop over en route to the destination, or wishing to use an indirect route, must provide to the University's Finance and Enterprises Office an additional quotation from a travel agency for the cheapest direct airfare to destination. This will be used for the purpose of assessing the travel costs which may be set against the funding support.

12. Funding recipients who are subsequently unable to make the trip due to change of personal circumstances (except for medical reasons) or visa delay/denial will not be reimbursed for the pre-paid registration/enrolment fees or other associated cancellation charges.

13. A report must be submitted to the URC within 30 days after return to the University.

Enquiries should be addressed to the Secretary,
University Research Committee
1. Principles of Research Integrity

As a world-class comprehensive university with research activities spanning all major disciplines, the University of Hong Kong realises the vital importance of research integrity. All members of the University must observe the highest standards of professional conduct and must comply with the following principles of research integrity in pursuing their research activities:

- be accountable and accept responsibility for all aspects of their research;
- honesty in the conduct and communication of research;
- objectivity and openness;
- due diligence and duty of care;
- fairness in giving credit and appropriate acknowledgement; and
- responsibility for nurturing students and early-career research colleagues.

All researchers of the University must be committed to the principle of honesty in conducting research and in communicating research findings to the research community and the public. Honesty is required in presenting research goals and intentions, and in reporting procedures and findings. Such presentation and reporting must be full and fair. Objectivity of research requires maintenance of accuracy in the collection and reporting of data. Conclusions must be based on verifiable facts, and researchers should be impartial and be as transparent as possible (notwithstanding mindful of the secrecy requirement in filing of patents and know-hows) in the handling of data. Research findings should be made accessible to the research community for verification. All researchers have a duty of care to the human research participants, the animals, and the environment under study. They must be fair in giving credit for the work of other researchers who participate in the research. They have a responsibility in supervising and nurturing research students and early-career researchers, who will be researchers of the next generation. Positions of seniority or responsibility should never be abused so as to put pressure on colleagues or research students, for example, to forgo their right to proper acknowledgement of their contribution to the research or publication in question, or to add persons who have not significantly and/or substantially contributed to the research onto the authorship list.

In pursuing their research activities, members of the University should adhere to good research practices; should not engage in research misconduct such as plagiarism, fabrication, falsification or unauthorised use of data, improper ascription of authorship, non-disclosure of potential conflict of interest etc. (see Section 3 below). Relevant ethical approval must be obtained before the commencement of data collection. Misconduct or alleged misconduct in research will be dealt with in accordance with the Procedures for Dealing with Alleged Staff Misconduct in Research.

The following Sections in this paper provide information and guidelines on good research practices and highlights of the major kinds of misconduct. Further questions on best practices or doubts about research malpractices or misconduct can be referred to the offices of Heads/Deans that are responsible for research-related matters ("Heads/Deans") or the Director of Education and Development of Research Integrity for advice. Attendance of Responsible Conduct of Research
(RCR) Seminar organized by the Research Services Section of the Registry is mandatory for current and new members of the University to be eligible for internal research and conference support and research postgraduate student supervision.

2. **Good Research Practices**

In pursuing their research activities, all members of the University should be committed to adhering to good research practices to ensure research integrity. It is essential that the design of research projects follows all relevant ethical guidelines, and researchers should only participate in work which conforms to accepted ethical standards and which they are competent to perform. Appropriate risk assessment exercises must be performed before an experiment is conducted. Experiments that are considered unsafe, as judged by experts and professionals, must not be carried out unless the risks have been sufficiently mitigated or nullified. When in doubt, researchers should consult the University Director of Safety, and the Director of Education and Development for Research Integrity (through the Research Services Section of the Registry), and seek assistance from their senior colleagues or peers or offices of Heads/Deans. Research postgraduate students should refer to the book Research Integrity published by the Graduate School. Members of the University may also refer to the following documents for common good research practices:

1. *Code of Conduct for Research Integrity* (European Science Foundation, March 2011; http://www.esf.org/coordinating-research/mo-fora/research-integrity.html);
2. *ORI Introduction to the Responsible Conduct of Research* (Revised Edition, August 2007), by Nicholas H. Steneck, published by the Office of Research Integrity, USA (http://ori.hhs.gov/documents/rcintro.pdf);
3. *Singapore Statement on Research Integrity*, developed at the 2nd World Conference on Research Integrity, July 2010, in Singapore, as a global guide to the responsible conduct of research (http://www.singaporestatement.org);
5. *Nature Journals’ Policy on Publication Ethics* (http://www.nature.com/authors/policies/publication.html);

It should be noted that research conduct policies evolve with time when there are new benchmarks or challenges. It is therefore important for these policies to be based on not just a few static documents or codes or guidelines, but an evolving and emerging mechanism. There are research integrity conferences such as the World Conferences on Research Integrity and the Asia Pacific Conferences in Research Integrity, at which new benchmarks are discussed and physical cases are reported and analysed; participation by staff members in such conferences is encouraged.
2.1 Responsible conduct of research

All research should be conducted in a responsible manner. The design of the research should be well-considered, and research procedures should be carried out with rigour and care. The most appropriate research methods should be employed, and conclusions should be based on critical and unbiased analysis of factual evidence. Research findings should be reported fully and in an objective manner.

The design of the research should aim at maximizing the benefits and reducing the risks to participants of the research. There should be an appropriate balance between benefits and risks, and the well-being of the participants involved, especially those from vulnerable groups (such as young children, the mentally disadvantaged, and prisoners), should be protected. Rights of participants to make decisions for themselves should be respected, and researchers should not exert undue influence on participants’ decisions. Researchers should avoid conduct that may directly influence or distort research results. In collecting information, researchers should be sensitive towards differences in ethnic origin, culture, social class, religion, gender, age and sexual orientation, and the information collected should be used only for the purpose of the investigation. Data collection through deception should be avoided, and if it is absolutely necessary for deception to be employed, the researcher must ensure that no more than minimal risk is involved. Participants should be informed of the deception after data collection (i.e. debriefing), and the data may be used only with the participants’ consent re-obtained after the debriefing. The privacy of participants must be protected and all personal information should be treated in a confidential manner. In particular, so far as personal data are concerned, the Personal Data (Privacy) Ordinance and the data protection principles in Schedule 1 of that Ordinance should be complied with. If there is any doubt about issues regarding personal data, assistance and advice should be sought from the University’s Data Protection Officer.

2.2 Publication-related conduct

Research results should be published in a timely manner, and publications should be based on objective analysis and interpretation of accurate research data in a professional manner. Authorship should only be based on significant and/or substantial contributions to the research proper, including contribution to the design of the study, data collection, data analysis, and reporting; and should not be for merely administrative or copyediting roles. Guest authorship (i.e. including authors who have not contributed to the research) or ghost authorship (i.e. not including individuals who have contributed) are not acceptable. All authors take full responsibility over all the content of the publication, and for the authenticity and reliability of the data used for the publication, and if they are responsible only for specific parts of the research or publication, this should be clearly specified in the publication as appropriate. All co-authors must be informed, and their consent sought, before their names can be included in any publication. The criteria for the order of authors appearing in the publication should take into consideration the relative contributions of the authors and/or prevailing international practice of the discipline, and should as far as possible be agreed on by all involved at the beginning of the research. Authorship should follow the international norms, and disputes should be referred to senior professoriate members or the Head/Dean of the department/Faculty who have no actual or perceived conflict of interest for mediation.

Staff members of the University whose publications contain data/results that were collected in other institutions (e.g. in postdoctoral period, or previous organisations) must be clearly declared and acknowledged in the publications. Citations should be done to the best of academic/professional abilities and knowledge of the authors, in ensuring that they are both relevant and pertinent.

Where appropriate and with their permission, names of individuals or organisations which have made significant contributions to the research and the roles they played in the project should
be acknowledged in publications. These include funding agencies, sponsors, and research collaborators and assistants who do not meet the authorship criteria. Important works on which the research is based, and other academics who have contributed intellectually to the research should be appropriately cited or acknowledged.

Authors who engage technical expertise in collecting certain data which are part of the publications should discuss with the technical assistant if the work involved is significant and/or substantial enough to justify inclusion of the latter as a co-author. Agreement should be sought before the data are collected. In general, intellectual contributions (such as data analysis and interpretation, more than just routine data collection and compilation) are the requirement for listing as co-authors. Staff who provide technical assistance (e.g. making the equipment accessible for data collection) but without significant intellectual contributions to the work should be properly acknowledged but not listed as co-authors. Publication of the same (or substantial parts of the same) work in different journals is acceptable only with the consent of the editors of the journals and where proper reference is made to the prior publication(s). In some fields, publications in conference proceedings are considered as full publications and hence such materials should not be duplicated in other publications. In the author's CV such related articles must be indicated as such and not give the impression that they are distinct research outputs when they are in fact the same or similar.

Authors should make plagiarism check of their manuscripts before they are submitted for publications. Software for such check (e.g. iThenticate; Turnitin) is widely available nowadays.

In reviewing manuscripts submitted to journals or other publications, confidentiality must be observed. Editors and reviewers should never make use of the writing or the data in the submitted manuscripts without the explicit permission of the corresponding author. All major journals have published guidelines on authorship and conduct of reviewers, which should be adhered to strictly.

In communicating research findings to the general public (for example, through popular media), the same standards of honesty, objectivity and fairness should be observed. The significance or the practical use of the research findings or products, as well as the limitations of the findings, should be presented in a truthful manner, and the reported findings should not be misleadingly selective or exaggerated. Materials collected in research projects that have strong potential for technology transfer, background IP or knowhow for start-ups, and eventual patent licensing and commercialisation should be referred to the Technology Transfer Office (TTO) and the Versitech Ltd. for advice before they are published or presented in conferences.

When any author discovers, or be informed of, mistakes in a published manuscript, the author should immediately alert the editor and seek advice on publication of an erratum or withdrawal of the paper. If there are co-authors, they should also be informed immediately.

2.3 Care and safety

All human and animal research subjects must be treated with care and respect. In the design of the research, sufficient provisions should be made for ensuring the safety of the human participants in data collection. Risks and distress to participants should be estimated and kept to a minimum. The safety, health and welfare of the community and of all people relating to the research must be safeguarded.

Animals should be used in research only when alternative means have been found to be not viable or adequate. Where possible, the use of animals in research should be replaced by other methods such as computer simulation or cellular or other model systems. If research involving animals is necessary, the research design should aim at reducing the number of animals used to obtain sufficient information, and no more than the minimum number of animals necessary to ensure
scientific and statistical validity should be used. Harm or distress inflicted upon the animals must be outweighed by the benefits expected from the research, and measures should be taken to keep such harm or distress to a minimum.

The physical and cultural environment should also be respected and treated with care, and measures need to be taken to minimize any unavoidable harmful impact on the environment. Researcher should take the sustainability of environmental resources into consideration in research design. All resources should be utilized and deployed efficiently, and waste should be minimized.

In reporting experiments that are hazardous or potentially dangerous, authors are obliged to highlight and emphasise the hazards and the means to mitigate such risks.

2.4 Proper data handling

Research data must be collected and dated in a truthful manner, and there should be clear record on the data collection process. Data should be kept in a secured and accessible form, as standard in more than one medium and at more than one location, and be documented and archived for a substantial period of time (at least 5 years after publication of the findings, and preferably longer) to allow for verification and replication by other researchers. (Data can be kept stored over a prolonged period on electronic/digital media.) The University’s Policy on the Management of Research Data and Records must be observed. All research data and record of these data can be subject to audits and related examination as proof of authenticity.

Individual researchers should be able to hold copies of the data for their own use. Nevertheless, it should be understood that retention solely by the individual researcher provides little protection to the researcher or the University in the event of an allegation of falsification of data. In some cases there may be restrictions on the retention of data obtained from limited access databases or in a project carried out under a contract. In such cases, a written indication of the location of the original data or key information regarding the limited-access database from which it was extracted must be kept in the department or research unit.

It should be noted that in general, data on research published in the open literature cannot be used as materials for patent filing.

Under the Personal Data (Privacy) Ordinance, researchers must ensure that the personal data of participants are properly protected, and disclosure is not allowed without the consent of the participants concerned. If data of a confidential nature are obtained, for example from individual patient records or by questionnaires, confidentiality of the information must be observed to protect the informants. The methods of data acquisition and the use to which the data will be put must be approved by the appropriate Ethics Committee(s) (e.g. the Human Research Ethics Committee (HREC), the Institutional Review Board of the University of Hong Kong/Hospital Authority Hong Kong West Cluster (IRB), the Committee for the Use of Live Animals in Teaching and Research (CULATR)). The researchers must not use such information for their own personal advantage or that of a third party. In general, research results and methods should be open to scrutiny by colleagues within the University and, through appropriate publication, by the profession at large, provided that the confidentiality of individual participants’ identity is adequately protected, especially in accordance with any laws relating to data protection.

2.5 Disclosure of conflict of interest

In order not to jeopardize the trustworthiness of research results, any relevant or potential conflict of interest - whether personal, financial, academic or political - should be identified and declared. Conflict of interest should be declared in research proposals, publications or other forms of dissemination of findings, etc.
In reviewing research proposals and editing or reviewing research publications, a reviewer or an editor who has a relevant conflict of interest should abstain from the decision making process. For potential, minor or unavoidable conflict of interest, it must be unambiguously declared.

2.6 Compliance with relevant regulations

All experiments or other forms of research project, where the University has an interest, involving consent of human participants and the use of vertebrate animal subjects must obtain prior approval of the appropriate Ethics Committee(s). Informed consent of human participants should be appropriately documented. Clients or sponsors should be alerted to the ethical and legal obligations of the researcher, and to the possible restrictions this may impose on the research.

Research should be conducted in compliance with applicable laws, safety and health guidelines, which are designed to ensure the safety and welfare of human participants and laboratory animals.

2.7 Contract research

Secrecy may be necessary for a limited period in some contract research. However, that necessity must be clearly stated in the contract and fully understood by all parties. Where a research student is involved in working on such a contract and using some of the research data in the student's thesis project, the researcher concerned must ensure that the party sponsoring the research understands and accepts unequivocally that the student's thesis will not be restricted from publication, although there may be scope for not releasing certain types of data confidential to the sponsor. Contract agreement should state clearly that, upon agreement by both parties, some relevant materials may be suitable, and hence allowed, for publication in academic journals or books. Consultation with the Policy Board of Postgraduate Education should be undertaken before any restrictive agreement is reached. Researchers conducting contract research must ensure that the policy on Use of the University's Name and Visual Identity is complied with to avoid commercial exploitation of the University's name. If the contract involves intellectual property, the University's Intellectual Property Rights Policy should be adhered to, and the Technology Transfer Office (TTO) should be consulted. In general, graduate students on publicly-funded scholarships who are to be engaged to carry out commercial projects under “contract research” or “outside practice” (especially when the work is outside the core of a student's academic thesis project) should clearly declare the nature of such projects, and should obtain formal agreement from all parties and authorisation by the appropriate university bodies. Their projects should be adequately funded by the relevant commercial sources to avoid using publicly-funded scholarships to support commercial projects.

2.8 Reporting irresponsible research practices

Members of the university should report to the authorities concerned any suspected research misconduct (refer to the document Procedures for Dealing with Alleged Staff Misconduct in Research). This includes plagiarism, abuse of data, improper ascription of authorship, non-compliance with regulations, and other forms of improper research practices that are deemed unacceptable by the academic community (see Section 3 below).

Staff members or students who in good faith report a concern or participate in the investigation of a case of research misconduct shall be protected from retaliation or adverse consequences of their employment or studies regardless of whether the allegation is substantiated. Staff members or students believing that they are being retaliated against shall immediately report the matter to the President & Vice-Chancellor.

General academic disputes outside the context of research misconduct should be mediated or adjudicated at the department or Faculty level, involving senior professoriate members and/or the Department Head (or equivalent) and the Faculty Dean, or their delegates.
2.9 Special needs in different disciplines

In some disciplines there may be special areas which require specific regulations, for example, animal and human experimentation and the handling of hazardous materials. The rules for these activities must form part of the general policy of ethics and safety for each department (or equivalent). The University Director of Safety should be consulted in these cases.

2.10 Collaboration

Researchers should pay particular attention to projects which include participants from different countries or where work will be carried out in another country, due to the additional legal and ethical requirements and other guidelines that may apply.

They should be aware of the standards and procedures for the conduct of research followed by any organisations involved in collaborative research that they are undertaking. They should also be aware of any contractual requirements involving partner organisations, seeking guidance and assistance where necessary.

They should try to anticipate any issues that might arise as a result of working collaboratively and to agree jointly in advance how such issues might be addressed, communicating any decisions to all members of the research team. In particular, agreement should be sought on the specific roles of the researchers involved in the project and on issues relating to intellectual property, publication and the attribution of authorship, recognising that, subject to legal and ethical requirements, roles and contributions may change during the time span of the research.

Further guidance on research integrity in collaborative research can be found in the Montreal Statement on Research Integrity in Cross-Boundary Research Collaborations referred to in Section 2.

2.11 Checklist for researchers

The Code of Practice for Research issued by the UK Research Integrity Office (referred to in Section 2) provides a useful checklist for staff members and students to assist routine monitoring of their research work.

3. Research Misconduct

Research misconduct is one or more unethical practices that deviate from those commonly accepted within the academic community for proposing, conducting, or reporting research. It can appear in many forms, and may lead to disciplinary action. The following list only intends to highlight major kinds of research misconduct and is not exhaustive.

3.1 Plagiarism and self-plagiarism

- Plagiarism is direct copying of textual material or wilful use of other people’s data and ideas, and presenting them as one’s own without acknowledgement;

- Self-plagiarism is reuse of one’s own data or repeat of previously published written work, or part thereof, in a ‘new’ publication without acknowledging that the data set has been used or written work has been published elsewhere.

References to what could constitute plagiarism can be found in the booklet What is Plagiarism? published by the University.
3.2 Abuse of data – this includes

- Fabrication of data – making up data and/or results where no or different data have been obtained, and publishing them as if they were real or true or representative;

- Falsification of data – manipulating research materials, equipment, or processes, or changing or omitting data or results such that the research is not accurately represented in the research record;

- Unethical collection of data – collecting data through exploitation of vulnerable or disadvantaged groups, or unnecessarily infringing upon the privacy of participants; the data collection process harmful to participants, or putting them at more risk than necessary;

- Unauthorised use of data – infringing on the data ownership rights of others, or using data involving human participants without their informed consent;

- Publication or use of irreproducible data – report of data that came out from experiments that are irreproducible or experiments that have not been optimised, unless clearly stated in the report (e.g., as pilot data).

3.3 Improper ascription of authorship

- The over-riding principle for authorship of a research output is the intellectual contribution to the research process and not merely administrative involvement. Author and co-authors should have significant and/or substantial participation in conceiving, executing or interpreting at least part of the research reported. The research team should agree on which individuals should be named as co-authors, and the order in which their names appear in publications. The corresponding author(s) are ultimately responsible for the order in the authorship.

- One particularly serious offence is when senior staff (such as heads of department or supervisors) coerce colleagues or students into allowing the former to take the credit of the research in question as their own, either wholly or partly, and not acknowledging or giving proper credit to the latter. This is a failure of leadership and of moral responsibility.

- Misleading ascription of authorship includes the listing of authors without their permission, attributing work to those who have not in fact contributed to the research, and the lack of appropriate acknowledgement of work primarily produced by a research student or any associate. Due recognition of all participants is an important part of a proper research process. Authors should ensure that the work of research students, research assistants, and all support staff is properly acknowledged. It does not matter whether the researchers were employed or otherwise paid for their work.

- Each author must endorse the whole work. The authors of the research output should read the final paper and agree that each of them has met the minimum requirements for authorship. It is unethical to claim authorship without reading and approving the final draft in its entirety. All of the authors are equally responsible for the contents of the research output; if the contents are fraudulent then all authors carry the blame. Responsibility cannot be shifted from an academically senior author to an academically junior one, and vice versa.

- The unattributed re-presentation of any research output, whether for research or teaching, in a language other than the original is unacceptable.
3.4 Non-disclosure of potential conflict of interest

- Disclosure of any potential conflict of interest is essential for the responsible conduct of research. Non-disclosure is regarded as unethical behaviour.

- A researcher's affiliation with, or financial involvement in, any organisation or entity with a direct interest in the subject matter, or in the provision of materials for the research, must be included in a full acknowledgement.

- Members of committees responsible for the allocation of research or conference grants should not participate in any way in the determination of their own applications, or normally those of students whom they supervise or have previously supervised.

- The source of funding for research work should always be acknowledged, unless the donor requests anonymity and such request is approved by the University.

3.5 Non-compliance with regulations – this includes

- Commencing data collection for research involving human participants or animals before ethical approval is obtained from the appropriate Ethics Committee(s);

- Failure to comply with the conditions of the ethical approval;

- Failure to comply with the contract terms;

- Research not reasonably conducted according to the approved research design;

- Infringement of another person's copyright, patents, trade-marks, computer software, etc., with respect to any form of research output (refer to the Intellectual Property Rights Policy of the University);

- Breaching of the relevant laws, or safety and health guidelines.

3.6 Deviations from good research practices (as recommended in Section 2 above) through gross or persistent negligence.

3.7 Wilful concealment or facilitation of research misconduct by others.

Research misconduct will result in actions taken in accordance with the Procedures for Dealing with Alleged Staff Misconduct in Research.
Conscientious Objection Policy for Teaching Experiments Involving the Use of Live Animals

1. The teacher / course co-ordinator concerned should stipulate clearly in the course description if live animals are to be used in the course.

2. The conduct of animal experimentations at HKU requires prior approval of the Committee on the Use of Live Animals in Teaching and Research.

3. In accordance with the Animals (Control of Experiments) Ordinance Cap 340 of the HKSAR Government which provides for the control of experiments on living vertebrate animals, a ‘Block License’ for conduct of animal experimentations will be obtained from the Department of Health by the teacher / course co-ordinator concerned on behalf of students attending teaching practicals.

4. Students who object to animal experimentation should discuss with the teacher / course coordinator concerned before enrolling for the course to opt for training and assessment by using audiovisual and computer models alternative methods / materials for the study. In situations when such alternatives are not available, students should be allowed to opt out of teaching practicals/ experiments within the course without detriment to his / her grade.

5. Any concerns regarding the use of live animals should be addressed to the teacher / course coordinator concerned in the first instance, and then to the Committee on the Use of Live Animals in Teaching and Research as necessary.
1. Preamble

1.1 The Intellectual Property Rights Policy (“Policy”) sets out the University’s policy on Intellectual Property Rights for works produced at the University by Staff, Students and Visitors of the University. It is important for Staff, Students and Visitors to understand their rights as well as how to protect such rights in order to avoid potential disputes when engaging in research and writing.

1.2 Staff, Students and Visitors during their course of study, employment, engagement or appointment generate original work. Staff, Students and Visitors, as creators of intellectual property, together with the University, have rights in respect of the fruit of their intellectual endeavours and work. These Intellectual Property Rights are protected under the laws of Hong Kong.

1.3 The University believes in promoting knowledge exchange and knowledge sharing and encouraging the flow of knowledge between the University and the community for mutual benefit. The University is a signatory to the Berlin Declaration on Open Access to Knowledge in the Sciences and Humanities, which recognizes that information should be made widely and readily available to society and encourages and advocates open access publication.

2. Definitions

Author means the creator of a Copyright work.

Copyright means a collection of rights relating to original literary, dramatic, musical, and artistic works, sound recordings, films, broadcasts, cable programmes and the typographical arrangement of published editions. For the avoidance of doubt, ‘literary work’ includes software and digital publications.

Course of employment means any work undertaken by a Staff member in performing the duties for which the Staff member has been engaged and within the scope of the duties described in the Staff member’s contract of employment.

Database means a collection of independent works, information, data or other materials that are arranged in a systematic or methodical way and are individually accessible by electronic or other means. The database may consist of textual entries (e.g. names or phone numbers), or independent works such as photographs or videos.

Evaluation Committee means the committee of the Technology Transfer Office responsible for evaluating the patentability and marketability of Inventions disclosed by Staff and Students.

Institutional Work includes works created using University funding (including funding obtained by the University from internal and external sources) and works that are commissioned by the University.

Intellectual Property Rights (IPR) means any and all intellectual and industrial property rights
now in force or that come into force in the future in any part of the world whether or not registered or registerable and includes all applications and rights to apply for registration (and renewals and extensions of any registration) of such rights as well as all rights of action and remedies in relation to past infringements including rights in or in connection with:

(a) confidential information, business or trade secrets, know-how;
(b) Inventions, Patents (including supplementary protection certificates);
(c) Copyright (including the rights to secure Copyright renewals and extensions of Copyright, Copyright not yet in existence but that comes into existence in the future and all other rights of a like nature by law in force in any part of the world);
(d) Trade Marks, service marks, business or trade names; and
(e) Design rights, topography rights,

(together with all other rights of a similar or corresponding character or nature.)

Invention means the conception and reduction to practice of a useful, novel and non-obvious product or process, or improvement thereon, for which a Patent may be obtained.

Inventor means the person who invents, develops or discovers an Invention.

Licence means a contract in which an Intellectual Property Rights holder gives permission to another to perform any Restricted Acts in relation to the intellectual property.

Net Receipts means the total Royalties and fees generated from the commercialisation (including but not limited to, joint venture and licensing) of an Invention or discovery, less:

(a) all expenses reasonably incurred by the University and/or its wholly owned subsidiary (including patent agents fees and legal fees) for the filing, maintenance, protection and preservation of Intellectual Property Rights in connection with the Invention or discovery;
(b) all expenses reasonably incurred by the University and/or its wholly owned subsidiary (including patent agents fees and legal fees) for the commercialisation of the Invention or discovery; and
(c) where the Invention is jointly owned by another university, legal entity or institution, 10% to 20% of gross Royalties to cover internal administrative overheads;
(d) amounts of taxation payable by the University and/or its wholly owned subsidiary in respect of the Royalties;
(e) any other expenditure that is agreed with the inventor(s).

Patent means a grant which gives the owner of an Invention a right to exclude all others from making, using, selling or importing the Invention in the relevant jurisdiction.

Restricted Acts means:

(a) in relation to Copyright, the exclusive rights of a Copyright owner in respect of a work, including the right to make copies, to authorize other persons to make copies, to make available copies of a work to the public, to perform, show or play the work in public or to make an adaptation of the work;
(b) in relation to Patents, the exclusive rights of a Patent owner in respect of an Invention, including the right to make, use, sell, put on the market, stock, offer for use, or import the Invention;
(c) in relation to Trade Marks, the exclusive rights of a Trade Mark owner in respect of a Trade Mark, including the right to use the Trade Mark in trade or business (including without limitation, to apply the Trade Mark to goods or their packaging, offer or expose goods for sale bearing the Trade Mark, put goods on the market bearing the Trade Mark, offer or supply services under the Trade Mark, import or export goods bearing the Trade Mark, or use the Trade Mark on business papers or advertising); and

(d) in relation to Designs, the exclusive rights of a Design owner in respect of a Design, including the right to make, import, sell or hire any article in respect of which the Design is registered, or offer or export such article for sale or hire.

Royalty means a payment made to an Intellectual Property Rights holder for the right to use his or her intellectual property.

Staff means a person who is a member of the University's academic or non-academic staff (whether full-time or part-time).

Student means any full-time or part-time graduate or undergraduate student.

Substantial use of University resources means use of time for which the University is compensating the inventor, creator or author to provide services for the University; use of funding provided by the University and/or funding that is made available to the inventor, creator or author in the form of grants, contracts or awards from external sources; and/or use of any University resources that are not ordinarily used by, or available to, that Staff member or Student, but does not include an incidental use of University resources. For the avoidance of doubt, casual use of library and desktop computer facilities shall not be considered to be a substantial use of University resources.

Technology Transfer Office means the office of the University responsible for managing and administering the University's intellectual property, including without limitation administering Patent applications.

Trade Mark means a distinctive name, sign, logo or indicator used by an individual, business or other legal entity to distinguish its goods and/or services.

University means the University of Hong Kong, including all campuses of the University, whether located in Hong Kong or elsewhere.

University Domain Names means any domain names registered by the University from time to time, including without limitation, www.hku.hk, www.hku.edu.hk and any related sub-domain names.

University Marks means “The University of Hong Kong”, “香港大學”, the acronym “HKU”, “港大”, all other names, abbreviations, logos, whether registered as a trade mark or not, and any other form of visual identity that connotes an association with the University.

Visitor means a person who is not Staff, who takes part in teaching, research and other activity that would normally be conducted by Staff, including without limitation a scholar on short term exchange with the University, adjunct professors and honorary professors.

3. Application of Policy

3.1 This Policy applies to Staff, Students and Visitors of the University.
3.2 This Policy constitutes an understanding which is binding on the University and on the Staff, Students and Visitors to whom this Policy applies, as a condition for participating in research programs at the University, for the use of University funds or facilities, or for commencing employment or studies with the University.

3.3 This Policy shall be incorporated in all employment contracts for Staff joining the University after this Policy has been implemented.

4. Overview

4.1 The key provisions of this Policy regarding Intellectual Property Rights of Staff, Students and Visitors are summarised below:

4.1.1 Staff

(a) The University shall own all Intellectual Property Rights in works generated by Staff in the course of their employment with the University.

(b) However, the University will normally only enforce such rights under a limited set of circumstances, including where the work was generated using a substantial use of University resources or personnel, where the work is an Institutional Work, or where the work is subject to an agreement signed by the Staff which requires the Staff to assign rights to the University or a third party.

(c) Intellectual Property Rights in works generated by Staff in the course of an exchange with another institution shall be dealt with by the mutual agreement of the two institutions in accordance with their respective Intellectual Property Rights policies. It is recommended that a formal agreement regarding Intellectual Property Rights is entered into between the two institutions as early as possible.

4.1.2 Students

The University may assert ownership of Intellectual Property Rights for works generated by Students in the course of study. However, the University shall not assert ownership of Intellectual Property Rights in the following circumstances:

(a) Where the work is not an Institutional Work. For the avoidance of doubt works created in connection with graduate assistantships or scholarship grants to Students to pursue academic activities towards an advanced degree shall not be considered to be Institutional Works; or

(b) where there has not been a substantial use of University resources or personnel; or

(c) where the work consists of Student coursework or a Student's contribution to a written thesis, as outlined in more detail at paragraphs 5.1.2 and 5.1.3 below.

4.1.3 Visitors

As a result of any Visitor having access to and use of any University facilities, equipment, accommodation or intellectual property, or participating in any teaching or research activities of the University, the University may require the Visitor to: (i) sign a confidentiality agreement in a form approved by the University; (ii) disclose to the
University, immediately upon creation, full details on any Intellectual Property Rights created by the Visitor; (iii) do all things and sign all instruments necessary to assign such Intellectual Property Rights to the University; and/or (iv) give consent in relation to any moral rights he or she may have in the relevant work.

4.1.4 Collaborative work

Depending on the nature and level of contributions made by other collaborators, Intellectual Property Rights may be shared between two or more parties, including but not limited to supervisors, Students, Staff, the University and collaborating universities.

4.2 Role of Staff

Staff are required to have an understanding of Intellectual Property Rights issues. This is particularly important when supervising research students, deciding when and what to publish about their work, negotiating with third party research sponsors, and in collaborative efforts with other institutions.

4.3 Role of supervisors

4.3.1 In different fields of study and research projects, the role of a supervisor varies and this has an implication on the arrangement of Intellectual Property Rights generated in research projects. A Student is expected to receive guidance from his or her supervisors. In the event that a supervisor merely acts as a mentor or a consultant, the Student will have the primary right to any Intellectual Property Rights generated in connection with the project. However, if a student works on an established research project and makes a substantial use of University resources assigned to the supervisor, the University shall own the Intellectual Property Rights created in connection with the research project.

4.3.2 In the event that a supervisor initiates a substantive idea in a research project, the University, as the employer of the supervisor, shall own the Intellectual Property Rights generated in connection with the research project, subject to any agreement to the contrary.

4.3.3 In the event that a supervisor and a Student collaborated in the conception and design of an Invention, and the work made a substantial use of University resources, the Invention and any resulting patents will be owned by the University.

4.3.4 In the event that a supervisor and a Student collaborated in the conception and design of an Invention in which the intellectual effort is inseparable, and the work did not make a substantial use of University resources, the Invention and any resulting patents will be jointly owned by the University and the Student. The percentage of Intellectual Property Rights ownership should be agreed between the supervisor and the Student as early as possible.

4.4 Role of Students

All Students are required to familiarize themselves with this Policy. It is important that Students, before joining a research project, make enquiries with their supervisor or project group regarding Intellectual Property Rights for the research project and should agree on the Intellectual Property Rights arrangement for the research project.
4.5 Student research in conjunction with externally funded projects

In the case of externally funded projects, the University may be under a contractual obligation to assign all or part of the Intellectual Property Rights to a third party. Before a Student participates in such a project, he or she is required to make enquiries with his or her supervisor regarding the Intellectual Property Rights arrangement for the project. The University may, in its sole discretion, require the Student to sign a written agreement acknowledging and agreeing to the Intellectual Property Rights arrangement for the project.

5. Copyright

5.1 The University's policies on relation to copyright in various categories of works are outlined below:

5.1.1 Scholarly work and teaching materials created by Staff

(a) The University does not normally exercise its claim of copyright ownership over any work created by Staff that is of a scholarly nature or created for teaching purposes.

(b) Staff grant the University a royalty free, perpetual, non-exclusive, worldwide licence to use the work for non-commercial purposes. The licence granted under this clause shall continue after the Staff is no longer employed by the University.

(c) Staff may submit their work to publishers and assign copyright in the work to a publisher as they judge appropriate, subject to any pre-existing licence granted in respect of the work. Staff shall procure that the University is granted the right to re-use the scholarly work (including any subsequent editions) for non-commercial purposes, including without limitation, posting the work on the University's institutional repository, the HKU Scholars Hub (the "Hub").

(d) Where publishers’ agreements permit, once a work is published, the University encourages Staff to submit their prior version of the published work ("Author's Manuscript") to the Hub to facilitate knowledge sharing. Administrators of the Hub will be responsible for confirming that the relevant publisher's agreement permits the posting of the Author's Manuscript, prior to posting any manuscripts on the Hub.

(e) Works which have been specifically commissioned by the University or works governed by agreements with research sponsors will be governed by those agreements and not the above.

5.1.2 Student coursework

(a) The Student shall retain copyright in his or her work submitted in the course of his or her study, including papers, essays, reports and articles.

(b) The Student grants the University a royalty free, perpetual non-exclusive worldwide licence to use the work (i.e. perform any Restricted Acts in relation to the work) for non-commercial purposes. The licence granted under this clause shall subsist after the Student is no longer enrolled as a student of the University.
5.1.3 Student thesis

(a) The Student shall retain copyright in his or her written thesis.

(b) The Student grants the University, in particular the University Libraries and the University Archives, a royalty free, perpetual, non-exclusive worldwide licence to circulate the thesis or use the thesis for other non-commercial purposes. The licence granted under this clause shall persist should the Student no longer be enrolled as a Student of the University.

(c) If research data included in a thesis are obtained by a collaborative effort (including collaboration between the Student and a supervisor or other researcher at the University), such data may be the joint property of the Student and the collaborating party. It is strongly advised that Students and supervisors/researchers make clear agreements in advance concerning the ownership and use of Intellectual Property Rights created in connection with a Student thesis.

5.1.4 Jointly authored work

(a) Where two or more Staff and/or Students have collaborated on a work in which the contributions of the collaborators are not separable, this work will be jointly owned by all Authors.

(b) Where two or more Staff and/or Students have collaborated on a work in which each person’s contribution is distinct (e.g. a chapter of a book is written by a different author), the work is a collective work and each Author shall own copyright in his or her individual work.

5.1.5 Work involving substantial use of University resources

Where a work has been created by Staff or Students making a substantial use of University resources, the University shall retain ownership of such works, subject to any written agreement to the contrary. Where there may be a question of whether a work involves substantial use of University resources, it is strongly advised that an agreement relating to Intellectual Property Rights should be reached between the parties before the use of such resources.

5.1.6 Software

(a) The copyright in software created by Staff and Students shall normally be retained by the Authors of such software. However, the University shall retain ownership of the copyright in software produced by Staff and Students in the following circumstances: (i) where there is a substantial use of University resources; (ii) where the software is an Institutional Work; (iii) where the software was developed by a Staff member in the course of his or her employment.

(b) Software developed as a result of work partially or fully funded by an external organisation through a contract or grant to the University, shall be governed by the terms of the contract or grant.

(c) If a Student creates software working in conjunction with a supervisor and both parties contribute original intellectual labour, and the contributions are not separable, the work shall be jointly owned by the Student and the University.
(d) Staff and Students grant the University a royalty free, perpetual, non-exclusive
worldwide licence to use the software for non-commercial purposes. The licence
granted under this clause shall continue after the relevant Staff and Students are
no longer associated with the University.

5.1.7 Databases

A Database is protected by copyright law in Hong Kong, provided that the selection
or arrangement of the contents meets the minimum standard of originality, i.e. that a
sufficient amount of skill and labour is involved in the selection or arrangement of the
contents of the Database.

(a) Databases created as part of an established University project

The University may own copyright in a Database (e.g. a DNA Database on plant
genomics produced by the Department of Biology). If a Student undertakes
laboratory research and expands any such Database, the Student may not
have any rights to the Database as the Student's effort was performed as part
of an established University project. It is recommended that the Student and
supervisor discuss Intellectual Property Rights and arrive at a written agreement
before commencing the work.

(b) Databases created as part of Student coursework

If a Student creates a Database as part of course requirements (e.g. a database
of eating habits for a marketing research project), the Student shall retain
ownership of the copyright in the Database. The Student grants the University a
royalty free, perpetual, non-exclusive worldwide licence to use the Database for
non-commercial purposes. The licence granted under this clause shall continue
after the Student is no longer enrolled as a Student of the University.

(c) Databases jointly created by a Student and a supervisor

When a student creates a Database and works in conjunction with a supervisor
and both parties have been involved in the selection and arrangement of the
contents of the Database, the copyright in the Database will be jointly owned by
the University and the Student.

5.1.8 Work created on the University web server

A Student shall retain ownership of any work that he or she creates and places on the
University website. The Student grants the University a royalty free, perpetual, non-
exclusive worldwide licence to use the work for non-commercial purposes. The licence
granted under this clause shall continue after the Student is no longer enrolled as a
Student of the University.

5.1.9 Institutional works

The University shall retain ownership of Institutional Works and works resulting from
simultaneous or sequential contributions over time by multiple Staff and Students, such
that the work cannot be attributed to a single Author or a discrete number of Authors.
5.1.10 Videotaping and related classroom technology

Copyright in audio recordings and audiovisual recordings of courses taught at the University or courses developed for the University shall be the property of the University. Videotaped courses and courses recorded using any other media are University property and may not be reproduced, distributed, performed or displayed without permission of the University.

6. Patents

6.1 Inventions protected by patents

In order to be patentable, an Invention must be new / novel, involve an inventive step and be capable of industrial application. Patents apply to a wide variety of Inventions, including machines or devices (e.g. a laser printer, an electronic circuit), processes (e.g. a genetic engineering procedure, a business process), chemical compounds (e.g. a drug), new life forms (e.g. a genetically altered life-form). A Patent, once granted, prevents anyone else from using the Invention without the patent owner's permission for a fixed term. After the Patent expires, anyone is able to use the Invention without a requirement to obtain the former Patent owner's permission.

6.2 Duty to report Inventions

6.2.1 Staff and Students shall immediately notify and disclose to the Technology Transfer Office of the University any potentially patentable discoveries or Inventions made by them. The Evaluation Committee shall evaluate the patentability and marketability of Inventions disclosed by Staff and Students, and where appropriate, the Technology Transfer Office will administer the Patent application of the Staff and Students.

6.2.2 The first step to report an Invention is to complete and submit an Invention Disclosure Form (IDF) to:

Technology Transfer Office
The University of Hong Kong

6.2.3 The Invention Disclosure Form is obtainable from the Technology Transfer Office or can be downloaded from its website: http://www.tto.hku.hk/.

6.3 Confidentiality

It is important that any information about a potentially patentable Invention is not prematurely disclosed. Telling a third party about the information generated by a research project could constitute a disclosure and may mean that the invention loses the necessary quality of novelty, resulting in the Invention becoming un-patentable. In the event that Staff and/or Students need to discuss the details of an Invention with outside academics or potential developers, they should ensure that a non-disclosure agreement (in the form provided by the Technology Transfer Office) has been executed before disclosing any information about the Invention.

6.4 Staff Inventions

6.4.1 Patentable Inventions made by Staff in the course of employment or with more than incidental use of University resources or developed under a project funded by or through the University must be disclosed to the University. Staff, as a condition of
their employment with the University, shall assign all right, title and interest in such
Inventions and/or Patents to the University and shall cooperate with and assist the
University in the Patent application process, including without limitation, executing any
deed of assignment and other documentation necessary to file a Patent application.

6.4.2 Staff should not enter into any agreement with a third party which conflicts with their
obligation to the University under this Policy. Each Staff member should make his or
her obligations under this Policy clear to any third party when negotiating a sponsorship
or consultancy agreement.

6.5 Student Inventions

6.5.1 Patentable Inventions created by a Student in the course of study and developed with
more than incidental use of University resources and/or developed under a project
funded by or through the University should be disclosed to the University. The Student
Inventor shall assign all such Inventions and/or Patents to the University and shall
cooperate with and assist the University in the Patent application process, including
without limitation, executing any deed of assignment and other documentation
necessary to file a Patent application.

6.5.2 Inventions made by a Student outside his or her course of study and without the use
of University facilities or funding shall be the property of the Student, subject to any
agreement to the contrary.

6.6 Decision to Patent an Invention

6.6.1 The University may, in its sole discretion decide to obtain a Patent for an Invention
made by Staff and Students. The Evaluation Committee in the Technology Transfer
Office is responsible for evaluating the patentability and marketability of an Invention.

6.6.2 Where the Evaluation Committee decides to file a Patent application, such invention
shall be filed in the name of the University.

6.6.3 When the Evaluation Committee declines to file a Patent application for an Invention
created by a Staff member and/or Student within a reasonable time, or where the
University pursues an Invention but subsequently abandons the pursuit of the Patent
or licence agreement, the relevant Staff member and/or Student may request the
University in writing to waive the University's interest in the Invention. Upon receipt of
the request, the Pro-Vice Chancellor and Vice-President (Research) and the Director
of the Technology Transfer Office shall consider the case in the light of the University's
obligations to sponsors, if any, and on whether the waiver would be in the best interest
of the University, as well as whether the waiver would result in any conflict of interest.
If the request is approved, the Intellectual Property Rights in the invention/Patent will
be assigned to the relevant Staff member and/or Student who will then be free to file a
Patent application at his or her own cost and/or dispose of the Invention as he or she
wishes. The relevant Staff member or Student shall grant the University a royalty free,
perpetual, non-exclusive worldwide licence to use the Invention for non-commercial
purposes. The licence granted under this clause shall persist should the relevant Staff
member and/or Student no longer be associated with the University.

6.6.4 Staff and Students should refer to the website of the University’s Technology Transfer
Office for more information regarding Patents, Patent searches and Patent applications.
6.7 Fragmented IPR ownership – staff from another university

When a Staff member joins the University from another institution and undertakes the same area of research, it may result in fragmented ownership of Intellectual Property Rights. It is recommended that a formal agreement regarding Intellectual Property Rights is entered into between the two universities as early as possible. Any Patents which result from the research will normally be co-owned by the two universities and the distribution of derived Royalties between the universities will normally be negotiated after an invention disclosure, but prior to the initiation of the Patent application.

6.8 Intellectual Property Rights subject to an agreement with a sponsor

If a Staff member has obtained a grant which expressly provides that all Intellectual Property Rights belong to the sponsor of the grant, any patentable invention which results from this research shall be governed by the agreement between the sponsor and the University, even if the project has made substantial use of University resources.

6.9 Sharing of Royalties with Inventor(s)

The University shall share Royalties from Inventions assigned to the University with the Inventor(s). The Net Receipts arising from the exploitation of an Invention shall be shared between the University, the relevant faculty/department and the inventor(s) in the ratio of 1/3 : 1/3 : 1/3. The University reserves the right to amend the Royalty distribution at any time. Staff and Students should consult the Technology Transfer Office for more details regarding the distribution of Royalties.

7. Trade Names, Marks and Domain Names

7.1 Approval for use

7.1.1 The University Marks and University Domain Names are the property of the University. They are used to identify the University and its academic programmes, publications, services, products, etc. Staff and Students are not permitted to use the University Marks without the prior approval of the President & Vice-Chancellor or his or her designated authority.

7.1.2 In general, the University will not approve the use of the University Marks to endorse any commercial products or services. See the “Policies and Guidelines on the Use of the University’s Name and Visual Identity” available on the University’s website (http://www.hku.hk/uid/detail.html).

7.2 Authority to licence

The University has authority to licence the University Marks for commercial use and collect Royalties.

7.3 Products displaying University Marks

The University Marks must not be displayed on any products without the prior approval of the University. The University may, in its discretion, grant Staff and Students licences to use the University Marks in the manner contemplated by this clause.
8. Governing Law and Jurisdiction

This Policy and any dispute or claim arising out of or in connection with it or its subject matter shall be governed by and construed in accordance with the laws of the Hong Kong Special Administrative Region. The Courts of the Hong Kong Special Administrative Region shall have exclusive jurisdiction to settle any dispute or claim that arises out of or in connection with this Policy.

9. Amendments

The University reserves the right to amend this Policy from time to time.
Appendix X

Boards of Examiners for Higher Degrees by Coursework and Research

(Committees of the Senate)

I. POWERS AND DUTIES

1. In respect of Higher Degrees by Coursework

For each examination prescribed by the Regulations, and its supplementary examination, where applicable, and for the examination of each dissertation or report or essay where prescribed, the Board shall

a. Before the examination is held, determine the principles to be adopted for marking schemes, the manner in which performances in coursework, practical and laboratory and field work should be judged and weighed, and the classification of honours and award of distinctions and credits where appropriate, and the methods and procedures by which the Examiners shall carry out their duties. The Chief Examiner(s) shall be responsible to the Board for the examination of their subjects in accordance with the duties of Chief Examiners and Examiners (Internal) laid down by the Senate;

b. Receive from the Chief Examiner(s) lists of the examination and assessment marks or grades of the candidate, and report(s) on the dissertation or report or essay and consider these;

c. Receive and consider such representations as have been made by candidates and referred to the Board by the Examinations Secretary concerning unusual circumstances arising during the course of the written examination which might have affected their performance;

d. Determine the results of the examination;

e. Receive the reports of External Examiners when available;

f. Submit to the Board of Faculty the pass list in alphabetical order of successful candidates’ names and with marks of credit and/or distinction where the regulations provide for the publication of these; with a recommendation that successful candidates who have complied fully with the regulations be presented to the Chancellor for the conferment of the degree;

g. Decide the award of relevant prizes and medals presented wholly or partially on the results of University examinations, in accordance with the regulations governing their award, the Boards to inform the appropriate Boards of Faculties of any awards made (Authority: SM 12 of 4/3/80);
h. Make a report on the examination either if it appears desirable or if requested so to do by the Senate or the appropriate Board of Faculty, provided that the actual marks or grades (except in a form approved by the Senate) remain restricted to the Board of Examiners; and

i. Additionally, in the cases of the Faculties of Science, Engineering, Social Sciences, Education, Architecture, Law and Business and Economics, after receipt of advice and comments from the Faculty Review Committee on candidates who have failed to satisfy the examiners, the Board shall consider these candidates, and

i) Decide upon those candidates who should be required to take a supplementary examination, carry a subject, repeat the course(s) and present themselves for reexamination, or present themselves for re-examination without repeating the course(s), in accordance with regulations;

ii) Recommend the discontinuation of candidates in cases where discontinuation is not mandatory.

2. In respect of Higher Degrees by Thesis

The Board shall be appointed by the Board of Faculty. The Board shall consider recommendations from the Thesis Examining Committee on the thesis examination result, and be empowered to make a decision thereon, for the consideration of the Board of Graduate Studies.

II. MEMBERSHIP*

1. The Dean of the Faculty (Chairman).

2. The President & Vice-Chancellor (statutory).

3. The specialist examiners (including the external examiner(s) if in Hong Kong) appointed for all fields of study for each degree (in the case of higher degrees by coursework) or The members of the Thesis Examining Committee (including the external examiner(s) if in Hong Kong) appointed for each candidate (in the case of higher degrees by thesis).

4. Members of the Faculty Higher Degrees Committee, to be decided at the discretion of individual Boards of Faculties.

5. Other teachers appointed by the Board of Faculty concerned who may not be examiners.

*Note:
For higher degrees by coursework there is only one Board of Examiners for examinations for any one degree curriculum, comprising all the examiners for that curriculum (Authority: SM 13b of 3/4/79).
Appendix XI

Regulations Governing the Format, Binding and Presentation of Theses for Higher Degrees by Research

(Applicable to students admitted on or after January 1, 2001 and subsequent intakes)

1. The thesis submitted for examination shall be typewritten or printed on one side or both sides of International size A4 paper (except for drawings, maps or tables on which no restriction is placed), with margin of not less than 35 mm on both right and left-hand edges of each page.

2. An abstract in English of not fewer than 200 and not more than 500 words shall be a part of each thesis. The format shall be the same as that of the thesis itself. The front page of each abstract shall contain the following statement:

Abstract of thesis entitled “................................................................................................................

Submitted by ...................................................................................................................................

for the degree of ...............................................................................................................................
at The University of Hong Kong in (month and year).

3. Sufficient copies of the thesis shall be submitted for examination purpose. Each copy of the thesis with its abstract preceding the title page, shall be bound in one or more volumes either in the manner prescribed in Regulation 4, or in a temporary heat-sealed “Perfect” binding with the title, name of author, degree, date and the words “Temporary Binding for Examination Purposes” lettered on the front cover (or, if a transparent cover is used, then on the first page so that the lettering may be read through the cover). In addition, extra copies of the thesis abstract, which are not bound together with the thesis, shall be submitted. The Faculty shall determine the number of copies of thesis and unbound abstract required.

4. After receiving notification that all formal requirements for conferment of the degree have been satisfied, the successful candidate is required to submit the finalized thesis, in hard and soft copies, as specified below:

(a) sufficient hard copies of the finalized bound thesis shall be submitted to the Faculty Office. The thesis shall be bound, in one or more volumes as determined by the Librarian, with its abstract preceding the title page, between boards faced with green cloth with the title, name of author, degree, and date to be stamped on the front cover and spine in accordance with the standard layout approved by the Librarian. The titles of theses written in Chinese shall be lettered on the cover in Chinese and in English. One copy of the finalized bound thesis shall be passed to the University Libraries for cataloguing and then accessioned by the University Archives. The remaining thesis copies shall be kept by the department and the supervisor(s). Copies of the finalized abstract, which are not bound together with the thesis, shall be submitted upon individual Faculty’s request. The Faculty shall determine the total number of finalized bound thesis and unbound abstract required; and
(b) a soft copy of the thesis shall be submitted for open access in the HKU Scholars Hub. In addition, students who register on September 1, 2017 and thereafter are required to upload their bibliography when submitting their finalized theses online. Details on electronic theses are available on the website of the University Libraries.

N.B. Candidates for higher degrees are reminded that any thesis not typed or printed on the correct paper will not be accepted.
Appendix XII

Regulations Governing the Duties of Internal Examiners, External Examiners and Additional Examiners for the Degree of MPhil

(Applicable to examiners of MPhil students enrolled in or after September 1999)

1. Appointments

   a. The University of Hong Kong appoints Internal and External Examiners to assist it in ensuring that its MPhil and PhD degree examinations are conducted in accordance with international standards.

   b. The Internal Examiners shall be appointed by the Faculty and shall be Teachers of the University as defined in the Ordinance.

   c. External Examiners shall also be appointed by the Faculty and shall be persons who have completed a graduate degree at doctoral level in the discipline or in cognate area or have equivalent experiences and should as far as possible have not been involved in supervision of the thesis in question. They shall be preferably at Associate Professor level (or equivalent) or above. In special circumstances External Examiners may be appointed on the basis of relevant professional standing and experience.

   d. Two Examiners are normally appointed for a candidate, comprising one Internal Examiner and one External Examiner; but a candidate who is a Teacher or a full-time appointee of the University who provides instruction shall have two External Examiners.

   e. The primary supervisor of the thesis cannot be an examiner, but is an ex-officio non-voting member of the Thesis Examining Committee.

   f. If the External Examiner cannot be present at an oral examination or the meeting of the Thesis Examining Committee, the Faculty may appoint an Additional Examiner who meets the requirements stipulated in (c) above and who is capable of representing the External Examiner. However, in all cases where the external examiner appointment is made on or after January 1, 2005 and where not all the examiners agree that the thesis is of sufficient standard for conferment of the degree, it is mandatory for the external examiner to participate in the oral examination. The oral examination may be held by means of tele-conferencing or video-conferencing to obtain the external examiner's direct input.

   g. If for any reason it is proposed to depart from this pattern of appointments in a particular case, approval shall be sought from the Board of Graduate Studies.

   h. An appointed examiner who is not a Teacher of the University shall receive an honorarium. Only one such honorarium shall be payable to each examiner for the examination, including re-examination, of each candidate.
2. Regulations

a. One copy of the thesis to be examined shall be sent to each Internal or External Examiner by the Faculty Secretary concerned.

b. Each Internal and External Examiner shall read the thesis and shall submit a written report direct to the Faculty Secretary for transmission to the Thesis Examining Committee. The report shall take account of the following aspects of the thesis: its presentation, its quality as a work of substance (i.e., as a record of the time the candidate has spent on his / her research); its originality of thought and judgement, its quality as contribution to knowledge, where appropriate; its demonstration of techniques, where appropriate. The report shall state whether or not the thesis is of high enough standard for the award of the degree sought; shall recommend whether there should be an oral examination, a written or other examination; and may include recommendations for the contents of any or all of these examinations. The report may also require that specified corrections and amendments be made to a thesis which is otherwise judged to be of sufficient standard.

c. If there is to be a written examination, the question paper(s) shall be set and marked by the candidate’s Internal Examiner but moderated by the External Examiner.

d. If there is an oral examination, the Chairman of the Thesis Examining Committee, the External Examiner (or in some cases an Additional Examiner representing him / her if he / she is not available in Hong Kong), the Internal Examiner and the candidate’s supervisor shall be present. (In the case of a candidate who is a Teacher of the University or a full-time appointee of the University who provides instruction and for whom therefore two External Examiners are appointed, two Additional Examiners may be appointed by the Faculty for the purpose of the oral examination and the Thesis Examining Committee, each to represent one External Examiner, if both of them are not available in Hong Kong.) In cases where there is no uniform agreement on the result of the thesis and the appointment of the External Examiner is made on or after January 1, 2005 (see item 1(f) above), the External Examiner cannot be represented by an Additional Examiner. An Additional Examiner is expected to familiarize himself / herself with the content of the thesis and shall participate fully at the oral examination, raising questions posed by the Examiner whom he/she is representing as well as those occurring to himself / herself. The examination shall take particular account of points raised in the reports from the Examiners on the thesis.

e. An internal examiner may be required by the Board of Graduate Studies to oversee corrections and amendments made to the thesis and to confirm whether the revised thesis is satisfactory, or if a resubmission is required, to re-examine the thesis. An external examiner will be involved in the re-examination of the thesis if a resubmission is required but will only be involved in overseeing the final revisions to a passed thesis under special circumstances.
Appendix XIII

Regulations Governing the Duties of Internal Examiners, External Examiners and Additional Examiners for the Degree of PhD

(Applicable to examiners of PhD students enrolled in or after September 2001)

1. Appointments

   a. The University of Hong Kong appoints Internal and External Examiners to assist it in ensuring that its MPhil and PhD degree examinations are conducted in accordance with international standards.

   b. The Internal Examiners shall be appointed by the Faculty and shall be Teachers of the University as defined in the Ordinance.

   c. External Examiners shall also be appointed by the Faculty and shall be persons who have completed a graduate degree at doctoral level in the discipline or in cognate area or have equivalent experiences and should as far as possible have not been involved in supervision of the thesis in question. They shall be preferably at Associate Professor level (or equivalent) or above. In special circumstances External Examiners may be appointed on the basis of relevant professional standing and experience.

   d. Three Examiners are normally appointed for a candidate, comprising two Internal Examiners and one External Examiner; but a candidate who is a Teacher or a full-time appointee of the University who provides instruction shall have one Internal Examiner and two External Examiners.

   e. The primary supervisor of the thesis cannot be an examiner, but is an ex-officio non-voting member of the Thesis Examining Committee.

   f. If the External Examiner cannot be present at an oral examination or the meeting of the Thesis Examining Committee, the Faculty may appoint an Additional Examiner who meets the requirements stipulated in (c) above and who is capable of representing the External Examiner. However, in all cases where the external examiner appointment is made on or after January 1, 2005 and where not all the examiners agree that the thesis is of sufficient standard for conferment of the degree, it is mandatory for the external examiner to participate in the oral examination. The oral examination may be held by means of tele-conferencing or video-conferencing to obtain the external examiner's direct input.

   g. If for any reason it is proposed to depart from this pattern of appointments in a particular case, approval shall be sought from the Board of Graduate Studies.

   h. An appointed examiner who is not a Teacher of the University shall receive an honorarium. Only one such honorarium shall be payable to each examiner for the examination, including re-examination, of each candidate.
2. Regulations

a. One copy of the thesis to be examined shall be sent to each Internal or External Examiner by the Faculty Secretary concerned.

b. Each Internal and External Examiner shall read the thesis and shall submit a written report direct to the Faculty Secretary for transmission to the Thesis Examining Committee. The report shall take account of the following aspects of the thesis: its presentation, its quality as a work of substance (i.e., as a record of the time the candidate has spent on his / her research); its originality of thought and judgement, its quality as contribution to knowledge, where appropriate; its demonstration of techniques, where appropriate. The report shall state whether or not the thesis is of high enough standard for the award of the degree sought; shall recommend whether there should be a written or other examination, or both, in addition to the oral examination; and may include recommendations for the contents of any or all of these examinations. The report may also require that specified corrections and amendments be made to a thesis which is otherwise judged to be of sufficient standard.

c. If there is to be a written examination, the question paper(s) shall be set and marked by at least one of the candidate’s Internal Examiner(s) but moderated by the other Internal Examiner and the External Examiner(s).

d. At the oral examination(s), the Chairman of the Thesis Examining Committee, the External Examiner (or in some cases an Additional Examiner representing him / her if he / she is not available in Hong Kong), the Internal Examiners and the candidate’s supervisor shall be present. (In the case of a candidate who is a Teacher of the University or a full-time appointee of the University who provides instruction and for whom therefore two External Examiners are appointed, two Additional Examiners may be appointed by the Faculty for the purpose of the oral examination and the Thesis Examining Committee, each to represent one External Examiner, if both of them are not available in Hong Kong.) In cases where there is no uniform agreement on the result of the thesis and the appointment of the External Examiner is made on or after January 1, 2005 (see item 1(f) above), the External Examiner cannot be represented by an Additional Examiner. An Additional Examiner is expected to familiarize himself / herself with the content of the thesis and shall participate fully at the oral examination, raising questions posed by the Examiner whom he/she is representing as well as those occurring to himself / herself. The examination shall take particular account of points raised in the reports from the Examiners on the thesis.

e. An internal examiner may be required by the Board of Graduate Studies to oversee corrections and amendments made to the thesis and to confirm whether the revised thesis is satisfactory, or if a resubmission is required, to re-examine the thesis. An external examiner will be involved in the re-examination of the thesis if a resubmission is required but will only be involved in overseeing the final revisions to a passed thesis under special circumstances.
Appendix XIV

Regulations Governing Students’ Academic Conduct Concerning Assessment

1. These regulations cover assessments for any degree, diploma, certificate or other academic distinction or award granted by the University. For the purpose of these regulations, assessments include written examinations; written, practical and oral tests; continuous assessment; submission of any form of work; any other means of assessment as specified by the examiners; and any combination of the above.

2. A candidate shall not introduce or cause to be introduced into the place of assessment, or remove or cause to be removed therefrom, any printed or written matter or any other form of recorded matter or any blank writing paper or blotting paper or any blank recording material save with the express permission of the examiners previously conveyed by the examiners or the Examinations Secretary.

3. A candidate shall write only on his answer book and on any supplementary answer books or sheets provided for the purpose. He shall not mutilate his answer book or any supplementary answer books or sheets, and shall give up all such materials on leaving the place of assessment.

4. A candidate shall not obtain or seek to obtain advantage in the assessment by having or seeking access to unauthorized information or material or by copying or attempting to copy from, or by communicating or attempting to communicate with any other person during the time appointed for an assessment.

5. A candidate shall not impersonate another candidate, nor shall he permit himself to be impersonated at any assessment.

6. A candidate shall not engage in plagiarism nor employ nor seek to employ any other unfair means at an examination or in any other form of assessment. Plagiarism is defined as direct copying of textual material or wilful use of other people’s data and ideas, and presenting them as one’s own without acknowledgement, whether or not such materials, data and ideas have been published.

7. In conducting research, a candidate shall not engage in any misconduct which shall include, but not limited to, plagiarism; fabrication, falsification; unethical collection or unauthorized use of data; improper ascription of authorship including the listing of authors without their permission, attributing work to others who have not in fact contributed to the research, or the lack of appropriate acknowledgement of work primarily produced by another person; non-disclosure of potential conflict of interest; non-compliance with regulations including conducting research without obtaining relevant ethical approval and infringement of another person’s intellectual property rights; and other practices which seriously deviate from those commonly accepted within the academic community for proposing, conducting or reporting research.

A candidate at a University assessment who infringes any of the above regulations is liable to be the subject of a complaint before the Disciplinary Committee under the provisions of Statute XXXI-2(1)(g).
Appendix XV

Procedures for Checking of Assessment Results of Taught Courses

Introduction

1. All assessment results of courses and examinations are determined by the Board of Examiners (BoE) after careful scrutiny and deliberation by the examiners concerned and the relevant subject/departmental/Faculty committee(s). Particularly in respect of a student's failure in a written examination, or in any other written form of assessment which contributes to 50% or more of the overall result of the failed paper, the University further requires that the failure has to be determined on the basis of the assessment of more than one teacher; and that, in the case where two teachers have been involved in the assessment of the work and where there has been disagreement between the two teachers, a third opinion (normally that of an external examiner) has to be sought. Given the strict review process adopted, the BoE decisions on assessment results are final. Senate further resolved in May 2011 that General Regulation G9(g) (renumbered as G9(h) from January 2014 onward) be amended as “There shall be no appeal against the results of examinations and all other forms of assessment.” to clarify that this provision covers all forms of course assessment.

2. Notwithstanding this, students may however request checking of the final course grade or the result of any assessment component of any course if they have reason to believe that there is any procedural irregularity or technical error in the determination of that result (e.g. an error in the recording, collating or aggregation of grades/marks which contribute to the final result).

3. Such checking is not and does not entail academic re-assessment of the materials or coursework presented by the student. In other words, appeal against the academic judgment of the examiners will not be entertained.

Procedures

4. A student who wishes to request a checking of whether there has been any procedural irregularity or technical error in the determination of his/her assessment results shall apply in writing to his/her home Faculty Office, submitting a separate application for each course to be checked. The application must be dated and signed by the student and include the following information: (a) personal information (name, University number, curriculum); (b) information about the course and assessment result to be checked (course code and name, the assignment/examination in question, the assessment result obtained which is to be checked); and (c) the grounds for making the request to check. Faculties may at their discretion require their students to complete a dedicated Faculty form and/or provide additional information to facilitate the processing and consideration of the application(s). Students should approach their Faculty Office about the exact application details.

5. The application fee is HK$200 for each assessment result to be checked: for this purpose, the result of an individual assignment constitutes one assessment result as does the final (aggregated) grade of a course. Students should pay the appropriate application fee(s) using one of the payment methods described in document 152/511 amended (http://www.exam.hku.hk/pdf/111_511amend.)
pdf), attach the receipt of payment to the application(s) for submission to the Faculty Office, and retain a photocopy of the receipt as proof of payment. Should the Faculty’s investigation into a student’s request conclude that there was indeed a procedural/technical error in the determination of a particular assessment result and the assessment result in question is revised as a consequence, the application fee for checking that particular result will be refunded to the student.

6. An application for checking of procedural irregularity or technical error, together with the receipt of fee payment, should be submitted by the student as soon as possible after the release of the assessment result, and in any case must reach the Faculty Office no later than two weeks after the publication of the course’s final assessment result as determined by the BoE.

7. The Faculty Office shall arrange for such applications to be considered by the relevant examiner(s) and, where appropriate, by the BoE itself.

8. The Faculty Office shall inform the student in writing of the outcome of the checking normally within three weeks after receipt of the application.
Appendix XVI

Procedures for Lodging a Complaint of Plagiarism against a Student during an RPg Thesis Examination

The procedures set out below are stipulated by the Graduate School and make provision for suspected plagiarism cases of RPg theses only. These procedures do not govern suspected plagiarism cases of RPg/TPg/Ug coursework or TPg/Ug dissertations.

1. Whenever a suspected case of plagiarism has come to light during the examination of a student's thesis, the Thesis Examining Committee (TEC) should report the case to the Faculty Board of Examiners (BoE). The Chairperson of the Faculty BoE, in consultation with the FHDC Chairperson, has to consider the recommendations of the TEC and obtain input from the student concerned. In the event that the Faculty BoE and FHDC Chairpersons happen to be the same person, the Faculty BoE Chairperson should consult either an Associate Dean in Research/PG studies in the Faculty or a member of the FHDC or the Head of Department. If the suspected plagiarism is discovered by the supervisor before the thesis is examined by the examiners, the supervisor himself/herself may report the case to the Faculty BoE or directly to the Registrar.

2. The Faculty BoE should decide if a prima facie case of plagiarism can be established. The TEC will provide evidence but it is not expected to prove the charge. If the Faculty BoE decides that a charge should not be brought against the student, the case should be reported with reasons to the BoGS which can decide whether to bring the case to the Registrar.

3. When a prima facie case of plagiarism has been established by the Faculty BoE/BoGS, the Faculty BoE/BoGS should, within one month of such a decision, lodge a complaint with the Registrar against the student.

4. If the President & Vice-Chancellor has decided to proceed with the charge and set up a Disciplinary Committee, the Registrar, or his delegate will appoint a University representative to act as the University's representative in bringing the charge against the student. The University representative is usually the Faculty Secretary of the relevant Faculty. Subject expert(s) from the Department/Faculty will act as witness(es) and testify against the student.

5. The examination process should halt until a decision has been made by the Disciplinary Committee or until the President & Vice-Chancellor has decided that no charge should be brought against the student. The student's PGS, however, should not be affected unless and until he/she has been proven guilty and a penalty of suspension or expulsion is imposed.

6. If a decision has been made by the Disciplinary Committee that the plagiarism charge stands, the TEC should decide, depending on the extent of plagiarism committed, whether (i) the student's thesis should fail without the permission for re-submission, or (ii) the student be given a chance to revise and re-submit the thesis for a re-examination. If the student is permitted to revise and re-submit the thesis, the student should be asked to remove all parts that are plagiarized, before the thesis is submitted for a new examination. An academic staff in addition to the supervisor(s) shall be appointed to review the revised thesis based on the thesis examination reports. The degree procedure governing the re-examination of a revised thesis should apply.

7. If a penalty of suspension is imposed, the student should re-submit the thesis only after the suspension period has expired.
Appendix XVII

Procedures for the Resolution of the Grievances of Students

1. The procedures set out in this document apply to all students of the University as defined in Statute I. Paragraphs 1-5 specify the general procedures for dealing with complaints. These procedures, however, do not apply to examination results determined by the Board of Examiners. There is no provision for appeals against examination results in the University; the decisions of the Board of Examiners on examination results are final. The procedures described in the remaining paragraphs mainly related to complaints which the students may have against staff members of the University, including teachers (which for this purpose includes all persons involved in teaching activities in the University) and all other persons employed by the University of Hong Kong.

2. A student who wishes to make a complaint on an administrative or academic matter should do so to the Head of the teaching department or school, centre or unit or institute concerned, the Dean of his Faculty or the relevant committee or officer, as the case may be, either directly or through the staff-student consultative committee, class representatives, personal tutors, supervisor(s) or any other formal or informal channels. If a student is not clear about the channels through which he can make his complaint, he may seek advice from the Dean of Students.

3. In making his complaint, a student shall identify himself properly. An anonymous complaint shall or normally be dealt with, although complaints by an identified student for himself and on behalf of others will be accepted.

4. On receipt of a complaint, the Head of the department/school/centre/unit/institute, the Dean of the Faculty, the committee, or the officer concerned shall investigate the matter. It is important that all possible attempts should be made to seek remedial action at this stage, with a view to having the complaint resolved fairly and informally in a manner acceptable to all the parties concerned.

5. If it is not possible for the complaint to be resolved fairly and informally under paragraph 4 above, the Head of the department/school/centre/unit/institute, the Dean of the Faculty, or the committee or officer concerned shall refer the complaint to the President & Vice-Chancellor. The student shall be so informed, and shall be required to submit his grievance formally in writing if he has not yet done so. The written submission shall explain the grounds on which the complaint is made and the matters that constitute the grievance. The Dean of Students will be able to give advice on the preparation of the written submission.

6. The student may lodge his complaint with the President & Vice-Chancellor directly in the event

(a) that his complaint is dealt with informally in the manner described in paragraph 4 above, but he is not satisfied with the findings or action of the Head, Dean, committee or officer concerned; or

(b) he believes on reasonable grounds that his grievance will not be properly dealt with by the procedure described in paragraph 4 above.

7. The complainant must submit his grievance formally in writing to the President & Vice-Chancellor.
In addition to details of the grievance and the grounds on which the complaint is made, the written submission must also explain:

(a) why he is not satisfied with the outcome of the investigation described in paragraph 4 above; or

(b) why he believes that his complaint will not be properly dealt with in accordance with the normal procedure.

8. The President & Vice-Chancellor shall, on receipt of a complaint, take appropriate action which may include the following:

(a) considering the complaint informally and resolving it himself; or

(b) referring the complaint to the Head/Dean/Officer concerned or relevant committee or office of the University for investigation or action; or

(c) referring the complaint to an outside body, e.g., the police or ICAC, if appropriate; or

(d) referring the complaint to the chairman of the grievances panel set up in the manner described in paragraph 9 below.

The President & Vice-Chancellor shall notify the complainant accordingly. Where the complaint is referred to the Chairman of the grievances panel, the President & Vice-Chancellor shall notify the staff member(s) concerned.

9. There shall be a grievances panel which shall be chaired by a member of staff of one of the UGC-funded institutions other than the University of Hong Kong. The Chairman shall be appointed by the Council on the recommendation of the Senate. In addition to the Chairman, the grievances panel shall comprise a member from each Faculty appointed by the Council on the nomination of the Board of the Faculty concerned from amongst its members.

10. In the event that the President & Vice-Chancellor refers the complaint to the Chairman of the grievances panel the latter shall, on behalf of the President & Vice-Chancellor, set up a Committee of Enquiry to investigate the complaint.

11. The Committee of Enquiry shall be regarded as an advisory committee of the President & Vice-Chancellor and shall be responsible to him. It shall comprise the Chairman of the grievances panel and two other members of the panel appointed by the Chairman. The Chairman of the grievances panel shall be the Chairman of the Committee of Enquiry. If the Chairman of the grievances panel is unable to act at the time a Committee of Enquiry needs to be set up, members of the grievances panel shall elect an Acting Chairman from amongst themselves to chair the Committee of Enquiry and otherwise act on behalf of the Committee. The Chairman and members of the Committee of Enquiry shall be persons not otherwise involved in the grievance. The Registrar shall appoint a secretary to the Committee.

12. The responsibility of the Committee of Enquiry shall be the following:

(a) to enquire into the complaint referred to it by the President & Vice-Chancellor;

(b) to determine whether the student has a genuine grievance and to determine the relevant facts; and
(c) on completion of its investigation, to report its findings of fact to the President & Vice-Chancellor and to make recommendations to him accordingly.

13. The Committee shall have the power, in its sole discretion;

(a) to co-opt members, including not more than one student member on the understanding that if such co-option is made, the staff member(s) who is being complained of (referred to as “the staff member involved” in the remaining paragraphs of this document) can request the co-option of one member of the University staff;

(b) to have access to such University documents as are relevant for the purposes of its investigation as the President & Vice-Chancellor, in his discretion, approves; and

(c) to require the complainant, the staff member involved, and any other persons concerned to give evidence, in person and/or in writing.

14. The Committee of Enquiry shall also have the power to determine, in its sole discretion, the procedures for its enquiry, in accordance with the following guidelines:

(a) The Committee shall be fair, although any quasi-judicial procedure shall be avoided.

(b) The Committee shall act as an inquisitorial body and shall make such enquiries as it thinks fit and receive any evidence it considers relevant. It shall ask any questions it wants to of the complainant and any other person appearing before it. It shall not permit the complainant to examine or cross-examine the staff member involved or any of the witnesses, and vice-versa. The Committee is not expected to permit or request either the complainant or the staff member involved to be present at all its meetings. It may see the complainant or the staff member involved separately.

(c) The complainant and the staff member involved shall be given an opportunity to respond to any information or evidence which is brought to the attention of the Committee by either party or from any third party during its investigation and which appears, in the Committee’s sole discretion, to call for response, clarification or confirmation.

15. If a Committee of Enquiry is set up, the complainant shall be notified of this in writing. He shall, at the same time, be informed

(a) of the membership of the Committee;

(d) of his right to appear before the Committee, and his obligation to do so if so required by the Committee;

(c) of the fact that the staff member involved will receive, in confidence, details of the complainant’s written submission and that the complainant will be provided, also in confidence, with the written statement from that staff member referred in paragraph 18(a) below;

(d) of his right to present evidence and/or to call witnesses (or request the Committee to do so on his behalf);

(e) of his right to bring with him a friend or an adviser, who may speak on his behalf, when appearing before the Committee;
of the procedures to be adopted, and the powers and duties of the Committee of Enquiry (including the fact that the Committee reports its findings to the President & Vice-Chancellor, and does not have the power to dispose of the complaint itself in whatever manner);

of the fact that he will receive a confidential report from the Committee of Enquiry on the completion of its investigation;

of the confidential nature of the proceedings, and of his obligation to maintain that confidentiality; and

of the fact that a student who lodges a complaint against a staff member of the University maliciously or without reasonable cause may be the subject of a complaint before the Disciplinary Committee.

16. The complainant shall be asked to state in writing, by a specified date in advance of the hearing, whether he wishes to submit any additional evidence or whether he will appear in person with or without a friend or an adviser, and whether he wishes the Committee to call any witnesses on his behalf. He shall provide a written notice of the name and status of his friend/adviser and/or the witnesses whom he wishes the Committee to call.

17. The complainant shall be given not less than 7 days’ notice of the date, time and venue of his appearance before the Committee.

18. If a Committee of Enquiry is set up, the staff member against whom the complaint is lodged shall be notified of the complaint in writing, and shall be provided, in confidence, with the written submission of the complainant. He shall be informed at the same time:

(a) of the membership of the Committee;

(b) of his right to submit a statement in writing, on the understanding that the complainant will be provided, in confidence, with a copy of such written statement; and/or to appear before the Committee to present his statement in person; and/or to call witnesses (or request the Committee to do so on his behalf);

(c) of his right to bring with him a friend or an adviser, who may speak on his behalf, when appearing in front of the Committee;

(d) of the procedures to be adopted, and of the powers and duties of the Committee of Enquiry (including the fact that the Committee reports its findings to the President & Vice-Chancellor, and does not have the power to dispose of the complaint itself in whatever manner);

(e) of the fact that he will receive a confidential report from the Committee of Enquiry on the completion of its investigation; and

(f) of the confidential nature of the proceedings, and his obligation to maintain that confidentiality.

19. The Committee shall complete its investigation and proceedings as quickly as possible and normally within one month of its establishment. On completion of its investigation, the Committee shall report its findings of fact and its recommendations to the President & Vice-Chancellor. On receipt of the report, the President & Vice-Chancellor shall decide upon the appropriate action to be taken. The student and the staff member involved shall be promptly notified in writing of the decision of the President & Vice-Chancellor.
20. On completion of its investigation, the Committee’s report containing its findings of fact and its recommendations shall be released to both the complainant and the staff member involved on a confidential basis.

21. During all stages of the proceedings, the complaint, its details and the Committee’s report shall be dealt with by all parties concerned in strict confidence. Unauthorized disclosure of any information, details or documents relating to the report may result in appropriate action by the President & Vice-Chancellor.

22. At the end of each academic year, the President & Vice-Chancellor shall submit to the Senate and the Council a general report on complaints received from students during the year.
Powers of the Disciplinary Committee

In accordance with Statute XXXI, the Disciplinary Committee of the University is empowered to investigate and make findings upon any complaint ordered to be brought before it by the Vice-Chancellor against a student who is alleged to have committed any of the following:

a. an offence for which the student has been convicted in any court of law;

b. assault or battery against the person of any officer, member, employee or student of the University;

c. defamation of any officer, member, employee or student of the University;

d. wilful damage to or defacement of any property of any officer, member, employee or student of the University;

e. wilful damage to or defacement of any property of the University or of approved halls and other accommodation approved for the residence of students, or use or occupation of the same otherwise than in accordance with the rules or other provision made therefore by the appropriate University authority;

f. theft, fraud, misapplication of University funds or property of any kind;

g. an offence in connection with degree, diploma, or certificate examinations, including violation of any of the regulations of the Senate governing conduct at examinations or otherwise;

h. falsification or serious misuse of University documents or records or both, including (without prejudice to the generality of the foregoing) certificates in connection with degrees and other academic distinctions;

i. false pretences, misrepresentation, fraud or personation of others, within or without the University, in connection with academic attainments or financial awards, or otherwise in connection with the University;

j. refusal or failure to comply with any order of the Vice-Chancellor or, if he is not available, a Pro-Vice-Chancellor, prohibiting any conduct which he has reasonable cause to believe is likely –

   (i) to disrupt teaching, study, research or the administration of the University; or

   (ii) to obstruct any officer or employee of the University in the performance of his duties;

k. refusal or failure to attend upon or comply with any summons before or order of or decision made by the Committee or by the Vice-Chancellor in exercise of his disciplinary powers or by the Council;

l. refusal or failure to comply with any order of any officer or teacher prohibiting conduct which he is reasonably satisfied –
(i) is disrupting teaching, study, research or the administration of the University; or

(ii) is obstructing any officer or employee of the University in the performance of his duties;

m. refusal or failure to comply with any reasonable order of the warden of a hall relating to regulations governing residence made by the Senate or individual hall rules made in pursuance of such regulations;

n. maliciously and without reasonable cause laying a complaint against any officer member, or employee of the University;

o. ragging; without prejudice to the generality of the term, “ragging” shall include conduct intended –

(i) to humiliate another student or hold him up to ridicule; or

(ii) to interfere with the peaceable enjoyment by another student of his privileges, benefits, rights or facilities.

Enquiries about the Disciplinary Committee should be addressed to the Registrar.
Appendix XIX

Board of Graduate Studies

(Sub-Committee of the Policy Board of Postgraduate Education)

I. POWERS AND DUTIES

1. To implement policies and guidelines on research postgraduate studies as determined by the Policy Board of Postgraduate Education, and to play a quality assurance role to ensure the adoption of the same throughout the University, including:

(a) the structure and requirements of the degree programmes followed by MPhil and PhD students;
(b) the standards and procedures for admission to the MPhil and PhD degree programmes;
(c) the standards and conditions for the award of postgraduate scholarships;
(d) the progress of MPhil and PhD students; and
(e) the appointment of supervisors for MPhil and PhD students.

2. To consider recommendations from Faculties on student admission to MPhil and PhD programmes, and the award of scholarships, where appropriate; and to make a final decision whether the applicant be given an offer or conditional offer or be rejected.

3. In respect of the degrees of MPhil and PhD, to consider recommendations from the Faculty’s Boards of Examiners or other committees when all examinations procedures have been completed and:

(a) to determine the results of coursework and thesis examinations;
(b) to exercise the power of the Senate in deciding that successful candidates who have complied fully with the regulations be presented to the Chancellor for the conferment of the degree;
(c) to permit candidates who have not satisfied the examiners to revise and re-present their theses, or to re-present themselves for another oral and any other examinations(s) in accordance with the regulations; or to reject the candidates without the option of resubmission of theses, as the case may be.

4. To approve the syllabuses of Graduate School courses, and to provide feedback on course evaluation to servicing Centres/Departments and/or Faculties, as appropriate.

5. To make a final decision on recommendations from Faculties for a waiver of regulations and/or procedures in cases of individual MPhil and PhD students.
6. To decide the award of scholarships/prizes to MPhil and PhD students in accordance with the regulations governing the awards.

7. To recommend changes in regulations and/or procedures governing the MPhil and PhD degree programmes to the Policy Board of Postgraduate Education.

8. To form sub-committees to carry out specific tasks related to MPhil and PhD studies as deemed appropriate by the Board.

9. To report annually to the Policy Board of Postgraduate Education.

II. MEMBERSHIP

1. The Dean of the Graduate School or his/her designate shall be the Chairperson.

2. Up to two Associate Deans of the Graduate School.

3. Chairperson of each Faculty Higher Degrees Committee.

4. Up to two teachers co-opted by the Board for two years at a time.

5. The President & Vice-Chancellor (statutory).
Regulations for the Degree of Master of Philosophy (MPhil)

(Applicable to the September 2007 and subsequent intakes)

MPH1. Definition

The degree of Master of Philosophy (MPhil) is a research postgraduate degree. Such a degree shall be awarded to a candidate who, on the successful completion of formal coursework requirements, and on the completion of an approved scheme of research,

(a) presents a successful thesis representing the result of the candidate's research which displays some originality and which demonstrates a sound understanding of the field of study and appropriate research methods; and

(b) satisfies the examiners in an oral examination (and any other examination if required) in matters relevant to the subject of the thesis.

MPH2. Admission Requirements

A candidate who:

(a) complies with the General Regulations;

(b) holds either

(i) a Bachelor's degree with honours from this University; or

(ii) another qualification of equivalent standard from this University or from another university or comparable institution accepted for this purpose; and

(c) holds any additional qualifications as may be required by the Faculty concerned; and

(d) satisfies the examiners in a qualifying examination if required;

shall be considered for admission.

MPH2A. A candidate who does not hold a Bachelor's degree with honours from this University or another qualification of equivalent standard may in exceptional circumstances be permitted to register for the degree on demonstrating adequate preparation for research studies at this level, and satisfying the examiners in a qualifying examination.

MPH3. Qualifying Examination

(a) A qualifying examination may be set to test the candidate's ability to pursue the research project
proposed. A qualifying examination shall consist of one or more invigilated written examination papers; additionally, the invigilated written paper(s) may be supplemented by other forms of examination.

(b) A candidate who is required to sit for a qualifying examination shall not be permitted to register until all examination requirements are satisfied.

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**MPH4. Registration**

(a) A candidature shall commence upon registration, which is permitted only on the first day of September or the first day of January of each year.

(b) A student may register as a full-time candidate when he or she holds

(i) no employment, except as a University research assistantship as specified in Regulation MPH4(b)(iii) below; or

(ii) part-time employment (whether inside or outside the University), provided that the employment entails not more than 150 hours of work per annum; or

(iii) a University research assistantship, provided that the work undertaken in this capacity is focused on the topic of the holder’s research degree study.

The full or part-time status of the candidature must be affirmed in the form of a written declaration by the Chairman of the Departmental Research Postgraduate Committee and the student.

(c) A full-time candidate may hold a University postgraduate scholarship (PGS) or other postgraduate studentship or scholarship intended to enable him or her to study on a full-time basis. A holder of the University postgraduate scholarship shall also observe the Regulations Governing Postgraduate Scholarships.

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**MPH5. Probation and Confirmation of Candidature**

(a) A candidate whose application is accepted shall be subject to a probationary period of twelve months in the case of a full-time candidate or eighteen months in the case of a part-time candidate. By the end of this probationary period, the candidate must demonstrate capability in research, submit a detailed scheme of research and a Data Management Plan (DMP), where applicable, and complete the required proportion of coursework prescribed by the Policy Board of Postgraduate Education.

(b) Before the end of the probationary period, the Faculty shall make a decision on whether the candidature shall be confirmed or terminated.

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**MPH6. Transfer of Candidature**

(a) A candidate whose candidature has been confirmed and who has satisfactorily completed all coursework requirements may be permitted to transfer the candidature to the degree of PhD, provided that such transfer is approved at least three months prior to the expiry of the MPhil candidature.
(b) At any stage of his/her studies, a candidate may be permitted to transfer from full-time to part-time candidature for the same degree. A candidate may similarly be permitted to transfer from part-time to full-time candidature for the same degree, provided that the requisite coursework requirements can be completed before submission of the thesis.

(c) Any transfer shall take effect only on the first day of any calendar month.

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**MPH7. Period of Study**

(a) A candidate registered for the degree shall follow an approved course of study and research under at least one supervisor for a period of 24 months in the case of a full-time candidate, and 36 months in the case of a part-time candidate, beginning on September 1 or January 1. The minimum study period is half of the study period.

(b) A candidate shall be required to spend the whole period of study in Hong Kong, unless leave of absence, provided for under Regulation MPH9 below, has been granted. Since part-time students may have a full-time job which demands them to be away from Hong Kong from time to time, they may be granted approval to be away from Hong Kong for up to six months in any academic year (*see Note*).

(c) Any extra period allowed for revision or resubmission under Regulation MPH16A shall not count towards the period of study.

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**MPH8. Coursework Requirements**

(a) The approved course of study and research specified in Regulation MPH7(a) shall include a coursework component, the objective of which is to aid research work and preparation for writing the thesis.

(b) The formal requirements relating to such coursework shall be determined by the Policy Board of Postgraduate Education from time to time.

(c) The coursework requirements must be fulfilled before the candidate is permitted to submit the thesis.

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**MPH9. Leave of Absence**

(a) Research study in the University is considered a year-round activity that continues between terms and throughout the summer months.

(b) A candidate who wishes to be absent from Hong Kong and/or the approved course of study and research, or who proposes to take vacation, shall be required to submit a written application for leave of absence (*see Note*). The types of leave are as follows:

   **Vacation Leave**

(c) A candidate may be granted up to 14 days of vacation, excluding Saturday afternoons, Sundays and public holidays, in each twelve months during his/her period of study as specified in Regulation MPH7. This is however not an entitlement. Whether approval will be granted to a candidate
will depend on the progress of the candidate and the requirement of the candidate to provide departmental services associated with his/her PGS as stipulated in the Regulations Governing Postgraduate Scholarships. Leave of absence granted for vacation shall be counted towards the period of study, and the candidate will continue to receive PGS, where applicable, during vacation leave.

**Study Leave**

(d) A candidate may be granted study leave for the purposes of study or research outside Hong Kong. Unless special circumstances warrant an exception, leave of absence under this category shall not normally be granted for a cumulative period of more than twelve months for the entire period of study, except in the case of a candidate undertaking research at an overseas partner institution with which the University has entered into a formal exchange agreement and in which case study leave of up to half of the period of study as defined in MPH7 may be granted. Any period of study leave granted shall be counted towards the period of study, and the candidate will continue to receive PGS, where applicable, during study leave.

**Non-study leave**

(e) A candidate may be granted non-study leave when he/she is best advised for personal, health, or other reasons to have time completely away from his/her academic responsibilities. Under no circumstances shall leave of absence under this category be granted on each occasion for a period of less than 7 calendar days or cumulatively for a period of more than twelve months for the entire period of study. A candidate shall apply for vacation leave to cover leave of a non-study nature of less than 7 calendar days. Any period of non-study leave granted shall result in the extension of the period of study by the period of absence, and the PGS payment, where applicable, will be suspended during non-study leave.

**Sick Leave**

(f) A candidate shall follow the arrangements on sick leave as specified in General Regulation G8(b) (i) on the understanding that the candidate shall also inform his/her supervisor and Department immediately of his/her sick leave. The candidate will continue to receive PGS, where applicable, during sick leave.

**Maternity Leave**

(g) A candidate who has maternity need may apply for *either* non-study leave or maternity leave, based on her own need. Maternity leave is a continuous period of ten weeks, and shall be granted provided that medical proof is submitted as required. Any period of maternity leave granted shall be counted towards the period of study, and the candidate will continue to receive PGS, where applicable, during maternity leave.

**Paternity Leave**

(h) A candidate shall be granted paternity leave of up to five days for each confinement of his spouse/partner, provided that documents in support of his application are submitted as required. The candidate may take all five days of leave in one go or on separate days. Any period of paternity leave granted shall be counted towards the period of study, and the candidate will continue to receive PGS, where applicable, during paternity leave.
MPH10. Progress

A candidate shall submit a progress report at six-monthly intervals, and may be required to give one or more seminars on any part of his or her course of study and research.

MPH11. Discontinuation

A candidature may be discontinued

(a) if academic progress is not satisfactory; or

(b) if the student has failed to meet the requirements as stipulated in this set of Regulations.

MPH12. Notice of Intention to Submit Thesis

To allow sufficient time for appointment of examiners for thesis and an oral examination, a candidate shall serve written notice of intention to submit a thesis for examination at least 3 months prior to the expected date of submission. The notice shall be accompanied by a provisional thesis title.

MPH13. Submission of Thesis

(a) A candidate shall submit sufficient copies of his/her thesis for examination, in accordance with paragraph 3 of the regulations governing the format, binding, and presentation of theses, together with a written declaration that the thesis represents the candidate’s own work.

(b) A candidate shall not submit work that has been included in a thesis, dissertation or report which either has been previously submitted to this University or any other institution, or being submitted to any other institution, for a degree, diploma, or other qualifications. Original work of the student related to the thesis may be published prior to submission of the thesis and may be included in the thesis.

MPH14. Examinations

(a) A candidate shall be examined by examiners appointed for this purpose both on the thesis itself, and at an oral examination on the subject of the thesis and/or the approved course of study and research. A candidate may also be examined by other means.

(b) A candidate's coursework shall also be assessed by examiners appointed for this purpose.

MPH15. Coursework Examination Results

(a) Coursework shall be assessed on a pass/fail basis.

(b) A candidate who has not satisfied the examiners in respect of the coursework requirements at the first attempt shall be re-examined in the same, or an equivalent, course. A candidate who does not satisfy the examiners in such re-examination may be required to discontinue his or her studies.
(c) A candidate who is unable to be present for any written examination due to acceptable extenuating circumstances may apply for permission to present himself or herself at a supplementary examination.

MPH16. Thesis Examination Results

A candidate who has satisfied the examiners shall be recommended for conferment of the degree of Master of Philosophy.

MPH16A. A candidate who has not satisfied the examiners

(a) may be required to resubmit the thesis after making corrections and amendments as required by the Board of Examiners, without a new examination; or

(b) may be required to revise and resubmit the thesis for a new examination within a specified period, and may also be required to satisfy the examiners at an oral examination, or any other examination as appropriate, on the subject of the revised thesis and/or the approved course of study and research; or

(c) may be required to attend a new oral examination, or any other examination as appropriate, within a period not exceeding six months; or

(d) may be deemed to have failed, without the option of resubmission.

MPH17. Publication based on Thesis

Any publication based on work approved for a higher degree should contain a reference to the effect that the work was submitted to The University of Hong Kong for the award of the degree.

Note: For the purpose of this Regulation, a candidate is considered to be absent from Hong Kong when he/she is outside Hong Kong and is not able to conduct studies in the normal manners in the University. A candidate who resides near the vicinity of Hong Kong which allows him/her to return to the University campus for his/her studies in the same manner as other students is not regarded as being absent from Hong Kong.
**Regulations for the Degree of Doctor of Philosophy (PhD)**

(Applicable to the September 2007 and subsequent intakes)

**PHD1. Definition**

The degree of Doctor of Philosophy (PhD) is a research postgraduate degree. Such a degree shall be awarded to a candidate who

(a) satisfactorily completes coursework, where prescribed;

(b) presents a successful thesis representing the result of the candidate’s research which should be an original contribution to knowledge and worthy of publication; and

(c) satisfies the examiners in an oral examination (and any other examination if required) in matters relevant to the subject of the thesis.

**PHD2. Admission Requirements**

The University of Hong Kong offers both 3-year and 4-year PhD programmes.

(a) A candidate who:

(i) complies with the General Regulations;

(ii) holds either:

1) a Bachelor’s degree with honours and a taught Master’s degree or another qualification of equivalent standard from this University or from another university or comparable institution accepted for this purpose; or

2) a Bachelor’s degree with normally first class honours from this University or another qualification of equivalent standard from this University or from another University or comparable institution accepted for this purpose;

(iii) holds any additional qualifications as may be required by the Faculty concerned; and

(iv) satisfies the examiners in a qualifying examination if required;

shall be considered for admission to a 4-year programme.

(b) A candidate who:

(i) complies with the General Regulations;

(ii) holds a Bachelor’s degree with honours and a research Master’s degree or another qualification of equivalent standard from this University or from another university or comparable institution accepted for this purpose;
(iii) holds any additional qualifications as may be required by the Faculty concerned; and
(iv) satisfies the examiners in a qualifying examination if required;

shall be considered for admission to a 3-year programme.

PHD3. Qualifying Examination

(a) A qualifying examination may be set to test the candidate’s ability to pursue the research project proposed. A qualifying examination shall consist of one or more invigilated written examination papers; additionally, the invigilated written paper(s) may be supplemented by other forms of examination.

(b) A candidate who is required to sit for a qualifying examination shall not be permitted to register until all examination requirements are satisfied.

PHD4. Registration

(a) A candidature shall commence upon registration, which is permitted only on the first day of any calendar month.

(b) A student may register as a full-time candidate when he or she holds

(i) no employment, except as a University research assistantship as specified in Regulation PHD4(b)(iii) below; or

(ii) part-time employment (whether inside or outside the University), provided that the employment entails not more than 150 hours of work per annum; or

(iii) a University research assistantship, provided that the work undertaken in this capacity is focused on the topic of the holder’s research degree study.

The full or part-time status of the candidature must be affirmed in the form of a written declaration by the Chairman of the Departmental Research Postgraduate Committee and the student.

(c) A full-time candidate may hold a University postgraduate scholarship (PGS) or other postgraduate studentship or scholarship intended to enable him or her to study on a full-time basis. A holder of the University postgraduate scholarship shall also observe the Regulations Governing Postgraduate Scholarships.

PHD5. Probation and Confirmation of Candidature

(a) A candidate whose application is accepted shall be subject to a probationary period. For a candidate in a 4-year degree programme, the probationary period shall be eighteen months for full-time studies or twenty-four months for part-time studies. For a candidate in a 3-year degree programme, the period shall be twelve months in the case of full-time studies or eighteen months in the case of part-time studies. By the end of this probationary period, the candidate must demonstrate capability in research, submit a detailed scheme of research and a Data Management Plan (DMP), where applicable, and complete the required proportion of coursework prescribed by the Policy Board of Postgraduate Education.
(b) Before the end of the probationary period, the Faculty shall make a decision on whether the candidature shall be confirmed or terminated.

**PHD6. Transfer of Candidature**

(a) A candidate registered for a 3-year or 4-year PhD degree programme may apply for transfer to MPhil candidature within the following time-frames:

<table>
<thead>
<tr>
<th>3-year PhD Programme</th>
<th>4-year PhD Programme</th>
</tr>
</thead>
<tbody>
<tr>
<td>Full-time</td>
<td>Part-time</td>
</tr>
<tr>
<td>12 months</td>
<td>18 months</td>
</tr>
<tr>
<td>18 months</td>
<td>27 months</td>
</tr>
</tbody>
</table>

The Faculty, on the recommendation of the DRPC, shall decide whether the transfer is approved. Upon successful transfer to MPhil candidature, the candidate shall follow the set of Regulations and Procedures for MPhil candidates on his/her studies.

(b) At any stage of his/her studies, a candidate may be permitted to transfer from full-time to part-time candidature (or vice versa) for the same degree, provided that the requisite coursework requirements can be completed before submission of the thesis.

(c) Any transfer shall take effect only on the first day of any calendar month.

**PHD7. Period of Study**

(a) A candidate registered for the degree shall follow an approved course of study and research under at least one supervisor. Studies shall commence on the first day of candidature, with the following time-limits:

<table>
<thead>
<tr>
<th>3-year PhD Programme</th>
<th>4-year PhD Programme</th>
</tr>
</thead>
<tbody>
<tr>
<td>Full-time</td>
<td>Part-time</td>
</tr>
<tr>
<td>36 months</td>
<td>54 months</td>
</tr>
<tr>
<td>48 months</td>
<td>72 months</td>
</tr>
</tbody>
</table>

The minimum study period is half of the study period. In order to safeguard the standard of a PhD degree, a candidate who has successfully transferred his/her MPhil candidature to the degree of PhD is required to enroll in the PhD programme for at least 12 months (for full-time candidate) or 18 months (for part-time candidate) after formal approval of the transfer. In any case, his/her minimum study period, counting from the initial date of his/her MPhil registration, should not be less than half of the study period as stipulated in the table above.

(b) A candidate shall spend the whole period of study in Hong Kong, unless leave of absence, provided for under Regulation PHD9 below, has been granted. Since part-time students may have a full-time job which demands them to be away from Hong Kong from time to time, they may be granted approval to be away from Hong Kong for up to six months in any academic year (see Note).

(c) Any extra period allowed for revision or resubmission under Regulation PHD16A shall not count towards the period of study.
PHD8. Coursework Requirements

(a) The approved course of study and research specified in Regulation PHD7(a) shall include a compulsory coursework component in a 4-year degree programme, the objective of which is to aid research work and preparation for writing the thesis. The formal requirements relating to such coursework shall be determined by the Policy Board of Postgraduate Education from time to time.

(b) A candidate registered for a 3-year degree programme may also be required to take courses and satisfy coursework requirements.

(c) The coursework requirements must be fulfilled before the candidate is permitted to submit the thesis.

PHD9. Leave of Absence

(a) Research study in the University is considered a year-round activity that continues between terms and throughout the summer months.

(b) A candidate who wishes to be absent from Hong Kong and/or the approved course of study and research, or who proposes to take vacation, shall be required to submit a written application for leave of absence (see Note). The types of leave are as follows:

Vacation Leave

(c) A candidate may be granted up to 14 days of vacation, excluding Saturday afternoons, Sundays and public holidays, in each twelve months during his/her period of study as specified in Regulation PHD7. This is however not an entitlement. Whether approval will be granted to a candidate will depend on the progress of the candidate and the requirement of the candidate to provide departmental services associated with his/her PGS as stipulated in the Regulations Governing Postgraduate Scholarships. Leave of absence granted for vacation shall be counted towards the period of study, and the candidate will continue to receive PGS, where applicable, during vacation leave.

Study Leave

(d) A candidate may be granted study leave for the purposes of study or research outside Hong Kong. Unless special circumstances warrant an exception, leave of absence under this category shall not normally be granted for a cumulative period of more than twelve months for the entire period of study, except in the case of a candidate undertaking research at an overseas partner institution with which the University has entered into a formal exchange agreement and in which case study leave of up to half of the period of study as defined in PHD7 may be granted. Any period of study leave granted shall be counted towards the period of study, and the candidate will continue to receive PGS, where applicable, during study leave.

Non-study leave

(e) A candidate may be granted non-study leave when he/she is best advised for personal, health, or other reasons to have time completely away from his/her academic responsibilities. Under no circumstances shall leave of absence under this category be granted on each occasion for a period of less than 7 calendar days or cumulatively for a period of more than twelve months for the entire period of study. A candidate shall apply for vacation leave to cover leave of a non-study nature of less than 7 calendar days. Any period of non-study leave granted shall result in the extension
of the period of study by the period of absence, and the PGS payment, where applicable, will be suspended during non-study leave.

**Sick Leave**

(f) A candidate shall follow the arrangements on sick leave as specified in General Regulation G8(b)(i) on the understanding that the candidate shall also inform his/her supervisor and Department immediately of his/her sick leave. The candidate will continue to receive PGS, where applicable, during sick leave.

**Maternity Leave**

(g) A candidate who has maternity need may apply for either non-study leave or maternity leave, based on her own need. Maternity leave is a continuous period of ten weeks, and shall be granted provided that medical proof is submitted as required. Any period of maternity leave granted shall be counted towards the period of study, and the candidate will continue to receive PGS, where applicable, during maternity leave.

**Paternity Leave**

(h) A candidate shall be granted paternity leave of up to five days for each confinement of his spouse/partner, provided that documents in support of his application are submitted as required. The candidate may take all five days of leave in one go or on separate days. Any period of paternity leave granted shall be counted towards the period of study, and the candidate will continue to receive PGS, where applicable, during paternity leave.

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**PHD10. Progress**

A candidate shall submit a progress report at six-monthly intervals, and may be required to give one or more seminars on any part of his or her course of study and research.

**PHD11. Discontinuation**

A candidature may be discontinued

(a) if academic progress is not satisfactory; or

(b) if the student has failed to meet the requirements as stipulated in this set of Regulations.

**PHD12. Notice of Intention to Submit Thesis**

To allow sufficient time for the appointment of examiners for a thesis and an oral examination, a candidate shall serve written notice of intention to submit a thesis for examination at least 3 months prior to the expected date of submission. The notice shall be accompanied by a provisional thesis title.

**PHD13. Submission of Thesis**

(a) A candidate shall submit sufficient copies of his/her thesis for examination, in accordance with paragraph 3 of the regulations governing the format, binding and presentation of theses, together with a written declaration that the thesis represents the candidate's own work.
(b) A candidate shall not submit work that has been included in a thesis, dissertation or report which either has been previously submitted to this University or any other institution, or being submitted to any other institution, for a degree, diploma, or other qualifications, except in the case of a candidate who has registered in a PhD double degree programme of this University and another institution with which the University has entered into a formal agreement in respect of the programme. Original work of the student related to the thesis may be published prior to submission of the thesis and may be included in the thesis.

PHD14. Examinations

(a) A candidate shall be examined by examiners appointed for this purpose both on the thesis itself, and at an oral examination on the subject of the thesis and/or the approved course of study and research. A candidate may also be examined by other means.

(b) A candidate’s coursework shall also be assessed by examiners appointed for this purpose.

PHD15. Coursework Examination Results

(a) Coursework shall be assessed on a pass/fail basis.

(b) A candidate who has not satisfied the examiners in respect of the coursework requirements at the first attempt shall be re-examined in the same, or an equivalent, course. A candidate who does not satisfy the examiners in such re-examination may be required to discontinue his or her studies.

(c) A candidate who is unable to be present for any written examination due to acceptable extenuating circumstances may apply for permission to present himself or herself at a supplementary examination.

PHD16. Thesis Examination Results

A candidate who has satisfied the examiners shall be recommended for conferment of the degree of Doctor of Philosophy.

PHD16A. A candidate who has not satisfied the examiners

(a) may be required to resubmit the thesis after making corrections and amendments as required by the Board of Examiners, without a new examination; or

(b) may be required to revise and resubmit the thesis for a new examination within a specified period, and may also be required to satisfy the examiners at a new oral examination, or any other examination as appropriate, on the subject of the revised thesis and/or the approved course of study and research; or

(c) may be required to attend a new oral examination, or any other examination as appropriate; or

(d) may be deemed to have failed, without the option of resubmission.

PHD17. Publication based on Thesis

Any publication based on work approved for a higher degree should contain a reference to the effect that the work was submitted to The University of Hong Kong for the award of the degree.
Note: For the purpose of this Regulation, a candidate is considered to be absent from Hong Kong when he/she is outside Hong Kong and is not able to conduct studies in the normal manners in the University. A candidate who resides near the vicinity of Hong Kong which allows him/her to return to the University campus for his/her studies in the same manner as other students is not regarded as being absent from Hong Kong.
Appendix XXII

Procedures for the Degree of Master of Philosophy (MPhil)

(Applicable to students enrolled in or after September 2011)

Preamble

“Faculty” as stated in the procedures below refers to the Faculty Higher Degrees Committee (FHDC) and/or the Faculty Board. Always bearing in mind the constitutional powers and duties of the two bodies, each faculty can determine whether it wishes to have the Faculty Board delegating responsibility to the FHDC, subject to the approval of the Senate, or maintain the status quo, or undertake other approaches as appropriate.

“Departmental Research Postgraduate Committee (DRPC)” and “Department” mentioned below do not apply to unitary Faculties, where the terms should be replaced by “FHDC” and “Faculty”.

MPH2. and MPH2A.  Admission Requirements

1. Enquiries from intending applicants which precede a formal application for admission should be directed to the relevant department for a reply.

2. Before submission of a formal application, Departments and potential applicants are encouraged to discuss the proposed research plan, the availability of appropriate supervision and funding, and the suitability of the applicant to pursue programmes offered by the department.

3. A candidate for registration shall submit to the Graduate School an application on the appropriate form, together with the prescribed application fee and documentation. Academic Referees’ Reports should be forwarded to the Graduate School by the referees at the same time as the application is submitted. Individual departments should decide whether further documentation is required.

4. Applicants who are seeking admission on the basis of qualifications from overseas universities or comparable institutions of which the language of teaching and/or examination is not English are required to submit evidence that they have obtained a score or grade as specified in General Regulation G2(b) in any one of the listed tests of English proficiency; unless in special circumstances they are exempted from this requirement by the Board of Graduate Studies (BoGS) upon the recommendation of the relevant Board of Faculty.

5. An application, together with the recommendation of the DRPC and the name(s) of the proposed supervisor(s), shall be considered by the Faculty for recommendation to the BoGS. The Graduate School shall consider whether an applicant is eligible for admission under Regulation MPH2(b) of the Regulations for the Degree of Master of Philosophy and General Regulation G2(b).

6. The BoGS shall decide:

   (a) where the applicant is eligible for admission, that he or she be admitted with or without being subject to the requirement of passing a qualifying examination (see Procedure MPH3 below); or
(b) where the applicant satisfies the requirements for admission in all respects except that relating to English proficiency as stipulated in General Regulation G2(b), that the applicant be admitted through a waiver of the requirement, where there are special circumstances which merit the granting of such a waiver; or

(c) where the applicant is not eligible for admission under Regulation MPH2(b),

(i) that the applicant be admitted exceptionally under Regulation MPH2A, in the light of the criteria approved by the BoGS; or

(ii) that the applicant be conditionally admitted subject to his or her attaining academic qualifications which satisfy Regulation MPH2(b); or

(d) that the application is deemed unsuccessful.

The Graduate School shall notify the applicant of the decision of the BoGS via the on-line application system. In addition, offers/conditional offers will be sent to successful applicants separately.

7. A recommendation on whether or not to admit shall normally be made by the Faculty within one month of the receipt of the application by the DRPC.

8. The offer of admission shall contain a stipulation that the candidate must confirm in writing that he or she would comply with the rules and regulations of the University, and in particular, with the provision regarding the prohibition of concurrent registration.

9. Once an application is deemed unsuccessful, all documentation pertaining to that applicant shall be destroyed. All documentation pertaining to successful applicants shall be retained.

**MPH3. Qualifying Examination**

Where a qualifying examination is required, the Faculty shall appoint at least two examiners on the recommendation of the DRPC. A recommendation on pass or fail shall be made by the examiners to the FHDC. The Faculty shall then make a recommendation to the BoGS for approval or otherwise of admission under the relevant programme.

**MPH4. Registration and Fee Payment**

1. A candidate shall be permitted to register only on the first day of September or January of each year.

2. The Chairman of the DRPC and the candidate shall confirm the candidate’s status as full-time or part-time as defined in Regulation MPH4(b).

3. The fees for higher degree studies shall be charged as set out in the General Regulations. Fees shall be charged even if a candidate is pursuing his or her study overseas. Once a thesis is submitted for examination a candidate need not pay additional fees, unless he or she is required to revise and resubmit the thesis for a new examination, whereupon a second examination fee is charged.
MPH5. Probation and Confirmation of Candidature

1. One month before the expiry of the probationary period under Regulation MPH5, the supervisor(s) and the candidate shall be required to submit respectively to the DRPC a “Supervision Report” (only one Report should be submitted for each student) and a “Candidate’s Progress Report” (to which a detailed scheme of research must be attached, with documentary evidence showing that the relevant ethical approval has been obtained for research work on his/her thesis, if any). In addition, a candidate who registers in September 2017 and thereafter has to submit a Data Management Plan (DMP) before the expiry of his/her probationary period if data is to be collected or generated as part of the research. Details of submission of DMP are available on the website of the University Libraries (http://lib.hku.hk/researchdata/rpg.htm).

2. A candidate shall also be required to have satisfactorily completed all the Graduate School courses and at least 50% of the remaining prescribed coursework by the end of the probationary period. Failure to do so may lead to the termination of candidature.

3. The DRPC shall consider the reports and the DMP, where applicable, together with the coursework results of the candidate; and shall submit the reports and the DMP, where applicable, and a recommendation on the confirmation or termination of the candidature, or an extension/shortening of the probationary period to the Faculty for a decision.

4. Only under very justified circumstances should the Faculty approve an application for shortening of the probationary period.

MPH6. Transfer of Candidature

1. A candidate whose candidature has been confirmed and who has satisfactorily completed all coursework requirements may, if he or she so wishes, apply for transfer from the MPhil degree to the PhD degree. The candidate shall submit an application in writing, together with a revised research proposal, endorsed by the supervisor(s), and provide evidence of written work e.g. some sample writing of the thesis or published paper in which the candidate has played a major role, to the DRPC. The candidate shall be required to conduct an oral presentation in relation to the research plan before the Committee that considers the application for transfer. The application shall then, together with the recommendation from the DRPC, be submitted for a decision by the Faculty, which shall inform the Graduate School. Such transfer, if approved, shall be effected at least three months prior to the expiry of the MPhil candidature unless special approval has been given by the Faculty. In any case, the transfer shall not take place after the expiry of the MPhil candidature or during the period of extension of MPhil candidature. The candidate’s period of study for the degree shall be counted from the initial date of registration.

2. A candidate who wishes to apply for transfer from full-time to part-time candidature (or vice versa) shall submit an application in writing, endorsed by the supervisor(s), to the DRPC. The application shall then, together with the recommendation from the DRPC, be submitted for a decision by the Faculty which shall then inform the Graduate School. If the application is approved, the candidate’s new remaining period of study shall be calculated by applying the ratio of 2:3 as the conversion value to the original remaining period of study, to the nearest whole day.

MPH7. Period of Study

1. Candidates are expected to submit their thesis and complete coursework, where necessary, within the specified period of study. They are also required to submit the dataset of their research, where applicable, when they submit thesis for examination as stipulated in Procedure MPH14 below.
2. The thesis may be submitted only after confirmation of candidature and completion of the minimum study period as set out in Regulation MPH7(a), where applicable.

3. A candidate may however, after confirmation of candidature, apply for an extension beyond the specified period of study. Detailed justifications for the extension, a study plan for the requested period of extension and recommendation of the supervisor(s) should be submitted.

4. All such applications for extension must be made to the DRPC no later than three months before the period of study is due to expire. The Faculty shall then forward the recommendation of the DRPC, in the light of comments from the supervisor(s), to the BoGS.

5. Any extension beyond the specified period of study will be granted only upon the demonstration of sound justification accepted by the BoGS.

MPH8. Coursework Requirements

1. A candidate shall be required to take courses as specified in the coursework syllabuses. These courses will include compulsory courses offered by the Graduate School and courses required by the Faculty/Department. The Faculty shall approve the coursework curricula and syllabuses of Faculty/departmental courses and any subsequent amendments thereto and the BoGS shall be kept informed of the details of any approval granted. Candidates pursuing the same programme in the same department shall be required to take the same number of courses.

2. Each course shall normally comprise no less than 12 contact hours.

3. Courses previously undertaken may count towards coursework requirements. A candidate who has successfully completed the required course(s) or equivalent(s), either from this University or a comparable institution, may, on production of suitable documentation, be exempted from taking the course(s). Any such application shall be considered by the BoGS, on the recommendation of the supervisor(s), the DRPC and the Faculty. Where exemption is sought in respect of non-compulsory courses for which a range of options is available, candidates should be encouraged to take other courses which they have not previously attempted, if such are useful for their studies. Applications for the substitution of a prescribed Faculty/departmental course by a course outside the curriculum shall be approved by the Faculty.

4. The coursework selection of each candidate shall be determined by the DRPC, taking into account the views of the candidate and the supervisor(s).

5. Candidates shall take courses immediately upon registration and should aim at completing all the courses within the first twelve months of the period of study. As stipulated in Procedure MPH5(2), candidates shall be required to complete the specified proportion of coursework before the end of the probationary period. All coursework requirements must be completed before thesis submission.

6. Candidates may be allowed to change course selection within the first two weeks after the commencement of the course, subject to the approval of the DRPC.

MPH9. Mandatory Training on Teaching Skills

As a policy approved jointly by the Teaching and Learning Quality Committee and the Policy Board of Postgraduate Education, it is mandatory that candidates who register in September 2011 and thereafter complete a training course “Certificate of Teaching and Learning in Higher Education” offered by the Centre for the Enhancement of Teaching and Learning (CETL) prior to their taking up of any teaching
and/or assessment duties in their Faculties/Departments/other units. Candidates who are able to provide documentary evidence of having obtained equivalent teacher training may apply directly, on the recommendation of their supervisors, to the Director of CETL or his/her designate, for exemption.

MPH10. Leave of Absence

1. Applications for leave of absence from Hong Kong and/or from the approved course of study and research, or for vacation, maternity or paternity purposes, shall be made in writing as early as possible and in advance of the proposed leave period, except for sick leave which cannot be anticipated. The application shall be addressed to the DRPC via the supervisor(s). Permission for leave of absence of up to one month may be granted by the DRPC on the recommendation of the candidate’s supervisor(s). An application for absence for a period exceeding one month shall be considered by the FHDC, on the recommendation of the DRPC. The appropriate committee(s) shall also determine whether or not the leave of absence is for study purposes. In granting permission for leave of absence for study purposes, the relevant committee(s) shall satisfy itself that appropriate arrangements have been made for the continued and adequate supervision of the candidate. If the candidate is to be attached to an academic institution elsewhere while on leave of absence, the committee granting leave may require evidence that guidance will be available from a suitable person at that institution. If a candidate is granted study leave, vacation leave, sick leave, maternity leave or paternity leave, his/her period of study will not be extended by the period of leave of absence. However, non-study leave granted will result in an extension of the period of study by the period of leave of absence. Since the maximum amount of study leave and non-study leave allowed in a programme is in each case twelve months cumulatively (Regulations MPH9(d) and (e) refer), a candidate who wishes to be away for longer than the permitted periods shall normally be required to withdraw his or her candidature but will be allowed to apply for admission subsequently. The period of study shall then begin afresh.

2. A candidate who has been granted study leave, vacation leave, sick leave, maternity leave or paternity leave shall be required to pay the normal fees. A candidate who has been granted non-study leave is not required to pay any fees during the period of absence but shall not be allowed to follow the course of study and research and present himself or herself for examination.

3. A candidate who has been absent for any period shall be responsible for making up for any coursework and/or research which has been missed as a result of his or her absence

MPH11. Supervision and Progress

1. Supervisors shall be appointed for a candidate by the BoGS on the advice of the Faculty Dean or his/her delegate (e.g. FHDC) which shall in turn have regard to the recommendation of the DRPC, and with the agreement of the candidate. In the case of co-supervision, the DRPC shall designate who is the primary supervisor. New supervisor(s) may be appointed on the recommendation of the Faculty if the BoGS deems it necessary.

2. In addition to the appointment of a primary supervisor, either (i) a co-supervisor shall be appointed; or (ii) a mentor shall be assigned, on the understanding that it is for the benefit of the candidate rather than for assisting the primary supervisor; or (iii) an Advisory/Supervisory Panel or Committee shall be established, for each candidate registering on September 1, 2012 and thereafter. The purpose of this arrangement is to provide the candidate with an additional/alternative source of support on the understanding that a person providing continuity advice and guidance at an earlier stage could be helpful in pre-empting/alleviating the occasional situations when a candidate’s relationship with the primary supervisor is suffering strain or if there is a conflict between the primary supervisor and candidate.
3. Eligibility of Primary Supervisors, Co-supervisors and Mentors

(a) Teachers of the University as defined in the University Ordinance and Statutes can serve as a primary supervisor, co-supervisor and mentor.

(b) Research Assistant Professors can serve as a co-supervisor and mentor. They cannot serve as a primary supervisor unless recommended by their Faculty Dean or his/her delegate (e.g. FHDC), and on the condition that another full-time Teacher is appointed as a co-supervisor.

(c) Visiting and Honorary Teachers of the University can serve as a co-supervisor and mentor, but cannot serve as a primary supervisor.

(d) According to the guidelines of the University for specialist professoriate appointments, Teachers who are specialist professoriates in the research category can serve as a primary supervisor, co-supervisor and mentor. Specialist professoriates in the practice and teaching categories are not eligible to be a primary supervisor unless recommended by their Faculty Dean or his/her delegate (e.g. FHDC), but can serve as a co-supervisor and mentor.

(e) Mentors do not necessarily have to be in the same research field as the candidate.

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4. If the sole supervisor proceeds on leave for two or more months, the DRPC shall appoint an acting supervisor for the candidate, unless satisfactory supervision arrangement can be made.

5. If a teacher, who in the view of the FHDC, has no previous supervisory experience, is proposed as supervisor for the first time, a co-supervisor with supervisory experience shall be appointed for the candidate, in consultation with the DRPC.

6. In appointment of supervisors, the following categories of staff are required to attend the seminar on Responsible Conduct of Research (RCR) organized by the Research Services within the timeframe as specified, before they are eligible to be supervisors, unless exemptions have been granted by the University Research Committee via the Head of Department and Faculty Dean on exceptional circumstances:

(a) all new staff who join the University carrying titles equivalent to Professoriate grades or Research Assistant Professors on July 1, 2012 and thereafter, as well as existing staff who have taken up new appointments carrying titles for the first time equivalent to Professoriate
grades and Research Assistant Professor on or after July 1, 2012, must attend the seminar on RCR within 12 months of assuming duty at the University; and

(b) all existing staff carrying titles equivalent to Professoriate grades or Research Assistant Professors who joined the University before July 1, 2012 must attend the seminar on RCR on or before June 30, 2017, in order to be eligible for research postgraduate student supervision starting from July 1, 2017.

7. It is a mandatory requirement for the following categories of staff to attend supervisor training within 12 months of their assumption of duty in the University so as to be eligible to be appointed as a primary supervisor or co-supervisor for research postgraduate students, unless exemption is granted by the Policy Board of Postgraduate Education with the support of the Faculty or Faculty Higher Degrees Committee with good justifications:

(a) new staff who join the University carrying titles equivalent to Assistant Professor or Research Assistant Professor on or after September 1, 2015; and

(b) existing staff who take up new appointments at the University carrying titles for the first time equivalent to Assistant Professor or Research Assistant Professor on or after September 1, 2015.

Existing staff not falling under the above categories are also encouraged to attend the training session.

8. Supervisors and candidates shall read the “Good Practices for Supervisors” and “Good Practices for Research Postgraduate Students” respectively which are available in the Handbook for MPhil & PhD Programmes.

9. The supervisor(s) and the candidate shall be required to submit to the FHDC a “Supervision Report” (only one Report should be submitted for each student) and a “Candidate’s Progress Report” respectively

(a) one month before the end of the probationary period of the candidature; and

(b) at six-monthly intervals, other than at the end of the probationary period.

The mentor and/or Advisory/Supervisory Panel or Committee of the candidate shall not be required to submit a “Supervision Report”.

10. The DRPC shall on each reporting occasion be required to provide comments on the supervision and/or progress on the reports and shall show their comments to the supervisor(s) and the candidate before transmitting the reports in Procedures MPH11(9)(a) and (b) above to the FHDC for recommendation to the Faculty Board.

11. The BoGS may require from time to time statistical or other reports from FHDCs on candidates’ progress.

12. If the Faculty approves that the probationary candidature be terminated early or not confirmed, the candidature shall be allowed to lapse. An appeal with full justifications given may be submitted by a candidate to the BoGS against a decision by the Faculty to terminate his/her probationary candidature. In respect of a candidate whose candidature has been confirmed, but who subsequently is recommended by the supervisor(s) and the DRPC to discontinue studies because of unsatisfactory progress, the procedures to be followed are stipulated in Procedure MPH12 below.
13. During the course of study, candidates may be required to give one or more seminars on the subject of their course of study and research, and may be required by the Faculty to perform satisfactorily in the conduct of such seminars before their candidature can be confirmed or transferred to that of PhD. Such a requirement may even constitute a condition for the award of the degree.

**MPH12. Discontinuation**

1. A candidature may be discontinued under the provisions of Regulation MPH11. In this connection, students are advised to refer to the relevant sections of the General Regulations and the Handbook for MPhil & PhD Programmes.

2. Recommendations for discontinuation under the provisions of Regulation MPH11 may be initiated by the DRPC and considered by the FHDC, the Faculty Review Committee and the Faculty Board for recommendation to the Senate Committee on Discontinuation.

3. A candidate whose progress is unsatisfactory, or who has failed to meet the coursework requirements as laid down in Procedure MPH16(3) may be discontinued. A recommendation for discontinuation may be made by the supervisor(s) and/or the DRPC, to the FHDC, the Faculty Review Committee, for recommendation to the Faculty Board, where appropriate, and then to the Senate Committee on Discontinuation.

**MPH13. Notice of Intention to Submit Thesis**

1. A candidate shall serve written notice to the Chairman of the DRPC of his/her intention to submit the thesis for examination, at least three months before the expected date of submission. The candidate shall send, at the same time, a copy of such notice to his/her supervisor(s). Applications for a waiver of the 3-month notification period shall be approved by the Faculty.

2. Upon receipt of such notification, and in any case before the thesis is submitted, the DRPC shall recommend the appointment of examiners for the thesis and the oral examination. (Procedure MPH15(2) below governs the appointment of examiners).

**MPH14. Submission of Thesis for Examination**

1. Before a candidate submits his/her thesis for examination, he or she is required to conduct a self-check on the originality of his/her thesis and amend it, where appropriate, in consultation with supervisor(s) if necessary. This requirement applies to all theses submitted for examination on January 1, 2011 and thereafter. The candidate should then pass a copy of the finalized thesis to the supervisor(s) who should complete and sign a standard proforma confirming that the thesis is ready for submission for examination. A supervisor may, under special circumstances, dissociate himself or herself from the content of the thesis by using the same proforma.

2. A candidate shall deliver to the Faculty Secretary sufficient copies of the thesis, presented in accordance with paragraph 3 of the “Regulations Governing the Format, Binding and Presentation of Theses”; accompanied by the “thesis submission” form, duly completed; and the receipt of payment of the examination fee. The Faculty Secretary shall acknowledge the receipt of the thesis and the accompanying documents; and shall send a copy of the receipt to the Director of Finance. A reminder of the requirement for the oral and any other examination shall be issued with the receipt.

3. A candidate who registers in September 2017 and thereafter shall also submit a dataset of his/her research, where applicable, at the time he/she submits the thesis for examination. Details of
submission of dataset are available on the website of the University Libraries (http://lib.hku.hk/researchdata/rpg.htm).

MPH15. Examinations

1. Coursework Examination

A candidate is assessed by examiners appointed by the Faculty/Graduate School on each of the courses which he or she has registered to take. The assessment may take one or a combination of methods.

2. Thesis Examination

Appointment of Examiners

(a) Two examiners, comprising one internal examiner and one external examiner, shall be appointed by the Faculty at the same time as the candidate has given written notice of the intention to submit the thesis (MPH13), on the recommendation of the DRPC. The examiners shall have been appointed before the thesis is submitted. The DRPC shall provide a brief c.v. of the proposed external examiner.

(b) Examiners shall normally be those who have completed a graduate degree at doctoral level in the discipline or in cognate area or have equivalent experience and should as far as possible have not been involved in supervision of the thesis. The external examiner shall be preferably at Associate Professor level (or equivalent) or above. The internal examiners shall be Teachers of the University as defined in the Ordinance and the Statutes. Supervisors and co-supervisors of the thesis cannot be examiners. Mentors and members of the advisory/supervisory panel or committee may be appointed as examiners if they have declared that they have no involvement in the supervision of the candidate’s thesis.

(c) In the case of a candidate who is a Teacher or a full-time appointee of the University who provides instruction, two examiners, external to the University, shall be appointed.

Examiners’ Evaluation of MPhil Theses and Reports

(d) The Faculty Secretary shall schedule a notional date for the oral examination, at the same time when the thesis is sent out to the examiners, on the understanding that the notional date would be confirmed or that an actual date for the examination would be determined nearer the time should an oral examination be required. The examiners shall read the thesis and shall submit separate written reports direct to the Faculty Secretary. The examiners may request to have access to the Data Management Plan (DMP) and/or the dataset submitted by the candidate in relation to the thesis, if any. The examiners are requested to report within six weeks from the date of the receipt of the thesis. At the same time, the examiners are asked to note the notional date for conducting the oral examination, if one is to be conducted according to MPH15 2(j) below. If the report is not received by the due date, a reminder shall be sent out by the Faculty Secretary. If any report is still outstanding by the end of three months, the Faculty should take appropriate action e.g. the appointment of a new examiner. All examiners’ reports should be kept “confidential” until the examination process has been completed. Each report shall include an opinion as to whether or not the examiner considers:

(i) that the thesis is of sufficient standard for the degree of MPhil and that the requirement for an oral examination be waived; or
(ii) that the candidate is required to pass an oral examination before the thesis is deemed to be of sufficient standard\(^1\) for the degree of MPhil; or

(iii) that the thesis is not acceptable for the degree of MPhil in its present form\(^2\) but should be modified and re-submitted for a new examination. [Please refer to Procedure (h) below]; or

(iv) that the candidate should be failed with no opportunity to re-submit the thesis.

\(^1\) Any suggested minor corrections or revisions (e.g. corrections of typographical errors and errors in nomenclature, improvement in phrasing, or rewriting of small sections of the thesis) should be outlined in the examiner's report. It is understood that it will be the responsibility of the supervisor to discuss the suggested changes with the candidate, to determine which should be incorporated in the thesis before its final submission. Minor corrections and amendments must be made within a period of one month.

\(^2\) This recommendation reflects the examiner's opinion that further research, re-analysis of data, or substantial rewriting of at least part of the material is required.

Appointment of Thesis Examining Committee (TEC)

(e) A TEC shall be established by the Faculty to consider the opinions of the examiners, and recommend an examination result among the four options mentioned in Procedure (d). The TEC shall consist of the following members:

(i) a Chairman (non-voting member);
(ii) one internal examiner and one external examiner (voting members); and
(iii) at least one primary supervisor or co-supervisor (ex-officio non-voting member(s)).

The Chairman shall be appointed by the Faculty from a pool of academics, preferably at Associate Professor level or above, to be nominated by the Dean of the Faculty and approved by the BoGS. The TEC Chairman shall be a Teacher who is eligible to be a supervisor and has successfully supervised at least one research postgraduate student until graduation in this University or at other comparable institutions; and, as far as possible, shall not be from the same department or subject area (in the case of a unitary faculty) as the candidate, but appointed from a cognate discipline so as to have sufficient understanding of the subject of the thesis. The Chairman should ensure that the examination is conducted in a fair manner, and make a recommendation to this Examining Committee on whether a third independent examiner should be appointed if the TEC cannot reach a consensus on the examination result after the oral examination. A person appointed as an examiner who is not a Teacher of the University shall receive an honorarium. Only one such honorarium shall be payable to each examiner for the examination, including re-examination, of each candidate.

Thesis Examination Result

(f) The TEC should inform the Faculty Secretary of their recommendation of option (i) to (iv) in (d) above. If the Committee recommends option (i) or (iv), the Faculty Secretary should inform the appropriate authority of the Faculty to make a recommendation to the BoGS. [Procedure (p) below refers.] In the case of (ii) or (iii), the Faculty Secretary will either set up an oral examination for the student (see Procedures (j) to (n) below) or inform the student to revise and re-submit his/her thesis for a new examination, as appropriate.

(g) Where corrections and amendments to the thesis are required, the Faculty Secretary
shall inform the student of such as soon as possible in order that the corrections and amendments can be addressed without delay.

(h) Where the TEC decides that a candidate is required to revise and re-submit the thesis for a new examination, the Faculty Secretary shall inform the candidate of such a decision. At the same time the candidate shall be informed that attendance may be required at an oral or any other examination. The candidate shall be required to produce a summary of the amendments made to the revised thesis, on re-submission. The thesis will, after submission, be examined by the original examiners who may recommend only:

(i) that the candidate is required to pass an oral examination of the thesis before the thesis is deemed to be of sufficient standard for the degree of MPhil; or

(ii) that the candidate should be failed.

Participation of Examiners in Oral Examination

(i) In cases where one or more examiners is/are of the view that the thesis is of insufficient standard for conferment of the degree, it is mandatory for the external examiner to participate in the oral examination. If the external examiner is not available in Hong Kong at a time convenient for the meeting of the TEC, a meeting by means of teleconferencing or video-conferencing shall be held. Only if such means prove not to be possible should Faculties consider appointing an additional examiner to represent the external examiner at the oral examination. Prior approval of the BoGS shall be required for the appointment of an additional examiner who shall meet the requirements stipulated in MPH15(2)(b) above. In cases where all the examiners agree that the thesis is of sufficient standard for the conferment of the degree, Faculties are still encouraged to arrange for the participation of the external examiner in the oral examination through any of the means stipulated above.

Oral Examination

(j) When an oral examination of the thesis is required, the Faculty Secretary shall organize it normally within one month from the day the TEC makes that decision. The oral examination shall normally be held in Hong Kong by the TEC.

(k) The Faculty Secretary shall give the candidate at least one week's notice of the date of the oral examination.

(l) In special cases where an oral examination cannot be held in Hong Kong special approval shall be sought from the BoGS.

(m) An oral examination is normally considered a closed examination, and questions will only be raised by members of the TEC. However, the Chairman may extend invitations to those who have been closely associated with the preparation of the thesis.

(n) Following the examination, the TEC will meet in camera to render a final assessment of the thesis and of the candidate’s ability to defend his/her work. The Committee may recommend that the candidate has:

(i) passed the oral examination and the thesis is considered acceptable; or

(ii) failed the oral examination and required to undertake a second oral examination; or
(iii) not passed and required to re-submit thesis\(^3\) and undertake a second oral examination; or

(iv) failed and should not be permitted any re-examination.

\(^3\) This recommendation may have attached to it the requirement that the candidate complete corrections or revisions to the satisfaction of a specified person.

\(^4\) Members of the TEC should attach to this recommendation a list of any requirements which they feel are appropriate.

(o) No candidate shall be permitted more than two submissions of thesis or more than two oral examinations.

**Candidate’s Final Examination Result**

(p) The recommendation of the TEC shall be forwarded to the Faculty. The decision of the Faculty on the result of the MPhil programme should be passed to the BoGS for a decision on behalf of the Senate. All the relevant documents on the case should be attached.

**Time Limit for Revision**

(q) The final version of MPhil theses not requiring re-examination shall be submitted to the Faculty Secretary within 1 month, unless specified otherwise, of the date on which the student is informed of the examination result. If a corrected thesis is not submitted within 2 months of this deadline, the programme will be terminated.

(r) MPhil theses requiring re-examination shall be resubmitted to the Faculty Secretary within 12 months, unless specified otherwise, of the date on which the student is informed of the examination result. Students requiring re-submission and re-examination of theses must maintain their registration during this period. Failure to resubmit the revised thesis within 12 months will result in termination of the student’s programme.

(s) Any departure from the above, i.e. a special case, requires the approval of the BoGS.

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**MPH16. Coursework Examination Results**

1. Coursework shall be assessed on a pass/fail basis.

2. The DRPC shall make recommendations on the examination results of the candidates in the departmental/faculty courses taken in accordance with Regulation MPH15, to the FHDC for a decision. The Graduate School shall make recommendations on the candidates’ examination results in Graduate School courses to the BoGS for a decision.

3. In the event that a candidate has failed in any course (which, for this purpose, covers both the re-examination of the same course and the “alternative” course) in a second attempt, he or she may be recommended for discontinuation, or termination of candidature if still within the probationary period of study. The normal procedures for discontinuation and termination (as laid down in MPH12 above) shall be followed.
4. Candidates who are unable because of illness to be present for any written examination may apply for permission to present themselves for a supplementary examination. Any such application shall be made on the form prescribed within two weeks of the first day of absence from any examination. The supplementary examination shall be held at a time to be determined by the FHDC (for departmental/faculty courses) or the BoGS (for Graduate School courses) as appropriate. Candidates who fail to satisfy the examiners in one or more papers in such a supplementary examination shall be considered as failure at the first attempt.
Appendix XXIII

Procedures for the Degree of Doctor of Philosophy (PhD)

(Applicable to students enrolled in or after September 2011)

Preamble

“Faculty” as stated in the procedures below refers to the Faculty Higher Degrees Committee (FHDC) and/or the Faculty Board. Always bearing in mind the constitutional powers and duties of the two bodies, each faculty can determine whether it wishes to have the Faculty Board delegating responsibility to the FHDC, subject to the approval of the Senate, or maintain the status quo, or undertake other approaches as appropriate.

“Departmental Research Postgraduate Committee (DRPC)” and “Department” mentioned below do not apply to unitary Faculties, where the terms should be replaced by “FHDC” and “Faculty”.

PHD2. Admissions

1. Enquiries from intending applicants which precede a formal application for admission should be directed to the relevant department for a reply.

2. Before submission of a formal application, Departments and potential applicants are encouraged to discuss the proposed research plan, the availability of appropriate supervision and funding, and the suitability of the applicant to pursue programmes offered by the department.

3. A candidate for registration shall submit to the Graduate School an application on the appropriate form, together with the prescribed application fee and documentation. Academic Referees’ Reports should be forwarded to the Graduate School by the referees at the same time as the application is submitted. Individual departments should decide whether further documentation is required.

4. Applicants who are seeking admission on the basis of qualifications from overseas universities or comparable institutions of which the language of teaching and/or examination is not English are required to submit evidence that they have obtained a score or grade as specified in General Regulation G2(b) in any one of the listed tests of English proficiency; unless in special circumstances they are exempted from this requirement by the Board of Graduate Studies (BoGS) upon the recommendation of the relevant Board of Faculty.

5. An application, together with the recommendation of the DRPC and the name(s) of the proposed supervisor(s), shall be considered by the Faculty for recommendation to the BoGS. The Graduate School shall consider whether an applicant is eligible for admission under Regulation PHD2(a) and (b) of the Regulations for the Degree of Doctor of Philosophy and General Regulation G2(b), and whether the applicant should be admitted into a 3-year or 4-year programme.

6. The BoGS shall decide:

   (a) where the applicant is eligible for admission, that he or she be admitted with or without being subject to the requirement of passing a qualifying examination (see Procedure PHD3 below); or
(b) where the applicant satisfies the requirements for admission in all respects except that relating to English proficiency as stipulated in General Regulation G2(b), that the applicant be admitted through a waiver of the requirement, where there are special circumstances which merit the granting of such a waiver; or

c) where the applicant is not eligible for admission under Regulation PHD2, that the applicant be conditionally admitted subject to his or her attaining academic qualifications which satisfy the Regulation; or

d) that the application is deemed unsuccessful.

The Graduate School shall notify the applicant of the decision of the BoGS via the on-line application system. In addition, offers/conditional offers will be sent to successful applicants separately.

7. A recommendation on whether or not to admit shall normally be made by the Faculty within one month of the receipt of the application by the DRPC.

8. The offer of admission shall contain a stipulation that the candidate must confirm in writing that he or she would comply with the rules and regulations of the University, and in particular, with the provision regarding the prohibition of concurrent registration.

9. Once an application is deemed unsuccessful, all documentation pertaining to that applicant shall be destroyed. All documentation pertaining to successful applicants shall be retained.

PHD3. Qualifying Examination

Where a qualifying examination is required, the Faculty shall appoint at least two examiners on the recommendation of the DRPC. A recommendation on pass or fail shall be made by the examiners to the FHDC. The Faculty shall then make a recommendation to the BoGS for approval or otherwise of admission under the relevant programme.

PHD4. Registration and Fee Payment

1. A candidate shall be permitted to register on the first day of any calendar month.

2. The Chairman of the DRPC and the candidate shall confirm the candidate’s status as full-time or part-time as defined in Regulation PHD4(b).

3. The fees for higher degree studies shall be charged as set out in the General Regulations. Fees shall be charged even if a candidate is pursuing his or her study overseas. Once a thesis is submitted for examination a candidate need not pay additional fees, unless he or she is required to revise and resubmit the thesis for a new examination, whereupon a second examination fee is charged.

PHD5. Probation and Confirmation of Candidature

1. One month before the expiry of the probationary period under Regulation PHD5, the supervisor(s) and the candidate shall be required to submit respectively to the DRPC a “Supervision Report” (only one Report should be submitted for each student) and a “Candidate’s Progress Report” (to which a detailed scheme of research must be attached, with documentary evidence showing that the relevant ethical approval has been obtained for research work on his/her thesis, if any). In addition, a candidate who registers in September 2017 and thereafter has to submit a Data Management
Plan (DMP) before the expiry of his/her probationary period if data is to be collected or generated as part of the research. Details of submission of DMP are available on the website of the University Libraries (http://lib.hku.hk/researchdata/rpg.htm).

2. A candidate registered for the 4-year degree programme shall be required to have satisfactorily completed all the Graduate School courses and at least 50% of the remaining prescribed coursework by the end of the probationary period. For a candidate registered for a 3-year degree programme, if coursework is prescribed by the Graduate School or the DRPC, he or she shall be required to have satisfactorily completed all the Graduate School courses and at least 50% of the remaining coursework, by the end of the probationary period. Failure to do so may lead to the termination of candidature.

3. The DRPC shall consider the reports and the DMP, where applicable, together with the coursework results of the candidate, where appropriate; and shall submit the reports and the DMP, where applicable, and a recommendation on the confirmation or termination of the candidature, or an extension/shortening of the probationary period to the Faculty for a decision.

PHD6. Transfer of Candidature

1. A candidate registered for the 3-year degree programme may apply for transfer to MPhil candidature not later than the 12th month of full-time studies, or the 18th month of part-time studies. A candidate on the 4-year degree programme may apply for transfer to MPhil candidature not later than the 18th month of full-time studies or the 27th month of part-time studies. The candidate shall submit an application in writing, endorsed by the supervisor(s), to the DRPC. The application shall then, together with the recommendation from the DRPC, be submitted for a decision by the Faculty, which shall inform the Graduate School. If the application is approved, the candidate’s period of study for the degree shall be counted from the initial date of registration.

2. A student who has not been confirmed in PhD studies will be required, after transferring to MPhil candidature, to
   (a) meet the requirements as laid down in MPH11(9) and MPH11(13) of the Procedures for the Degree of MPhil; and
   (b) complete all the formal coursework requirements before thesis submission, as in the case of other MPhil candidates.

3. A candidate who wishes to apply for transfer from full-time to part-time candidature (or vice versa) shall submit an application in writing, endorsed by the supervisor(s), to the DRPC. The application shall then, together with the recommendation from the DRPC, be submitted for a decision by the Faculty which shall then inform the Graduate School. If the application is approved, the candidate’s new remaining period of study shall be calculated by applying the ratio of 2:3 as the conversion value to the original remaining period of study, to the nearest whole day.

PHD7. Period of Study

1. Candidates are expected to submit their thesis and complete coursework, where necessary, within the specified period of study. They are also required to submit the dataset of their research, where applicable, when they submit thesis for examination as stipulated in Procedure PHD14 below.

2. The thesis may be submitted only after confirmation of candidature and completion of the minimum study period as set out in Regulation PHD7(a), where applicable.
3. A candidate may however, after confirmation of candidature, apply for an extension beyond the specified period of study. Detailed justifications for the extension, a study plan for the requested period of extension and the recommendation of the supervisor(s) should be submitted.

4. All such applications for extension must be made to the DRPC no later than three months before the period of study is due to expire. The Faculty shall then forward the recommendation of the DRPC, in the light of comments from the supervisor(s), to the BoGS.

5. Any extension beyond the specified period of study will be granted only upon the demonstration of sound justification accepted by the BoGS.

PHD8. Coursework Requirements

1. A candidate registered for the 4-year degree programme shall be required to take courses as specified in the coursework syllabuses. These courses will include compulsory courses offered by the Graduate School and courses required by the Faculty/Department. The Faculty shall approve the coursework curricula and syllabuses of Faculty/departmental courses and any subsequent amendments thereto and the BoGS shall be kept informed of the details of any approval granted. Candidates pursuing the same programme in the same department shall be required to take the same number of courses.

2. A candidate registered for the 3-year degree programme may be required by the Graduate School or the DRPC to take courses which are considered beneficial to the candidate's research work. If a candidate is required to take coursework, notification of this must be given to the candidate in writing within the first six months of candidature or preferably upon registration.

3. All candidates (including 3-year PhD candidates registering on September 1, 2011 and thereafter) are required to take a research ethics course offered or approved by the Graduate School if they have not yet completed equivalent training in previous research degree programmes.

4. Each course shall normally comprise no less than 12 contact hours.

5. Courses previously undertaken may count towards coursework requirements. A candidate who has successfully completed the required course(s) or equivalent(s), either from this University or a comparable institution, may, on production of suitable documentation, be exempted from taking the course(s). Any such application shall be considered by the BoGS, on the recommendation of the supervisor(s), the DRPC and the Faculty. Where exemption is sought in respect of non-compulsory courses for which a range of options is available, candidates should be encouraged to take other courses which they have not previously attempted, if such are useful for their studies. Applications for the substitution of a prescribed Faculty/departmental course by a course outside the curriculum shall be approved by the Faculty.

6. The coursework selection of each candidate shall be determined by the DRPC, taking into account the views of the candidate and the supervisor(s).

7. Candidates shall normally take courses immediately upon registration. As stipulated in Procedure PHD5(2), candidates shall be required to complete the specified proportion of coursework before the end of the probationary period. All coursework requirements must be completed before thesis submission.

8. Candidates may be allowed to change course selection within the first two weeks after the commencement of the course, subject to the approval of the DRPC.
PHD9. Mandatory Training on Teaching Skills

As a policy approved jointly by the Teaching and Learning Quality Committee and the Policy Board of Postgraduate Education, it is mandatory that candidates who register in September 2011 and thereafter complete a training course “Certificate of Teaching and Learning in Higher Education” offered by the Centre for the Enhancement of Teaching and Learning (CETL) prior to their taking up of any teaching and/or assessment duties in their Faculties/Departments/other units. Candidates who are able to provide documentary evidence of having obtained equivalent teacher training may apply directly, on the recommendation of their supervisors, to the Director of CETL or his/her designate, for exemption.

PHD10. Leave of Absence

1. Applications for leave of absence from Hong Kong and/or from the approved course of study and research, or for vacation, maternity or paternity purposes, shall be made in writing as early as possible and in advance of the proposed leave period, except for sick leave which cannot be anticipated. The application shall be addressed to the DRPC via the supervisor(s). Permission for leave of absence of up to one month may be granted by the DRPC on the recommendation of the candidate’s supervisor(s). An application for absence for a period exceeding one month shall be considered by the FHDC, on the recommendation of the DRPC. The appropriate committee(s) shall also determine whether or not the leave of absence is for study purposes. In granting permission for leave of absence for study purposes, the relevant committee(s) shall satisfy itself that appropriate arrangements have been made for the continued and adequate supervision of the candidate. If the candidate is to be attached to an academic institution elsewhere while on leave of absence, the committee granting leave may require evidence that guidance will be available from a suitable person at that institution. If a candidate is granted study leave, vacation leave, sick leave, maternity leave or paternity leave, his/her period of study will not be extended by the period of leave of absence. However, non-study leave granted will result in an extension of the period of study by the period of leave of absence. Since the maximum amount of study leave and non-study leave allowed in a programme is in each case twelve months cumulatively (Regulations PHD9(d) and (e) refer), a candidate who wishes to be away for longer than the permitted periods shall normally be required to withdraw his or her candidature but will be allowed to apply for admission subsequently. The period of study shall then begin afresh.

2. A candidate who has been granted study leave, vacation leave, sick leave, maternity leave or paternity leave shall be required to pay the normal fees. A candidate who has been granted non-study leave is not required to pay any fees during the period of absence but shall not be allowed to follow the course of study and research and present himself or herself for examination.

3. A candidate who has been absent for any period shall be responsible for making up for any coursework and/or research which has been missed as a result of his or her absence.

4. Notwithstanding the above, holders of Hong Kong PhD Fellowships (HKPF) also have to observe the terms and conditions as stipulated by the Research Grants Council for the fellowship award.

PHD11. Supervision and Progress

1. Supervisors shall be appointed for a candidate by the BoGS on the advice of the Faculty Dean or his/her delegate (e.g. FHDC) which shall in turn have regard to the recommendation of the DRPC, and with the agreement of the candidate. In the case of co-supervision, the DRPC shall designate who is the primary supervisor. New supervisor(s) may be appointed on the recommendation of the Faculty if the BoGS deems it necessary.

2. In addition to the appointment of a primary supervisor, either (i) a co-supervisor shall be appointed;
or (ii) a mentor shall be assigned, on the understanding that it is for the benefit of the candidate rather than for assisting the primary supervisor; or (iii) an Advisory/Supervisory Panel or Committee shall be established, for each candidate registering on September 1, 2012 and thereafter. The purpose of this arrangement is to provide the candidate with an additional/alternative source of support on the understanding that a person providing continuity advice and guidance at an earlier stage could be helpful in pre-empting/alleviating the occasional situations when a candidate’s relationship with the primary supervisor is suffering strain or if there is a conflict between the primary supervisor and candidate.

3. Eligibility of Primary Supervisors, Co-supervisors and Mentors

(a) Teachers of the University as defined in the University Ordinance and Statutes can serve as a primary supervisor, co-supervisor and mentor.

(b) Research Assistant Professors can serve as a co-supervisor and mentor. They cannot serve as a primary supervisor unless recommended by their Faculty Dean or his/her delegate (e.g. FHDC), and on the condition that another full-time Teacher is appointed as a co-supervisor.

(c) Visiting and Honorary Teachers of the University can serve as a co-supervisor and mentor, but cannot serve as a primary supervisor.

(d) According to the guidelines of the University for specialist professoriate appointments, Teachers who are specialist professoriates in the research category can serve as a primary supervisor, co-supervisor and mentor. Specialist professoriates in the practice and teaching categories are not eligible to be a primary supervisor unless recommended by their Faculty Dean or his/her delegate (e.g. FHDC), but can serve as a co-supervisor and mentor.

(e) Mentors do not necessarily have to be in the same research field as the candidate.

<table>
<thead>
<tr>
<th>Capacity</th>
<th>Primary Supervisor</th>
<th>Co-supervisor</th>
<th>Mentor</th>
</tr>
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<tbody>
<tr>
<td>Teachers of the University</td>
<td>Eligible</td>
<td>Eligible</td>
<td>Eligible</td>
</tr>
<tr>
<td>Research Assistant Professor</td>
<td>Not eligible unless recommended by their Faculty Dean or his/her delegate (e.g. FHDC), and on the condition that another full-time Teacher is appointed as a co-supervisor</td>
<td>Eligible</td>
<td>Eligible</td>
</tr>
<tr>
<td>Visiting and Honorary Teachers</td>
<td>Not eligible</td>
<td>Eligible</td>
<td>Eligible</td>
</tr>
<tr>
<td>Specialist professoriates in the research category</td>
<td>Eligible</td>
<td>Eligible</td>
<td>Eligible</td>
</tr>
<tr>
<td>Specialist professoriates in the practice and teaching categories</td>
<td>Not eligible unless recommended by the Faculty Dean or his/her delegate (e.g. FHDC)</td>
<td>Eligible</td>
<td>Eligible</td>
</tr>
</tbody>
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4. If the sole supervisor proceeds on leave for two or more months, the DRPC shall appoint an acting supervisor for the candidate, unless satisfactory supervision arrangement can be made.

5. If a teacher, who in the view of the FHDC, has no previous supervisory experience, is proposed as supervisor for the first time, a co-supervisor with supervisory experience shall be appointed for the candidate, in consultation with the DRPC.

6. In appointment of supervisors, the following categories of staff are required to attend the seminar on Responsible Conduct of Research (RCR) organized by the Research Services within the timeframe
as specified, before they are eligible to be supervisors, unless exemptions have been granted by the University Research Committee via the Head of Department and Faculty Dean on exceptional circumstances:

(a) all new staff who join the University carrying titles equivalent to Professoriate grades or Research Assistant Professors on July 1, 2012 and thereafter, as well as existing staff who have taken up new appointments carrying titles for the first time equivalent to Professoriate grades and Research Assistant Professor on or after July 1, 2012, must attend the seminar on RCR within 12 months of assuming duty at the University; and

(b) all existing staff carrying titles equivalent to Professoriate grades or Research Assistant Professors who joined the University before July 1, 2012 must attend the seminar on RCR on or before June 30, 2017, in order to be eligible for research postgraduate student supervision starting from July 1, 2017.

7. It is a mandatory requirement for the following categories of staff to attend supervisor training within 12 months of their assumption of duty in the University so as to be eligible to be appointed as a primary supervisor or co-supervisor for research postgraduate students, unless exemption is granted by the Policy Board of Postgraduate Education with the support of the Faculty or Faculty Higher Degrees Committee with good justifications:

(a) new staff who join the University carrying titles equivalent to Assistant Professor or Research Assistant Professor on or after September 1, 2015; and

(b) existing staff who take up new appointments at the University carrying titles for the first time equivalent to Assistant Professor or Research Assistant Professor on or after September 1, 2015.

Existing staff not falling under the above categories are also encouraged to attend the training session.

8. Supervisors and candidates shall read the “Good Practices for Supervisors” and “Good Practices for Research Postgraduate Students” respectively which are available in the Handbook for MPhil & PhD Programmes.

9. The supervisor(s) and the candidate shall be required to submit to the FHDC a “Supervision Report” (only one Report should be submitted for each student) and a “Candidate’s Progress Report” respectively

(a) one month before the end of the probationary period of the candidature; and

(b) at six-monthly intervals, other than at the end of the probationary period.

The mentor and/or Advisory/Supervisory Panel or Committee of the candidate shall not be required to submit a “Supervision Report”.

10. The DRPC shall on each reporting occasion be required to provide comments on the supervision and/or progress on the reports and shall show their comments to the supervisor(s) and the candidate before transmitting the reports in Procedures PHD11(9)(a) and (b) above to the FHDC for recommendation to the Faculty Board.

11. The BoGS may require from time to time statistical or other reports from FHDCs on candidates’ progress.
12. If the Faculty approves that the probationary candidature be terminated early or not confirmed, the candidature shall be allowed to lapse. An appeal with full justifications given may be submitted by a candidate to the BoGS against a decision by the Faculty to terminate his/her probationary candidature. In respect of a candidate whose candidature has been confirmed, but who subsequently is recommended by the supervisor(s) and the DRPC to discontinue studies because of unsatisfactory progress, the procedures to be followed are stipulated in Procedure PHD12 below.

13. During the course of study, candidates may be required to give one or more seminars on the subject of their course of study and research, and may be required by the Faculty to perform satisfactorily in the conduct of such seminars before their candidature can be confirmed. Such a requirement may even constitute a condition for the award of the degree.

**PHD12. Discontinuation**

1. A candidature may be discontinued under the provisions of Regulation PHD11. In this connection, students are advised to refer to the relevant sections of the General Regulations and the *Handbook for MPhil & PhD Programmes*.

2. Recommendations for discontinuation under the provisions of Regulation PHD11 may be initiated by the DRPC and considered by the FHDC, the Faculty Review Committee and the Faculty Board for recommendation to the Senate Committee on Discontinuation.

3. A candidate whose progress is unsatisfactory, or who has failed to meet the coursework requirements as laid down in Procedure PHD16(3) may be discontinued. A recommendation for discontinuation may be made by the supervisor(s) and/or the DRPC, to the FHDC, the Faculty Review Committee, for recommendation to the Faculty Board, where appropriate, and then to the Senate Committee on Discontinuation.

**PHD13. Notice of Intention to Submit Thesis**

1. A candidate shall serve written notice to the Chairman of the DRPC of his/her intention to submit the thesis for examination, at least three months before the expected date of submission. The candidate shall send, at the same time, a copy of such notice to his/her supervisor(s). Applications for a waiver of the 3-month notification period shall be approved by the Faculty.

2. Upon receipt of such notification, and in any case before the thesis is submitted, the DRPC shall recommend the appointment of examiners for the thesis and the oral examination. (Procedure PHD15(2) below governs the appointment of examiners).

**PHD14. Submission of Thesis for Examination**

1. Before a candidate submits his/her thesis for examination, he or she is required to conduct a self-check on the originality of his/her thesis and amend it, where appropriate, in consultation with supervisor(s) if necessary. This requirement applies to all theses submitted for examination on January 1, 2011 and thereafter. The candidate should then pass a copy of the finalized thesis to the supervisor(s) who should complete and sign a standard proforma confirming that the thesis is ready for submission for examination. A supervisor may, under special circumstances, dissociate himself or herself from the content of the thesis by using the same proforma.
2. A candidate shall deliver to the Faculty Secretary sufficient copies of the thesis, presented in accordance with paragraph 3 of the “Regulations Governing the Format, Binding and Presentation of Theses”; accompanied by the “thesis submission” form, duly completed; and the receipt of payment of the examination fee. The Faculty Secretary shall acknowledge the receipt of the thesis and the accompanying documents; and shall send a copy of the receipt to the Director of Finance. A reminder of the requirement for the oral and any other examination shall be issued with the receipt.

3. A candidate who registers in September 2017 and thereafter shall also submit a dataset of his/her research, where applicable, at the time he/she submits the thesis for examination. Details of submission of dataset are available on the website of the University Libraries (http://lib.hku.hk/researchdata/rpg.htm).

PHD15. Examinations

1. Coursework Examination

A candidate is assessed by examiners appointed by the Faculty/Graduate School on each of the courses which he or she has registered to take. The assessment may be through one or a combination of methods.

2. Thesis Examination

Appointment of Examiners

(a) Three examiners, comprising two internal examiners and one external examiner, shall be appointed once the candidate has given written notice of the intention to submit the thesis (PHD13), on the recommendation of the DRPC. The examiners shall have been appointed before the thesis is submitted. The Faculty will make the appointments on the recommendation of the DRPC, which shall provide a brief c.v. of the proposed external examiner. In cases where there are difficulties in appointing two internal examiners, more than one external examiner shall be appointed.

(b) Examiners shall normally be those who have completed a graduate degree at doctoral level in the relevant discipline or in a cognate area or have equivalent experience and should as far as possible have not been involved in supervision of the thesis. The external examiner shall be preferably at Associate Professor level (or equivalent) or above. The internal examiners shall be Teachers of the University as defined in the Ordinance and Statutes. Supervisors and co-supervisors of the thesis cannot be examiners. Mentors and members of the advisory/supervisory panel or committee may be appointed as examiners if they have declared that they have no involvement in the supervision of the candidate’s thesis.

(c) In the case of a candidate who is a Teacher or a full-time appointee of the University who provides instruction, one internal examiner and two external examiners, shall be appointed.

Examiners’ Evaluation of PhD Theses and Reports

(d) The Faculty Secretary shall schedule a notional date for the oral examination, at the same time when the thesis is sent out to the examiners, on the understanding that the notional date would be confirmed or that an actual date for the examination would be determined nearer the time. The examiners shall read the thesis and shall submit separate written reports direct to the Faculty Secretary. The examiners may request to have access to the Data Management Plan (DMP) and/or the dataset submitted by the candidate in relation to the thesis, if any. The examiners are requested to report within six weeks from the date of the receipt of the thesis. At the same time, the examiners are asked to note the notional date for conducting the oral examination. If the report is not received by the due date, a reminder shall be sent out by the Faculty Secretary. If any report is still outstanding
by the end of three months, the Faculty should take appropriate action e.g. the appointment of a new examiner. All examiners’ reports should be kept “confidential” until the examination process has been completed. Each report shall include an opinion as to whether or not the examiner considers:

(i) that the thesis is of sufficient standard\(^1\) for the degree of PhD; or

(ii) that the thesis is not of sufficient standard for the degree of PhD in its present form\(^2\) but should be revised and re-submitted for a new examination; or

(iii) that the candidate should be failed with no opportunity to re-submit the thesis.

\(^1\) Any suggested minor corrections or revisions (e.g. corrections of typographical errors and errors in nomenclature, improvement in phrasing, or rewriting of small sections of the thesis) should be outlined in the examiner’s report. It is understood that it will be the responsibility of the supervisor to discuss the suggested changes with the candidate, to determine which should be incorporated in the thesis before its final submission. Minor corrections and amendments must be made within a period of one month.

\(^2\) This recommendation reflects the examiner’s opinion that further research, re-analysis of data, or substantial rewriting of at least part of the material is required.

Appointment of Thesis Examining Committee (TEC)

(e) A TEC shall be established by the Faculty to conduct an oral examination and subsequently to consider the opinions of the examiners, and recommend an examination result from among the three options in Procedure (d). The TEC shall consist of the following members:

(i) a Chairman (non-voting member);
(ii) two internal examiners and one external examiner (voting members); and
(iii) at least one primary supervisor or co-supervisor (ex-officio non-voting member(s)).

The Chairman shall be appointed by the Faculty from a pool of academics, preferably at Associate Professor level or above, to be nominated by the Dean of the Faculty and approved by the BoGS. The TEC Chairman shall be a Teacher who is eligible to be a supervisor and has successfully supervised at least one research postgraduate student until graduation in this University or at other comparable institutions; and, as far as possible, shall not be from the same department or subject area (in the case of a unitary faculty) as the candidate, but appointed from a cognate discipline so as to have sufficient understanding of the subject of the thesis. The Chairman should ensure that the examination is conducted in a fair manner, and make a recommendation to this Examining Committee on whether a fourth independent examiner should be appointed if the TEC cannot reach a consensus on the examination result after the oral examination. A person appointed as an examiner who is not a Teacher of the University shall receive an honorarium. Only one such honorarium shall be payable to each examiner for the examination, including re-examination, of each candidate.

Participation of Examiners in Oral Examination

(f) In cases where one or more examiners is/are of the view that the thesis is of insufficient standard for conferment of the degree, it is mandatory for the external examiner to participate in the oral examination. If the external examiner is not available in Hong Kong at the meeting of the TEC to determine the examination result, a meeting by means of
teleconferencing or video-conferencing shall be held to obtain the external examiner’s direct input to the oral examination. Only if such means prove not to be possible should Faculties consider appointing an additional examiner to represent the external examiner at the oral examination. Prior approval of the BoGS shall be required for the appointment of an additional examiner who shall meet the requirements stipulated in PHD15(2)(b) above. In cases where all the examiners agree that the thesis is of sufficient standard for the conferment of the degree, Faculties are still encouraged to arrange for the participation of the external examiner in the oral examination through any of the means stipulated above.

Oral Examination

(g) The oral examination is compulsory. The oral examination shall normally be held in Hong Kong by the TEC.

(h) The Faculty Secretary shall give the candidate at least one week's notice of the date of the oral examination.

(i) In special cases where an oral examination cannot be held in Hong Kong, special approval shall be sought from the BoGS.

(j) An oral examination is normally considered a closed examination, although the Chairman may extend invitations to those who have been closely associated with the preparation of the thesis. Questions will only be raised by members of the TEC. (See Procedure (e) above.)

(k) Following the oral examination, the TEC will meet in camera to render an overall assessment of the thesis and of the candidate's ability to defend his/her work.

(l) Where another examination, in addition to the oral examination, has been recommended by one or more specialist examiners, the TEC shall decide whether any other further examination shall be necessary; and if so, the method of examination and the examiners to be appointed. This other examination shall also be assessed by both the internal and external examiners.

Thesis Examination Result

(m) After the oral examination and any other examination, where required, the TEC shall inform the Faculty Secretary which option in (i) to (iii) of Procedure (d) they would recommend, and in the case of (d)(ii), whether a new oral or other examination is required.

(n) No candidate shall be permitted more than two submissions of thesis or more than two oral examinations.

(o) If the Committee recommends option (i) or (iii) of Procedure (d) above, the Faculty Secretary shall inform the appropriate authority of the Faculty to make a recommendation to the BoGS as in Procedure (t) below.

(p) Where corrections and amendments to the thesis are required, the Faculty Secretary shall inform the student of such as soon as possible in order that the corrections and amendments can be addressed without delay.

(q) When the TEC decides that a candidate is required to revise and re-submit the thesis for a new examination as in (d)(ii), the Faculty Secretary shall inform the candidate of such. At the same time the candidate shall be informed that attendance may be required at a new oral or any other examination. The candidate shall be required to produce a summary of the amendments made to the revised thesis, on re-submission.
(r) A re-submitted thesis will be examined by the original examiners who shall advise whether a new oral examination or any other examination is required, and may recommend only:

(i) that the thesis is of sufficient standard for the degree of PhD; or

(ii) that the candidate should be failed.

Any suggested minor corrections or revisions (e.g. corrections of typographical errors and errors in nomenclature, improvement in phrasing, or rewriting of small sections of the thesis) should be outlined in the examiner's report. It is understood that it will be the responsibility of the supervisor to discuss the suggested changes with the candidate, to determine which should be incorporated in the thesis before its final submission. Minor corrections and amendments must be made within a period of one month.

(s) The TEC shall be invited to consider the written reports on the re-submitted thesis from the examiners and to make a decision on whether the candidate is required to attend a new oral examination or any other examination, subject to Procedure (n). If a second oral examination is required, the Faculty Secretary shall follow Procedures (g) to (k) above and organize a new oral examination.

Candidate's Final Examination Result

(t) The recommendation of the TEC shall be forwarded to the Faculty. The recommendation of the Faculty on the result of the PhD programme should be passed to the BoGS for a decision on behalf of the Senate. All the relevant documents on the case should be attached.

Time Limit for Revision

(u) The final version of a PhD thesis not requiring re-examination shall be submitted to the Faculty Secretary within 1 month, unless specified otherwise, of the date on which the student is informed of the examination result. If a corrected thesis is not submitted within 2 months of this deadline, the programme will be terminated.

(v) PhD theses requiring re-examination shall be resubmitted to the Faculty Secretary within 12 months, unless specified otherwise, of the date on which the student is informed of the examination result. Students requiring re-submission and re-examination of theses must maintain their registration during this period. Failure to resubmit the revised thesis within 12 months will result in the termination of the student's programme.

(w) Any departure from the above i.e. a special case, requires the approval of the BoGS.

PHD16. Coursework Examination Results

1. Coursework shall be assessed on a pass/fail basis.

2. The DRPC shall make recommendations on the examination results of the candidates in the departmental/faculty courses taken in accordance with Regulation PHD15, to the FHDC for a decision. The Graduate School shall make recommendations on the candidates’ examination results in Graduate School courses to the BoGS for a decision.

3. In the event that a candidate has failed in any course (which, for this purpose, covers both the re-examination of the same course and the “alternative” course) in a second attempt, he or she may be
recommended for discontinuation, or termination of candidature if still within the probationary period of study. The normal procedures for discontinuation and termination (as laid down in Procedure PHD12 above) shall be followed.

4. Candidates who are unable because of illness to be present for any written examination may apply for permission to present themselves for a supplementary examination. Any such application shall be made on the form prescribed within two weeks of the first day of absence from any examination. The supplementary examination shall be held at a time to be determined by the FHDC (for departmental/faculty courses) or the BoGS (for Graduate School courses) as appropriate. Candidates who fail to satisfy the examiners in one or more papers in such a supplementary examination shall be considered as failure at the first attempt.
Good Practices for Research Postgraduate Students

While as a research postgraduate student you have a right to expect adequate support for your work from the University you must also accept that the University has expectations of you too. The University expects its research postgraduate students:

a) To read these and other Guidelines so that you are aware of what you can expect of the University and what the University expects of research postgraduate students, supervisors and Departmental Research Postgraduate Committees.

It must be stressed, however, that these Guidelines refer to the University’s minimum expectations and describe them only in the broadest terms. The relationship between you, your supervisor(s) and your department will be a very personal one which only you can fully understand and make successful.

b) To attend the Orientation Programme and any other relevant courses arranged for research postgraduate students.

At least once each year the Graduate School will organize an Orientation Programme designed to introduce newly-registered research postgraduate students to the University and the facilities that it offers for their work. Structured coursework is offered as a compulsory component of the MPhil programme to MPhil students enrolled from September 1, 1999 and the 4-year PhD programme to PhD students enrolled from September 1, 2001. Courses are intended to aid students’ research work and preparation for the writing of the thesis. Such courses are intended to enable you to commence and conduct your research more efficiently and effectively.

c) To conform with the University’s regulations and any additional requirements imposed by your Faculty and Department.

It is your responsibility to be aware of these requirements. Read the Degree Regulations and Degree Procedures appended to this Handbook and seek any necessary advice from your supervisor(s), the Departmental Research Postgraduate Committee or your Departmental or Faculty Office.

d) To observe the regulations governing residence in Hong Kong and seek the necessary permission to be absent from your studies or from Hong Kong whether for study purposes or for personal reasons.

MPhil and PhD students are expected to spend the whole study period in Hong Kong. Permission to be absent from your studies and/or from Hong Kong for up to one month, as well as any period of vacation for up to 14 days excluding Saturday afternoons, Sundays and public holidays in each twelve-month period, may be granted by the Departmental Research Postgraduate Committee, on the recommendation of your supervisor(s). You can be absent for reasons associated with your study if your supervisor(s), and the Departmental Research Postgraduate Committee agree, in which case your period of study will not be
changed and you will have to continue to pay fees. Applications for a period of absence for longer than one month, but not exceeding 12 months, will also need to be endorsed by the Faculty Higher Degrees Committee, on the recommendation of the Departmental Research Postgraduate Committee. Under no circumstances shall leave of absence be granted for a cumulative period of more than twelve months for study and non-study purposes for the entire period of study. Period of absence exceeding the permitted period will normally necessitate the candidate withdrawing his or her candidature. But he or she will be allowed to apply fresh for admission subsequently.

In addition to the above, a student shall follow the arrangements on sick leave as specified in the University General Regulation G8(b)(i) on the understanding that he/she shall also inform his/her supervisor and Department immediately of his/her sick leave. If you need to take sick leave of 3 days or above, you shall submit an application for sick leave with a certificate signed by a registered medical practitioner as far as possible. For sick leave over 7 days, you shall submit an application for sick leave and it must be accompanied by a certificate signed by a registered medical practitioner. If you need to be away from your study because of illness for a longer period of time where your study progress may be affected, you should take non-study leave instead of sick leave.

Students who have maternity need may apply for either non-study leave or maternity leave depending on their own need, while students who have paternity need may apply for paternity leave, in accordance with the Regulations and Procedures for the Degree of Master of Philosophy / Doctor of Philosophy.

e) To execute the research, associated writing and thesis production with sufficient diligence to ensure that your studies can be completed within the period of study specified for the degree and study mode.

The funding which the University receives to support your studies varies according to the programme you are registered for and, whether you are studying full-time or part-time. You should not therefore be surprised that there will be pressure on you to have submitted your thesis for examination within this time. However much you enjoy working in the University your studies should not be unduly prolonged.

**The Supervisory Relationship**

f) To establish an agreed manner of working with supervisors.

You will need to consider carefully at the outset of your studies whether you will be able to work over an extended period with your supervisor(s): the Degree Procedures make provision for you to agree to the supervisor(s) appointed. Different people interact in different ways that cannot be prescribed by regulation; learn the style of your supervisor(s) and, if in doubt, ask them what they expect. You will often be the one to initiate meetings and you should go to them well prepared with a clear idea of what needs to be discussed and what needs to be decided. Whatever style of supervision is adopted, the University believes that both students and supervisors have a mutual responsibility to maximize the effectiveness of their relationship in the interests of both scholarship and the timely completion and reporting of the research being undertaken.

g) To maintain contact with supervisors at sufficiently regular intervals to permit work to progress in a satisfactory and timely manner.
It is impossible to lay down precisely the frequency with which such contacts should occur since their necessity will depend on the academic discipline, the study mode, the nature of the research being undertaken and the personalities involved. However, for full-time students a meeting once a month on average would not be an unreasonable expectation; part-time students may expect to meet less frequently, on average. Meetings may need to be more frequent at the beginning and less frequent towards the end of your studies. Such contacts need not always be face-to-face. Telephone, facsimile or e-mail contacts can be equally effective in some circumstances for some people, and written work can sometimes be dealt with other than by recourse to a meeting.

h) To identify problems encountered in supervision and share them with supervisors, mentors, the Departmental Research Postgraduate Committee, and/or Advisory/Supervisory Panel or Committee as appropriate so that they can be resolved before they develop into grievances.

It would be surprising if, in such a large community of students and supervisors as ours, personal relationships did not sometimes come under great strain. Problems should first be discussed openly, and tactfully, with your supervisor(s), mentors, the Departmental Research Postgraduate Committee Chairman, and/or Advisory/Supervisory Panel or Committee as appropriate. If however, you think that this is not possible, then approach your Faculty Higher Degrees Committee, or the Dean of the Graduate School for help. If you think that you have a grievance against a member of the University staff, i.e. a problem that has not been resolved, despite everyone’s best efforts, then there are formal grievance procedures to which you can turn (see “Grievances and Disciplinary Matters” of this **Handbook**). However, the University will expect all parties concerned to have made every effort for conciliation before it invokes the procedures.

i) To give supervisors sufficient notice and sufficient time to comment on research findings or written work, including thesis drafts.

Supervisors have many other responsibilities in addition to you. It is unreasonable to present them with work without prior notice and then expect them to provide detailed comment and criticism ahead of all other demands upon their time. Part of the working agreement between you and your supervisor(s) should be a timetable for the presentation of your work and agreement on the period they have to deal with it.

j) To keep supervisors informed of any personal, social, medical or financial problems that might impede their progress so that appropriate solutions can be found.

You cannot expect to receive all the help that you need from your supervisor(s), the Department or the University if you do not identify and reveal your problems. Problems which are not dealt with promptly rarely resolve themselves - they grow in scale and may eventually become insoluble. If you think that your problems are too personal to be resolved in your Department, seek advice from the Dean of the Graduate School, the Centre of Development and Resources for Students (CEDARS), the University Health Service, or the Dean of Student Affairs. All will treat your approach in confidence and offer you counselling in their areas of expertise.

**Progress and Reporting**

k) To make sufficient progress in your work to enable supervisors and the Departmental Research Postgraduate Committee to make definite recommendations on confirmation of candidature at the end of your probationary period.
Only by meeting the agenda of work agreed between you and your supervisor(s) can you avoid the danger of failing to be confirmed in your candidature. You should not expect your supervisor(s) or the Departmental Research Postgraduate Committee to recommend your confirmation of candidature unless they are sure of your satisfactory progress. The Chairman of the Departmental Research Postgraduate Committee is required to show you any adverse report which recommends extension of your probationary period or non-confirmation of your candidature.

l) To provide, on time, six-monthly progress reports to the Faculty Higher Degrees Committee or any other reports required of you by the Departmental Research Postgraduate Committee or supervisors including the provision of a detailed scheme of research and a data management plan (DMP), where applicable, for approval at the end of your probationary period.

Before the end of your probationary period you must prepare a detailed scheme of research describing the work that you intend to undertake during the remainder of your candidature (and if you are an MPhil or a 4-year PhD candidate, you should also have completed the required proportion of coursework). For students who register in September 2017 and thereafter, a data management plan has to be submitted, where applicable. The detailed scheme of research and data management plan, where applicable, would be taken into account by your supervisor(s) and the Faculty in deciding if your candidature is to be confirmed. You should then complete a six monthly progress report form provided to you on your supervision and progress enabling you to raise any problems with your supervision or with your research.

m) To seek sufficiently far in advance permission to extend candidature or change between full-time and part-time study modes.

It takes time to approve changes in your candidature. Do not expect decisions to be taken on such matters in just a few days (although in real emergencies the Chair of the Board of Graduate Studies and/or the Chair of the Faculty Higher Degrees Committee may be able to take action on behalf of the committee). You also have a responsibility to inform the University of changes in your circumstances which require you to change between full-time and part-time study as laid down in the Degree Procedures (see the “Transfer” section under “Registration” in this Handbook).

n) To complete any coursework and associated examinations requirements.

MPhil students enrolled on or after September 1, 1999 and 4-year PhD students are required to take coursework organized by the Graduate School and their faculties/departments as part of their research training. 3-year PhD students who registered in September 2009 and thereafter are required to take the Graduate School course on research ethics. They may also be required to take some other courses if their supervisors think that this is beneficial to their training. If you register for such courses, then you have an obligation to complete them: if you do not then you will be wasting the University's resources and perhaps denying one of your fellow students the chance to benefit from courses where there is limited registration.

Ethics and Safety

o) To ensure that you conduct your research in a safe and ethical manner.

You should be familiar with what is considered to be good, ethical practice in your subject area - enquire of your supervisor(s) whether your Department has specific guidelines. Similarly, you should be aware of safe practices in laboratories and other workplaces in
the University, not only for your own protection but also for that of others. Your Head of Department is required by the University to “draw up a detailed statement of policy ... as it pertains to his/her department and to establish, promote and administer safety procedures and standards”. Your department may also have a Safety Manual - if so, read it! Further guidance on the University's safety policy is outlined in “University Safety Policy” section of this Handbook. You should certainly take advantage of courses and seminars on various aspects of safety that are organized within the University.

p) To store your original research records and data in a manner that permits their examination by others for accuracy and authenticity.

You should keep your research records in a secure and orderly manner so that you and your supervisor(s) can examine them when necessary. The records should describe your work, data or findings in sufficient detail to allow others to examine or to repeat and replicate your work. Keep them safe since you may also need them later to prepare publications based on your research and even, in rare cases, to satisfy the University that you have actually conducted the work that you claim as your own. In addition, students who register in September 2017 and thereafter are required to submit dataset of their research, where applicable, when they submit thesis for examination. More information is available at http://lib.hku.hk/researchdata/rpg.htm.

Professional and Personal Development

q) To take advantage of those facilities and opportunities provided by the University and others that are intended to help students in the completion of their work and their own personal development.

The University, in particular the Graduate School, arranges courses which are intended to help you deal with various aspects of your work e.g. thesis production, academic writing, statistical analysis, personal development etc. Research can be a lonely undertaking and if you never venture out from your department, your laboratory or the library you cannot expect to benefit from those aspects of professional and personal development which should be as much a part of your research studies as your research project. The Postgraduate Student Association can be a source of advice and support from your fellow students.

r) To contribute to the general intellectual activity of the Department, Faculty and University including presenting and taking part in seminars and workshops.

Academic work is about discourse. You need to discuss your own work as well as take part in the discussion of others' work; only in this way will you benefit from the criticism of your student peers and academic mentors and learn the conventions of academic life. Effective presentation of your work is a skill to be learnt and perfected through practice; those who cannot communicate effectively are always at a disadvantage, throughout life.

Studentships and Other Employment

s) To conform with the regulations governing postgraduate scholarships (PGS), in particular the requirement that the holders are in full-time study and have no other employment.

Postgraduate scholarships (PGS) are awarded on an annual basis, renewable upon satisfactory academic progress having been demonstrated, and upon funds for the PGS continuing to be available. The maximum period of award is, in the case of MPhil candidature, two years, and in the case of PhD candidature, the first three years or four
years, this being the specified period of study. Postgraduate PGS holders must be resident in Hong Kong (unless permission has been granted for temporary absence for study purposes) and full-time student. If the University discovers that you are not fulfilling your obligations in this regard it may withdraw the PGS. If the termination of your PGS, or any other financial support that you receive, creates financial difficulties for you, discuss them with your supervisor(s) and the Departmental Research Postgraduate Committee in the first instance or approach the Dean of Student Affairs or the Graduate School for advice.

t) To provide services that may be required of you as part of your MPhil/PhD training if you hold a postgraduate scholarship (PGS).

If you hold a PGS, your Head of Department may require you to provide teaching/laboratory assistance or associated services for up to a maximum of 100 hours each year. The no. of hours of services is intended to include sufficient time for teaching preparation, assignment marking etc. If you think that your workload is unreasonable, or if you cannot meet these obligations, then you should discuss the matter with your Head of Department.

If you are a PGS holder who registered before September 1, 2012, you may provide extra services for a maximum of a further 150 hours per annum (i.e. in addition to the 100 hours mentioned above) as part of your PGS services in return for a higher PGS rate as determined by the University from time to time. If you are a PGS holder who registered on September 1, 2012 and thereafter, you may take up part-time employment offered by the supervisor/Department/Faculty in accordance with the University's human resources policy and practices and subject to the approval of the Faculty Higher Degrees Committee, provided that the total no. of hours of work is within the cap of 150 extra hours per annum. If you are a non-local student, such kind of part-time employment is also subject to your fulfillment of the immigration policies/guidelines where appropriate. You are advised to check this out with the Immigration Department and/or CEDARS before taking up any part-time employment.

Thesis Submission and Examination

u) To prepare and submit for approval a Notice of Intention to Submit Thesis not later than three months before the intended date of submission of the thesis.

As soon as you are about to be ready to submit your thesis, you should submit a Notice of Intention to Submit Thesis via the Departmental Research Postgraduate Committee to your Faculty Office. The notice shall be accompanied by a provisional thesis title. This can be done at any time after your candidature is confirmed, i.e. at the end of your probationary period, and no later than three months before you intend to submit your thesis. The Departmental Research Postgraduate Committee and the Faculty can identify and appoint your examiners who can then examine your thesis with the minimum of delay. It is helpful, though not mandatory, to prepare an abstract of the content of your thesis to accompany the thesis title.

v) To produce a thesis which is free of plagiarism and which contains no unauthorized or copyrighted material.

Plagiarism is defined as direct copying of textual materials or willful use of other people’s data and ideas, and presenting them as one’s own without acknowledgement, whether or not such materials, data and ideas have been published. You have to make sure that you acknowledge unequivocally, or otherwise identify, the work of others. You should also be aware of the existence of copyright, both your own and that of others. Your thesis should contain no copyrighted material other than with the express permission of the copyright holder.
The Policy Board of Postgraduate Education has approved that all MPhil and PhD theses submitted from January 1, 2011 and thereafter are required to go through a compulsory plagiarism check via the software *Turnitin* before submission for examination. Students should submit their draft theses to *Turnitin* for self-checking, and make amendments where appropriate, in consultation with their supervisor(s) if necessary, before a formal submission for examination.

Please refer to the sections of ‘Policy on Research Integrity’ and ‘Intellectual Property Rights Policy’ of this *Handbook* for more information.

w) **To submit sufficient copies of a thesis and thesis abstract prepared in accordance with the regulations for examination.**

The *Regulations Governing the Format, Binding and Presentation of Theses for Higher Degrees by Research* are published annually in the *University Calendar* and are reproduced in this *Handbook*. They are also included in a booklet prepared by the Graduate School entitled *Preparing and Submitting Your Thesis* which contains a great deal of additional, practical advice. This booklet is on the website of the Graduate School. After receiving notification that all formal requirements for conferment of the degree have been satisfied, you should submit to the Faculty Office sufficient hard copies of the finalized bound thesis and thesis abstract. Please check with your Faculty for the number of copies required. In addition, you should submit a soft copy of the thesis for open access in the HKU Scholars Hub.

x) **To refrain from contacting the External Examiner during the examination process.**

In order not to compromise the examination process and to enable it to be conducted in a fair manner, you should not contact the External Examiner during the examination process until the Board of Graduate Studies has made a final decision on the examination result.

y) **To complete promptly any corrections required by the Board of Examiners in accordance with the specific instructions contained in its recommendation.**

If the outcome of your examination is a recommendation for the award of the degree subject to certain corrections being made to your thesis, then you should carry out these corrections promptly since the more time that elapses the more difficulty you will have complying with them - you may have embarked upon further study or a new job which requires most of your attention. The University expects these corrections to be completed within the period specified by the Board of Graduate Studies and approved to the satisfaction of a designated person/person(s) who may or may not be your supervisor. If the outcome of your examination is that the thesis must be revised and re-submitted for a new examination then you should seek advice on how to meet these requirements: your supervisor(s) will usually be the most appropriate source of this advice.

z) **To complete the questionnaire about the University, its facilities and your candidature which is sent to all students leaving the University.**

It would be surprising indeed if all research students were fully satisfied with every aspect of their time in the University. By completing this questionnaire you can help the University in considering how its support for research students can be improved in the future. The University likes to hear from satisfied students too!
Good Practices for Supervisors

As a supervisor you should have a commitment to research and scholarship that informs your supervisory role: those who are not themselves active in research and scholarship can rarely supervise the work of others so engaged with success. Your responsibilities to your students also extend beyond ensuring that your students’ research is conducted in a timely and professional manner: you also need to ensure that your students are imbued with a commitment to scholarly values and that they understand the need to enhance their own personal and professional growth.

Co-supervisors/Supervisory Panels

A co-supervisor should be appointed in cases where the proposed primary supervisor is a “first-time” supervisor. A “first-time” supervisor is defined as someone who has not had the experience of supervising any research postgraduate students through to successful completion of the thesis and graduation, in the same or a higher level degree programme.

Co-supervisors may have special knowledge or skills that are important to a student’s research project and supplement those of the primary supervisor; they can also act in the place of the primary supervisor when he or she is away on periods of leave and thus provide continuity of advice and guidance. Co-supervisors may also provide students with an alternative source of support at times when a student’s relationship with their primary supervisor may be suffering strain. In this document supervisors are always referred to in the plural in recognition of the importance of co-supervision.

For students registering on September 1, 2012 and thereafter, it is required that in addition to the appointment of a primary supervisor, either (i) a co-supervisor is appointed; or (ii) a mentor is assigned, on the understanding that it is for the benefit of the student rather than for assisting the primary supervisor; or (iii) an Advisory/Supervisory Panel or Committee is established. The relevant Procedures for the Degree of Master of Philosophy / Degree of Doctor of Philosophy should be followed in the appointment of eligible primary supervisor, co-supervisor and mentor. The mentor does not necessarily have to be in the same research field as the student and does not require to submit a ‘Supervision Report’ on the student's study progress. The purpose of the above arrangement is to provide the student with an additional/alternative source of support on the understanding that a person providing continuity advice and guidance at an earlier stage could be helpful in pre-empting/alleviating the occasional situations when a student's relationship with the primary supervisor is suffering strain or if there is a conflict between the primary supervisor and student. Faculties are also encouraged to introduce this arrangement for students who have registered before September 1, 2012.

Your responsibilities as a supervisor are:

a) To attend the seminar on Responsible Conduct of Research organized by the Research Services of the Registry within 12 months after you have joined the University, before you are eligible for RPg student supervision.

This requirement applies to all teachers and Research Assistant Professors joining the University on July 1, 2012 and thereafter, unless exemptions have been granted by the University Research Committee via the Head of Department and Faculty Dean on exceptional circumstances. You may wish to contact the Research Services directly to check out the schedule when the next seminar will be conducted.
b) To attend a workshop / seminar on Supervisor Training organized by the Faculty within 12 months after you have joined the University or taken up new appointment as Assistant Professor or Research Assistant Professor on September 1, 2015 and thereafter, before you are eligible to be appointed as a primary supervisor or co-supervisor for RPg students.

Starting from September 1, 2015, all newly appointed Assistant Professors and Research Assistant Professors are mandated to attend a Faculty-based workshop / seminar on Supervisor Training, unless exemptions have been granted by the Policy Board of Postgraduate Education, with the support of Faculty / FHDC and based on good justifications, on exceptional circumstances. You may wish to contact your Faculty directly to check out the schedule when the next supervisor training will be conducted.

The Supervisory Relationship

c) To read this and other guidelines on supervision so that you are aware of what the University expects of research students, supervisors and Departmental Research Postgraduate Committees.

It must be stressed, however, that these guides refer to the University’s minimum expectations and describe them only in the broadest terms: good and successful supervisors will be able to bring much more to their supervisory relationships and practice.

d) To ensure that newly registered students who do not know the department or the University are introduced to fellow research postgraduate students, members of the academic staff and those key members of the technical and secretarial staff whom they may need to interact with.

It is very difficult for someone new to a department to understand quickly how it works. Even if they have been an undergraduate taught in that department a new research postgraduate student may well have only the vaguest notion of who everyone is. Whilst few departments take in sufficient students over a short period to make a formal welcome or induction necessary it can be a great help to ask a fellow student who does understand the department and the University to provide a helping hand in the first few weeks. This is especially true for non-local students who are likely to encounter the greatest problems. Do encourage all new students to come to the Orientation Programme, if they arrive in time, and also to make contact with the Postgraduate Student Association.

e) To ensure that when students are jointly supervised, the supervisors mutually resolve any of their own differences of opinion so that students are not the subject of conflicting advice which supervisors themselves are unable to reconcile.

Co-supervision has advantages but its greatest potential disadvantage is the possibility of disagreement amongst the supervisors. However, academic research is about the resolution of conflicting advice and evidence and the supervision of research students should not be regarded as an exception to this general observation. Ensure that major areas of difference are discussed, and resolved, openly at meetings where your co-supervisors and the student are all present so that the latter can appreciate the cut and thrust of academic debate.

f) To ensure that the scheme of research undertaken by a student is within that student’s interests and capabilities and that the necessary facilities are already available.

You should be sure that the research to be undertaken by your students is appropriate in character and scope for the degree concerned, that it is feasible in terms of your own expertise and available time, and that the necessary facilities and other resources are
available to students. You should not promise students access to facilities or resources that cannot be provided within a time scale appropriate to the research project.

g) **To agree with each of your students a schedule of meetings which is sufficiently frequent to enable progress to be made towards the degree sought in the specified time and to identify problems which can then be resolved promptly.**

The frequency of such meetings cannot be laid down by regulation but they will certainly need to occur more often at the beginning of students’ candidatures since it cannot be stressed too strongly that the success of students in their studies depends to a large extent on the help and guidance that supervisors offer them in the early stages of their work. Meetings with part-time students may be somewhat less frequent. Telephone, facsimile or e-mail communication can be a particularly important mode of interaction, especially with part-time students, but you should not regard these as a complete substitute for face-to-face meetings.

h) **To help your students to manage their time effectively by agreeing an agenda of work, and a timetable for its implementation, consistent with enabling students to submit for their degree in the time specified.**

Without well-defined objectives students may get off to a slow start and thus be behind schedule almost as soon as they begin. These objectives should not only include those relating to the research itself but also all those other skills which students must develop if they do not already possess them e.g. writing skills, statistical skills, language skills etc. Failure of students to meet attainable objectives on time, or the repeated postponement of scheduled meetings, are among the first signs that they are in trouble and need extra help from you.

i) **To ensure that the training duties being undertaken by students are relevant to their approved scheme of research and that the necessary resources are available to complete the training.**

You should not encourage, or require, your students to engage in duties which is not related to their own research proposal or approved scheme of research unless they are doing so in some other capacity e.g. as a research assistant, and are studying on a part-time basis. Full-time study means just that; the definition of full-time and part-time student and the amount of training duties that they are permitted to undertake has been approved by the Senate - it is not appropriate for individual supervisors to redefine these provisions for their own convenience. It is also your responsibility to provide, or negotiate access to, the resources and facilities which turn out to be essential to the completion of your students’ training even if the need for these had not been foreseen earlier.

j) **To require students to make periodic, public presentations of their research or related work and provide them with advice on the most effective way of communicating their findings.**

The Degree Regulations and Procedures strongly encourage students to give one or more seminars on the subject of their course of study and research during their candidature for their degree. Most students, to their surprise, seem to enjoy them once they have overcome their natural reluctance or shyness and have become familiar with the presentation techniques involved. There are seminars and personal development programmes in the University provided through the Graduate School which can help to develop the necessary skills. Perhaps one of the most important consequences of preparing for a public presentation of their work is that your students will be able to appreciate more clearly their own research objectives and the progress that they are making towards achieving them.
k) To stand down as a supervisor if the research work of one of your students has taken a direction that you no longer feel competent to supervise, but only after making the efforts necessary to identify and appoint an alternative supervisor.

Changes of supervisor, for whatever reason and at whatever time, are rarely free from stress on either side but neither you nor the student concerned should regard such a change as a failure: the most important consideration is that the University requires supervision to be effective and the attribution of blame when such effectiveness is in question will rarely be a constructive contribution to the success of future supervisory arrangements. An inescapable consequence of your desire to discontinue the supervision of a particular student is your moral responsibility to ensure that a suitable successor can be appointed before you stand down.

l) To recognize that non-local students may meet special problems in adjusting to life in Hong Kong.

Accommodation, financial difficulties, cultural differences and diet probably top the list of such problems. The Centre of Development and Resources for Students (CEDARS) can often provide you with much needed help through the weekly support group which provides a platform for the postgraduate students to meet, to discuss and to support each other; and the Postgraduate Student Association also provides a forum where students can help one another. You should ensure that your students are aware of these extra-departmental sources of support and encourage them to avail themselves of the organizations set up to help with such problems. In some cases the Counselling and Person Enrichment of CEDARS may be able to provide invaluable support.

Ethics and Safety

m) To ensure that students are aware of, and properly instructed in, the ethical execution of research, laboratory work, experiments or other practices.

You cannot expect your students to be automatically aware of the ethical context and practices which govern proper, well conducted work in your field; your department should consider preparing guidelines for the benefit of both students and novice supervisors if it has not already done so.

n) To ensure that students are aware of, and properly instructed in, the safe execution of laboratory work, experiments or other practices.

Safe working practice, and the avoidance of accidents, is not always self-evident to those who do not appreciate the hazards involved. Supervisors must not assume that students are aware of the potential hazards of the research work that they are to undertake; every effort must be made in the first few months of their candidature to ensure that students are educated, instructed and trained in safe and healthy methods of working. Supervision of the execution of working practices and techniques should not be relaxed until such time as you are certain that your students can perform them safely and to your satisfaction. The department should have a health and safety policy supported by a departmental code of practice whose provisions should be followed. However, not all hazards relevant to all research groups can be addressed in these documents and you should document those for which you are responsible and for which you have special knowledge. Prior to a new research programme, or during a continuing research programme when additional or different procedures with new hazards are to be introduced a careful assessment of the potential risks should be undertaken before the new work commences. Certain procedures
cannot be undertaken without prior instruction, e.g. the use of radioisotopes and ionizing radiations, or prior permission, e.g. the use of live animals or experiments on humans or human material. You are responsible for ensuring that your students receive the necessary instruction or seek the necessary permission before embarking upon such work. Any incident, accident or dangerous occurrence which could result, or actually results, in injury should be reported immediately to the Safety Office (2859-2400).

Reporting and Progress

o) To keep a record of the frequency and subject matter of your meetings with your students so that accurate progress reports can be made.

It is important, especially with students who turn out to be weak or who are otherwise making slow or unsatisfactory progress, that you can refer to documentary evidence of your efforts at supervision. Your oral and written warnings to such students will carry much more weight if they know that you do this and use such records to reveal to them the nature or scale of the problems that they face. The Departmental Research Postgraduate Committee, the Faculty and other committees/boards involved might be unwilling to endorse drastic courses of action recommended to them, such as non-confirmation of candidature, extension of the probationary period or discontinuation unless there is adequate documentation.

p) To monitor the performance of your students and bring to their attention (and to that of others if appropriate or when requested) lack of progress or work of inadequate standard.

Supervisors have a responsibility to identify and report unsatisfactory progress to the Faculty Higher Degrees Committee. Your students must be kept informed, in writing, of your opinions and intended actions.

q) To identify personal, medical, or financial problems that may impede the progress of students and seek ways in which they can be resolved or managed.

Supervisors are not expected to be parental substitutes but you should be concerned with the general welfare of your students especially when timely completion is in jeopardy. If you feel that you do not have the requisite counselling skills, or knowledge of the ways in which particular non-academic problems can be resolved, then you should refer your students to those services in the University which do have expertise in such matters e.g. the Counselling and Person Enrichment of CEDARS, the University Health Service or the CEDARS. The longer counselling is delayed the more difficult it becomes to solve problems.

Professional and Personal Development

r) To encourage students to take part in the intellectual life of the University and arrange that they meet other researchers in their field and attend meetings or conferences whenever possible.

Students need to experience more than just the intellectual discipline associated with their research work; they may be unwilling to venture out into the greater life beyond department, laboratory and library unless encouraged to do so and secure in the knowledge that you will not regard this as an inappropriate distraction. They should be made to understand that they can make valuable contributions to the research work and culture of the University. You should ensure that your students meet other researchers from outside this University whenever possible. This may entail introducing them to academic visitors, however distinguished, and encouraging them to apply for the travel support which the University, through the University Research Committee, will consider awarding to full-time research
students to attend national or international conferences. They should also be encouraged to participate in programmes or activities which the Graduate School supports for this purpose.

s) To introduce students to persons who can provide guidance or training in specific areas of their work or their personal and professional development even though these persons are not supervisors.

There is no reason why, as part of their general service to the University, academic staff who are not supervisors cannot be asked to help you with the development of specific skills in a student. Naturally, such approaches require tact and should not require the commitment of an unreasonable amount of time on the part of such informal advisers.

t) To advise on the appropriate manner, form or location of publication of research findings and reach a mutual agreement concerning authorship and the recognition of your respective contributions to publications.

Your students will sometimes need to be encouraged to make reports of their preliminary findings. This will be the case when completed parts of their own research, or related work in which they have been involved, are judged to be of general interest and importance or if precedence needs to be established. You will need to ensure that agreement is reached with students concerning authorship and the mutual acknowledgement of the contributions that each of you have both made to the work to be reported, whether during or after the students’ candidature. Practices in different academic disciplines vary in this regard but it should not be assumed that the names of the supervisors or that of the student will automatically appear as authors on all such published work. The problem of the ownership of intellectual property is a delicate area of the rights of ownership in which the University will need to develop more detailed guidance.

u) To provide advice on the post-graduation development of students’ careers.

Your responsibility as a supervisor extends beyond the immediate task of aiding your students in the submission of a successful thesis. You are their mentor and should know their strengths and weaknesses better than anyone else in the University. This knowledge should enable you to counsel them on a future career, academic or otherwise, in which they might expect to be successful and in which they have a reasonable expectation of securing a position. Sometimes this advice may not be well received, especially if it does not accord with students’ own expectations or perceptions, but this should not deter you from offering it. The Careers and Placement of CEDARS does not just deal with undergraduates: postgraduate students can also benefit greatly from the service that it offers.

v) To provide informed assessments of students being considered for academic awards or employment while in the University and subsequent to their graduation.

Your unique and detailed knowledge of your students enables you to offer objective advice on their abilities to the University as well as to other organizations and potential employers. The University has a right to expect such advice from you when sought and its reputation, as well as your own, may be at risk if you do not offer it to others without fear or favour. Your students also have a right to expect you to offer such assessments, in confidence if necessary, should they request them.
w) To encourage students to commence preparations for the submission of their thesis at the outset of their candidature.

In one sense it is never too soon for students to commence work on their thesis. This preparatory work might involve drafting partial literature or technical reviews which, when later updated and further polished, can be incorporated into the final draft of the thesis. Such an approach may also enable you to diagnose problems that students may have with writing in English with style and clear, concise and accurate expression. If you do not feel competent to provide more than the most general instruction in this regard, encourage or require students to take advantage of the Graduate Student Writing Support Service provided by the Graduate School. Students may also need greater familiarity with word-processing or other computer software packages than you can provide: refer students to the computer induction courses organized by the Information Technology Services. If your students have especially intractable problems in statistics they should approach the Statistical Advice Centre for Students (STACS), which is one of the support services provided by the Graduate School. All students should be fully familiar with the operation of the facilities offered by the University libraries; there are frequent courses run by the Library to explain these facilities and how to use them.

x) To provide students with timely, critical and constructive comment on the content and drafts of their thesis and other written matter.

You will need to spend time dealing with early drafts of theses or other written matter giving advice, guidance and instruction (see above) in order to ensure that your students become able to express themselves clearly and accurately in their chosen field. The University explicitly expects you to read the whole of the final draft of the theses of your students before they are submitted, but this minimal expectation does not absolve you of the need to deal with earlier versions of your students' writings. You are required, under the Degree Procedures, to complete a “Thesis Submission Form” before your student can submit his/her thesis for examination. You are not responsible for the contents of your students' theses but you should make sure that your students are clearly aware of the related problems of plagiarism and copyright dealt with in “Copyright and Plagiarism”.

The Policy Board of Postgraduate Education has approved that all MPhil and PhD theses submitted from January 1, 2011 and thereafter are required to go through a compulsory plagiarism check via the software Turnitin before submission for examination. Students should submit their draft theses to Turnitin for self-checking, and make amendments where appropriate, in consultation with their supervisor(s) if necessary, before a formal submission for examination. As the supervisor who has the relevant expertise, you are responsible for interpreting and making judgment on the final Turnitin report and for giving advice to your students on refinement, where appropriate. You also have a duty to report to the Chairman of the Thesis Examining Committee (TEC) if plagiarized materials are identified in the thesis submitted for examination. The TEC will also be provided a soft copy of the Turnitin originality report for reference. In the 'Thesis Submission Form', you will be asked to confirm that the thesis has gone through a Turnitin check before submission for examination.

y) To propose the appointment of examiners as soon as the subject and content of the thesis can be readily identified so that the examining process can be fairly conducted and will not be unduly delayed.

Since you will be the person most familiar with the field in which each of your students is working you should be responsible for suggesting to the Chairman of your Departmental Research Postgraduate Committee the names of examiners, internal and external, who are
both expert in the field and likely to be available, so that he or she can nominate them for the
consideration of the Faculty. You are required to declare any potential conflict of interest with
the proposed examiners for consideration by the Faculty*. You will need to be sure that the
ominated examiners are likely to accept such appointment by approaching them informally
beforehand; the more expert and distinguished the prospective examiner, the more likely
it is that their name will occur to others and thus they may simply be too busy to act for
this University. Since it is unlikely that any examiner will accept appointment until they know
the title of the thesis that they will be expected to examine, you should encourage your
students to draft a title, in consultation with you, as soon as is reasonably possible; this can
be done at any time after confirmation of candidature and should not necessarily be left until
just three months before the expected submission of the thesis. If this title is accompanied
by a draft abstract the identification of suitable examiners can be much easier. Much time
can be saved if the list of nominated examiners is submitted to the Faculty for approval
at the same time as the Notice of Intention to Submit a Thesis and the thesis title are
submitted. In addition to determining their availability you should ensure that the nominated
examiners have no undue or unreasonable bias towards you, the student concerned or the
methodology or content of their thesis. Academic differences of opinion are legitimate, but
the success or failure of your students’ theses and their future career prospects should not
be consequent upon the whim of biased or otherwise inappropriate examiners.

*Under no circumstances should the student be consulted on who should be nominated to be the
examiners. However, the student concerned may be asked if he/she has any personal conflicts with
the list of possible examiners.

z) To refrain from and to advise students to refrain from communicating with the External
Examiners during the examination process.

In order not to compromise the examination process and to enable it to be conducted in a
fair manner, neither you nor your students should communicate with the External Examiners
during the examination process until the Board of Graduate Studies (BoGS) has made a
final decision on the examination. The BoGS has laid down a guideline that under normal
circumstances, if the student is not required to revise and resubmit the thesis for re-
examination, the External Examiner will not be involved in overseeing the final corrections
and amendments of a thesis, provided that the supervisor(s) or the Internal Examiners are
available to do the job.
Role of Faculty Higher Degrees Committee

1. The Faculty Higher Degrees Committee (FHDC) executes research postgraduate (RPg) policies as laid down by the Policy Board of Postgraduate Education. It should adopt the major principles of the University’s research postgraduate (RPg) education, namely, student-centred and merit based RPg policies, shared responsibility among University central, Faculties/Departments and supervisors, and recognition of disciplinary differences. The FHDC shall determine whether a formal/informal structure needs to be set up at the department level (e.g. Departmental Research Postgraduate Committee (DRPC) or a panel across cognate departments) to assist its management of RPg matters.

2. The FHDC should undertake good practices in RPg education, and should schedule meeting(s) at least once a year for experience sharing among the Departmental Research Postgraduate Committees/Units/Divisions within the Faculty. Below are some good practices specifically related to admissions and supervision. These good practices are the University’s minimum expectations described in the broadest terms. Faculties can always expand the checklist on good practices to cater for discipline and/or specific needs as deemed appropriate.

Admissions

3. The FHDC executes its important quality assurance role in the admissions processes and ensures that the best students are admitted by

   (a) considering and comparing all recommendations submitted by the DPRCs based on factors including the applicants’ qualification and research experience, supervisors’ track record on RPg supervision as well as the RPg student to supervisor ratio to make a final recommendation to the Board of Graduate Studies (BoGS); and

   (b) moving RPg places among Departments/supervisors if necessary, in case RPg quota has already been allocated to Departments/supervisors at the beginning of the admissions exercise, to ensure that the highest quality students are admitted.

Supervision

4. The FHDC:

   (a) determines, in consultation with the DRPC where appropriate, the maximum primary supervision load which is appropriate for the Faculty and different disciplines in the Faculty, so as to ensure that students receive adequate and high quality supervision;

1 The Graduate School recommends the FHDC to develop its own form which best fits its Faculty for evaluation of applications and that all the DRPCs within the Faculty to use the same form. An example of the form had already been provided to the FHDC Chairpersons earlier for reference.
(b) ensures that all newly appointed Assistant Professors are given opportunities to take up RPg supervision with the assistance of experienced supervisors given the importance of RPg supervision for personnel decisions and the time needed for a student to graduate. This may be done through the Faculty's/ Department's preferential allocation of places and funding support (in some disciplines);

(c) ensures that in addition to the appointment of a primary supervisor, either (i) a co-supervisor is appointed; or (ii) a mentor is assigned, on the understanding that it is for the benefit of the student rather than for assisting the primary supervisor; or (iii) an Advisory/Supervisory Panel or Committee is established, for each student registering on September 1, 2012 and thereafter. The relevant Procedures for the Degree of Master of Philosophy / Degree of Doctor of Philosophy should be followed in the appointment of eligible primary supervisor, co-supervisor and mentor. The mentor does not necessarily have to be in the same research field as the student and does not require to submit bi-annual progress reports. The purpose of the above arrangement is to provide the student with an additional/alternative source of support: a person providing continuity advice and guidance at an earlier stage could be helpful in pre-empting/alleviating the occasional situations when a student's relationship with the primary supervisor is suffering strain or if there is a conflict between the primary supervisor and student;

(d) is encouraged to introduce the arrangement as mentioned in 4(c) above for students who have registered before September 1, 2012 if the Faculty does not already have such an arrangement/similar arrangement in place;

(e) encourages co-supervision for inter-disciplinary research;

(f) appoints a co-supervisor for the student if the primary supervisor is anticipated to retire or leave the University before the end of the student's study period to ensure continuity of supervision;

(g) ensures that the supervisors comply with the ‘Good Practices for Supervisors’, and the students follow the ‘Good Practices for Research Postgraduate Students’ as promulgated on the Graduate School website and in the Handbook;

(h) monitors, in consultation with the DRPC where appropriate, the number of hours that Postgraduate Scholarship (PGS) holders spend on services provided to Faculties/Departments in fulfillment of the requirements of receiving the Scholarship. The services should carry educational benefits for the PGS holders and form part of their training, including but not limited to, running laboratories and tutorials and providing research/teaching assistance. The FHDC ensures that students are not overburdened and the services they provide are not solely for the relief of supervisors' research and/or teaching load;

(i) ensures that due procedures are followed, with clear documentation, in handling cases of RPg students such as disputes between supervisor and student, appeal against termination of candidature of students. Such cases should be handled by the supervisor(s) first and then by the DRPC and FHDC respectively where necessary, and that there should be good communication among supervisor(s), DRPC and FHDC so that consistent information is provided to the student concerned. Any decision which has not yet been endorsed by the DRPC and/or FHDC, where applicable, should not be released to the student so as to avoid unnecessary confusion;
(j) ensures that in appointing supervisors for RPg student supervision,

- all new teachers and RAPs joining the University on July 1, 2012 and thereafter must have attended or must complete attendance of the seminar on Responsible Conduct of Research organized by the Research Services within 12 months after they have joined the University, before they are eligible for RPg supervision, unless exemptions have been granted by the University Research Committee via the Head of Department and Faculty Dean on exceptional circumstances; and

- all Assistant Professors and RAPs joining the University or taking up new appointments at the University on September 1, 2015 and thereafter must attend a Faculty-based workshop / seminar on Supervisor Training within 12 months after they have joined the University so as to be eligible to be appointed as a primary supervisor or co-supervisor for RPg students, unless exemptions have been granted by the Policy Board of Postgraduate Education, with the support of Faculty / FHDC and based on good justifications, on exceptional circumstances. Existing staff not falling into the categories specified above are also encouraged to attend the Supervisor Training workshop / seminar.

(k) ensures that supervisor(s) closely monitor their students' study progress and complete the supervision reports in a timely manner, including the probationary reports before the Faculty makes a decision on a student's confirmation of probationary candidature.

*Please note that 'DRPC/Department' mentioned in some of the paragraphs above does not apply to unitary Faculties.*
Good Practices for Departmental Research Postgraduate Committees

The Departmental Research Postgraduate Committee can greatly assist the University in its role of monitoring the standards of research postgraduate education in the department, and in ensuring that the research postgraduate process is smooth and efficient by undertaking the following:

Admission and Registration

a) To monitor the general suitability of students seeking admission to the department insisting that, whenever possible, prospective students be interviewed and introduced to the department and prospective supervisors so that all concerned may make informed choices.

It is not usually possible to interview non-local applicants in Hong Kong although it may sometimes be possible to arrange for a panel of staff members to meet applicants in their home city or other convenient location; this is especially easy for applicants from the Mainland China. Students who are in Hong Kong should be given an opportunity to meet as many members of the staff of the department as possible, if they do not already know them, to ensure that they can make an informed choice about the subject area in which they will work and the character and interests of the supervisor(s) to whom they will be assigned.

b) To assist in complying with the University’s expectation that a decision on a student’s application shall normally be made within one month of the receipt of a formal application.

Please remain in close touch with the Faculty or the Graduate School over the progress of an application once it has been forwarded by the department.

c) To ensure that exemptions from the University’s admissions requirements are sought and that students are prima facie qualified to undertake the research proposed.

Departments and Faculties can impose more stringent requirements than the University’s minimum, e.g. demanding additional qualifications, academic transcripts, references or other evidence of a student’s ability, but all should be aware that the imposition of such additional conditions may seriously delay the admission of a student. Students should not be permitted to register on the condition that certain formal qualifications are gained during the probationary period: students will have more than enough to do working on their research in this year and failure of students to comply with such conditions may result in their candidature lapsing thus wasting their time and money, the University’s limited resources, and jeopardizing the University’s reputation through poor completion rates. Exemptions from any necessary English language requirements e.g. TOEFL or IELTS, are not permitted without the specific permission of the Board of Graduate Studies.

d) To insist that, other than in exceptional cases, students seeking to read for the degree of PhD who do not already possess a Master’s degree register first for the degree of MPhil.
By such insistence the department and the University both gain some protection against enrolling students who may prove to be unequal to the demands of doctoral study. A candidate whose candidature has been confirmed and who has satisfactorily completed all coursework requirements may be permitted to transfer the candidature from MPhil to PhD. There is also a better guarantee of ultimate doctoral success if it can be determined that the Masters degree of students applying for direct registration for the degree of PhD has included an element of research training and a research thesis or dissertation.

e) To consider organizing an annual induction for all new students to introduce them to the facilities available in the department and the faculty.

Such programmes can supplement the Orientation Programme organized at University level by the Graduate School and are an excellent way of getting new students off to a good start in their work as well as introducing them to their fellow students and to academic staff other than their supervisors.

Supervisors

f) To ensure that supervisors are suitably qualified and sufficiently expert to supervise the research of the students assigned to them and that there is reasonable expectation of compatibility between them.

Where co-supervision is envisaged, the Departmental Research Postgraduate Committee should be satisfied that there is a reasonable expectation of the supervisors being able to work together. Assessing the likely compatibility between students and their supervisors is difficult at this early stage but is likely to be an important precondition for successful completion.

g) To ensure that in addition to the appointment of a primary supervisor, either (i) a co-supervisor is appointed; or (ii) a mentor is assigned, on the understanding that it is for the benefit of the student rather than for assisting the primary supervisor; or (iii) an Advisory/Supervisory Panel or Committee is established, for each student registering on September 1, 2012 and thereafter.

The relevant Procedures for the Degree of Master of Philosophy / Degree of Doctor of Philosophy should be followed in the appointment of eligible primary supervisor, co-supervisor and mentor. The mentor does not necessarily have to be in the same research field as the student and is not required to submit a ‘Supervision Report’ on the student’s study progress. The purpose of the above arrangement is to provide the student with an additional/alternative source of support on the understanding that a person providing continuity advice and guidance at an earlier stage could be helpful in pre-empting/alleviating the occasional situations when a student’s relationship with the primary supervisor is suffering strain or if there is a conflict between the primary supervisor and student. Departments are also encouraged to introduce this arrangement for students who have registered before September 1, 2012.

h) To ensure that supervisors have completed attendance of the seminar on Responsible Conduct of Research organized by the Research Services within 12 months after upon their joining the University, before they are eligible for student supervision.

This requirement applies to all teachers and Research Assistant Professors joining the University on July 1, 2012 and thereafter, unless exemptions have been granted by the University Research Committee via the Head of Department and Faculty Dean on exceptional circumstances.
i) To ensure that supervisors have received supervisor training as required by the University.

All Assistant Professors and RAPs joining the University or taking up new appointments at the University on September 1, 2015 and thereafter must attend a Faculty-based workshop / seminar on Supervisor Training within 12 months after they have joined the University so as to be eligible to be appointed as a primary supervisor or co-supervisor for RPg students, unless exemptions have been granted by the Policy Board of Postgraduate Education, with the support of Faculty / FHDC and based on good justifications, on exceptional circumstances. Existing staff not falling into the categories specified above are also encouraged to attend the Supervisor Training workshop / seminar.

j) To ensure that the overall workload of the supervisors is such that they can provide proper supervision and that this is kept under review.

The Departmental Research Postgraduate Committee should take into account the number of supervisees under a teacher's supervision before recommending that the teacher concerned take on more supervision. This is to ensure that sufficient attention could be given to the students concerned, without overloading the teacher.

Supervision

k) To ensure that students receive immediate supervision on registration and that there is subsequent continuity of supervision especially if it is anticipated that supervisors may be absent for an extended period.

Students should not be registered if their intended supervisor is absent from Hong Kong or otherwise unable to commence supervision immediately; an inadequately guided start to a student's work will inevitably result in delayed completion and may disadvantage the student financially. Co-supervision permits another to take over responsibility in the absence of the primary supervisor without having to familiarize themselves with the student and the work. Supervisors appointed in an acting or temporary capacity may not be able to bring to a student's supervision the degree of familiarity or commitment that the student deserves.

l) To monitor the relationship between students and supervisors so that conflicts can be identified promptly and the appropriate steps taken to resolve or manage them.

Through six-monthly progress reports from the supervisors and the candidates, and through contacts with both parties, the Departmental Research Postgraduate Committee can monitor the relationship between the supervisor and the supervisee, to help detect whether informal intervention is needed before the problem affects progress.

m) To encourage supervisors, whether novice or experienced, to participate in training workshops designed to enhance their professional skills and effectiveness.

The Graduate School and the Centre for the Enhancement of Teaching and Learning have instituted workshops and seminars from which both experienced and inexperienced supervisors can benefit; the former sharing their skills and insights with the latter. This is an important, but normal, process of staff development.

n) To encourage within their Department an intellectual climate that encourages both students and supervisors to engage in free and lively discourse and provide them with opportunities to discuss publicly their own research findings.
According to the Degree Procedures, candidates should be encouraged to give one or more seminars on the subject of their course of study and research. Departmental seminars organized for research students provide them with the vital stimulus to benefit their research. Apart from generating a feeling of “belonging” amongst students, their experience of presenting their work and ideas in public is invaluable and coincidentally ensures that the department as a whole is aware of all its research directions and commitments.

Facilities and Resources

o) To ensure that the resources available to the department are sufficient to meet the needs of students’ research proposals and that students have adequate access to these resources and are not promised more than is available.

In some disciplines, especially those which are laboratory-based, research postgraduate students can be significant consumers of resources other than staff time. Every attempt must be made to ensure that the research undertaken by students is not only appropriate in character and scope for the degree concerned but that it is also feasible in terms of their own expertise and the resources available in the department to which they will be granted access. Students should not be promised facilities or resources that cannot be provided within a time scale appropriate to their research proposal or their scheme of research. This is especially important if access to libraries and archives or if field work is to be undertaken abroad; the department must undertake to provide the necessary support before permitting a student to register on the basis of a research proposal to which such work is crucial.

Progress and Reporting

p) The Departmental Research Postgraduate Committee should, in addition to commenting on supervisors’ reports, provide such information as is necessary to the Faculty Higher Degrees Committee and the Board of Graduate Studies to ensure that these bodies are kept aware of problems with the progress of students or other difficulties.

Apart from the comments that they are required to make on supervisors’ reports to the Faculty Higher Degrees Committee, the Departmental Research Postgraduate Committees are bound to refer to the Faculty Higher Degrees Committee serious problems that they have been unable to resolve themselves. The contents of probationary or progress reports to the Faculty Higher Degrees Committee must be shown to the student concerned.

q) To provide informed assessments of students being considered for academic awards or employment while in the University or subsequent to their graduation.

Your students have a right to expect you to offer such assessments, in confidence if necessary, should they or others request them.

r) To counsel those students whose lack of progress is such that the likelihood of them obtaining the degree for which they are registered is in jeopardy.

There is little to be gained from permitting students to continue with their studies in the face of overwhelming evidence that they are unlikely to complete them. Warnings of the department’s intention to recommend discontinuation or other sanctions must be made in writing and should be copied to the student concerned. The Faculty Higher Degrees Committee, the Board of Graduate Studies and other appropriate parties as stated in the Degree Procedures are unlikely to endorse drastic courses of action recommended to them, such as non-Confirmation of candidature or discontinuation, unless there is adequate
documentation of the attempts which the department has made to support and help particular students with the problems that they face in their work.

**Ethics and Safety**

s) To prepare or adopt, in consultation with the department, a statement for supervisors and students that describes good practice and ethical conduct in their subject area.

Many professional and learned societies have prepared guidelines governing good, ethical practice which can be adopted by a department if they choose not to draft their own. If the department adopts such codes they should be consistent with University’s regulations, guidelines and procedures e.g. those governing human and animal experimentation, as well as with University’s safety policy.

t) To ensure that the department can provide information and instruction on the safe conduct of research, if this is not available elsewhere in the University, and any other special requirements that the department demands of its students.

The statement of safety policy, which all departments are required to produce, and the departmental Safety Manual should be the source of information for students on departmental safe practices and requirements. Students should be made aware of the existence of such manuals on registration and they should have easy access to them e.g. in laboratories or the departmental library. Where any doubt exists about safe practice, the advice of the University Safety Officer should be sought.

**Thesis Submission and Examination**

u) To nominate, in consultation with supervisors and as soon as possible once the content and title of the thesis are known, expert examiners who are likely to be free of bias and who might reasonably be expected to discharge their duties expeditiously.

The Departmental Research Postgraduate Committee is formally responsible for nominating for the consideration of the Faculty the names of internal and external examiners and providing a brief curriculum vitae of the latter. Clearly this must be done in consultation with supervisors. Much time can be saved if the list of nominated examiners is submitted for approval at the same time as a student submits his or her Notice of Intention to Submit a Thesis.
Appendix XXVIII

Guidelines on the Appointment of TEC Chairperson

(a) The Chairperson of the Thesis Examining Committee (TEC) shall be a Teacher of an appropriate disciplinary background who is eligible to be a supervisor and has successfully supervised at least one research postgraduate student until graduation in this University or at other comparable institutions.

(b) The TEC Chairperson, who is a non-voting member, shall be appointed by the Faculty from a pool of academics, preferably at Associate Professor level or above, to be nominated by the Dean of the Faculty and approved by the Board of Graduate Studies (BoGS) to ensure that the examination is conducted in a fair manner. The Chairperson shall as far as possible not be from the same department or subject area (in the case of a unitary faculty) as the student, but appointed from a cognate discipline so as to have sufficient understanding of the subject of the thesis.

(c) A Teacher who is appointed for the first time as a TEC Chairperson shall be briefed on the TEC procedure by an experienced staff member, e.g., the FHDC or DRPC Chair, and be given the relevant documents for information, including the MPhil/PhD Degree Regulations and Procedures.

Please refer to the Procedures for the Degree of Master of Philosophy (MPhil) / Doctor of Philosophy (PhD) for information regarding the appointment of TEC.
Guidelines for Setting Up and Conducting Oral Examinations for MPhil and PhD Candidates

(A) Setting a Notional Date for an Oral Examination

1. Once the thesis is submitted, the relevant Department or Faculty Office should, at the same time when the thesis is sent out to the examiners, ask the examiners for their availability after the report due date with a will to schedule a notional date for the oral, with an understanding that the notional date would be confirmed or an actual date for the examination would be determined nearer the time.

2. When the date is confirmed, the DRPC Chairman would prepare a timetable to which the examination process should adhere and the Department or the Faculty Office should report to the DRPC Chairman if there are delays in any stage.

(B) The Conduct of Oral Examinations

1. The Policy Board of Postgraduate Education wishes to ensure that all oral examinations are conducted under a reasonably uniform set of procedures and in a controlled and orderly manner, avoiding unnecessary distress to the candidate.

2. The Oral Examination should allow
   a. the candidate to defend his or her thesis and clarify any matters raised by the examiners;
   b. the examiners to probe the candidate’s knowledge in the field;
   c. the examiners to assure themselves that the work presented is the candidate’s own and to clarify matters of any collaboration; and
   d. the examiners to come to a definite conclusion about the outcome of the thesis examination.

3. The Oral Examination shall be conducted by the Thesis Examining Committee. The Chairman, who is a non-voting member, represents the Faculty to preside over the Oral Examination. The role of the Chairman, who must be present for the whole of the examination, is to ensure that
   a. the Oral Examination is conducted in a fair manner;
   b. questions are put fairly and that the candidate is given adequate opportunity to answer;
   c. examiners are given sufficient opportunity to ask questions and to evaluate the candidate’s performance;
   d. if the External Examiner is not present at the Oral Examination, all substantive questions raised in the External Examiner’s report are put to the candidate by the Additional Examiner;
e. it is the candidate alone, and not the Supervisor(s) or any other member of the Committee, who defends the thesis;

f. the candidate should leave the room after the questioning and before the start of the discussion by the members of the Committee;

g. in reporting their conclusions on the result of the Oral Examination the examiners confine themselves to evidence arising from the Oral Examination;

h. the examiners' recommendations are clearly indicated on the report form with the amendment or deletion of such parts of the form as may be necessary to avoid ambiguity; and

i. the completed report form, duly signed by the examiners, is returned to the Faculty Secretary for transmission to the Dean of the Faculty concerned immediately after the Oral Examination.

4. Persons other than the candidate, the Chairman and members of the Thesis Examining Committee may be present at the Oral Examination subject, in each case, to the approval of

a. the Faculty Higher Degrees Committee;

b. the Chairman of the Thesis Examining Committee; and

c. the candidate.

The Chairman of the Thesis Examining Committee is empowered to determine (in keeping with the spirit of these 'Guidelines') whether such person(s) should merely observe or may also address questions to the candidate and / or to the examiners. In no case shall such persons contribute to the examiners' final assessment of the result of the oral examination or their recommendation to the Faculty.

5. The roles of the examiners (and of the Additional Examiner(s), if any) at the Oral Examination are:

a. to satisfy themselves that the candidate has in fact done the work reported in the thesis and has sufficient understanding and grasp of the subject matter to be able to defend the thesis;

b. to determine whether the candidate understands the significance of his or her work in the broad context of his or her subject;

c. to resolve any points raised by the examiners of the thesis;

d. to assist the Chairman to record on the report form those aspects of the thesis and / or of the field of study (and research) on which the candidate has been examined (excluding repetition of the specific points raised by the examiners of the thesis which are recorded in their respective reports);

e. to decide, on the basis of the evidence arising from the Oral Examination, whether the candidate should be required to attend a further oral or written examination on the thesis and / or on the field of study; and

f. to arrive at a final assessment of the quality of the thesis and the performance of the candidate, and in consultation with the Chairman, to jointly arrive at a recommendation on the examination result, which will be recorded in a written report.
6. The supervisor(s), serving in a non-voting capacity, may participate in the discussions and ask questions of the candidate. He / She may be invited by the Chairman to retire during the voting. The supervisor(s) should take note of the desired revisions which should be clearly recorded in the report form for the guidance of the candidate in making subsequent corrections and amendments to the thesis.

7. If the Thesis Examining Committee cannot reach a consensus on the examination result, the Chairman shall make a recommendation to the Committee on whether an additional independent examiner should be appointed.

8. The Report Forms on oral examinations for the degrees of MPhil and PhD are intended to facilitate the submission of a concise report which meets the requirements of the Degree Regulations and the Procedures which have been approved by the Senate.

It is probable that the wording of the pre-printed sections of the Report will be unsuitable in some cases, and that amendment or deletion of some part(s) may be required in order to avoid possible ambiguities.

While it is the Chairman’s responsibility to ensure that this is done, it is also incumbent upon the examiners to ensure that their recommendations are clearly expressed.

(C) Conducting Oral Examinations by Tele-conferencing or Video-conferencing

1. In principle all thesis examiners should participate in as much of the oral examination process as possible. To this end, oral examinations which are normally held in Hong Kong should rely on tele-conferencing or video-conferencing if needed to ensure that all relevant parties (internal examiners, external examiner(s) and student) participate in the examination. Accordingly the Board of Graduate Studies (BoGS) advises that oral examinations should be held by tele-conferencing or video-conferencing under the following circumstances:

a. In cases where one or more examiners is/are of the view that the thesis is of insufficient standard for conferment of the degree, it is mandatory for the external examiner to participate in the oral examination. This practice will be applied to all oral examinations for which external examiner appointments are made on or after January 1, 2005. If the external examiner is overseas and cannot come to Hong Kong to attend the oral examination, the external examiner should participate in the oral examination by tele-conferencing or video-conferencing. Only in exceptional circumstances should an additional examiner be appointed to attend the oral examination. At the initial stage of implementing this new practice, prior approval must be obtained from the Chairman of the BoGS for an additional examiner to be appointed. This is intended to be a transitional arrangement, however, and after review in about two years’ time, approval can be granted by the Faculty.

b. In order not to delay the examination process, an oral examination should be conducted by means of tele-conferencing or video-conferencing if one or more examiner(s) will not be present in Hong Kong on the date of the oral examination.

c. If a student is abroad and cannot return to Hong Kong to attend the oral examination within a reasonable period of time, the Faculty should conduct the oral examination by videoconferencing. Tele-conferencing is normally not allowed. In very rare cases where videoconferencing is impossible, the BoGS will entertain requests to permit a student to participate by tele-conferencing. Such requests must be submitted in advance of the oral examination and include evidence that procedures have been put in place to 1) prove the identity of the student at the time of the examination and 2) ensure that the student and only
the student answers the questions in the examination. Under no circumstances may the student be assisted by any other person during the examination.

2. The use of tele-conferencing and video-conferencing is summarized as follows:

<table>
<thead>
<tr>
<th>Members not in HK</th>
<th>Conduct oral exam by tele-conferencing</th>
<th>Conduct oral exam by video-conferencing</th>
</tr>
</thead>
<tbody>
<tr>
<td>Student</td>
<td>Not normally allowed</td>
<td>Allowed</td>
</tr>
<tr>
<td>External examiner</td>
<td>Either tele-conferencing or video-conferencing is required</td>
<td></td>
</tr>
<tr>
<td>Internal examiner</td>
<td>Either tele-conferencing or video-conferencing is required</td>
<td></td>
</tr>
</tbody>
</table>

3. A student who is abroad and has to participate in the oral examination by video-conferencing should follow the following guidelines:

a. When the video-conference takes place, the student must be accompanied by a witness who is a member of the university academic staff throughout the examination process. The witness shall be recommended by the Faculty and approved by the BoGS and must be somebody who can be trusted.

b. The presence of the witness at the oral examination must be verified.

c. A report has to be submitted by the witness on how the oral examination has been conducted and the report should be submitted to the Chairman of the Thesis Examining Committee via the Faculty Secretary within ten days of the oral examination.

d. The Faculty or the Department concerned should be responsible for the expenses used for video-conferencing facilities at the HK end and the honorarium to the witness, if he/she is not a member of HKU staff; while the student concerned should be responsible for the expenses for video-conferencing facilities at his/her end. If an honorarium has to be paid, the rate should be determined in consultation with the Finance and Enterprises Office.

4. An internal or external examiner who participates in the oral examination by tele-conferencing or video-conferencing should follow the following guidelines:

a. The identity of the examiner at the oral examination via tele-conference or video-conference must be verified.

b. The examiner should be requested, through mail or fax, to sign the Thesis Examining Committee report.

c. The Faculty or the Department concerned should be responsible for the expenses used for tele-conferencing or video-conferencing facilities at both sides.

5. Video-conferencing facilities are available on loan from the Information Technology Services and the Faculty of Medicine. A tele-conferencing machine is also available on loan from the Graduate School. Details about the facilities can be found at http://www.hku.hk/gradsch/reg/tele-video-conf.htm.
Appendix XXX

Guidelines on Handling Appeal from a Student Whose Candidature is Terminated by the Faculty within the Probationary Period

Procedures MPH11(12) and PHD11(12) for MPhil and PhD degrees stipulate that:

‘If the Faculty approves that the probationary candidature be terminated early or not confirmed, the candidature shall be allowed to lapse. An appeal with full justifications given may be submitted by a candidate to the BoGS against a decision by the Faculty to terminate his / her probationary candidature. …’

Hence, if a student’s candidature is terminated by the Faculty during the probationary period before confirmation of candidature, in accordance with the above procedure, the student may submit an appeal with full justifications to the Board of Graduate Studies (BoGS) against the decision of the Faculty. The BoGS shall decide based on academic grounds whether the Faculty’s decision to terminate the probationary candidature be upheld or reversed.

The following guidelines should be followed in handling an appeal submitted by a student:

1. The student must lodge an appeal with the BoGS within 14 calendar days of the receipt of notice of termination of candidature by the Faculty.

2. The submission shall be acknowledged by the BoGS secretariat and forwarded to the Chairperson of the BoGS in the first instance.

3. The Secretary of the BoGS shall find out from the Faculty Office the relevant history of the candidate including the six-monthly progress reports, and the relevant actions taken at the departmental and faculty level leading to the termination of the candidature of the student.

4. After reviewing the candidate’s submission and the relevant documents pertaining to the progress and termination of candidature of the student, the BoGS Chairperson shall decide
   a) whether a special committee consisting of one member of the Dean or Associate Deans of the Graduate School as Chairperson and one to two other BoGS members should be set up to investigate the case; or
   b) the appeal be presented to the BoGS for a decision directly.

5. In the event that a special committee is set up, the committee shall examine all the relevant documents and may conduct interviews separately with the candidate (or his/her representative), and the supervisor and/or DRPC Chairperson/FHDC Chairperson, as appropriate. The special committee will make a recommendation to the BoGS on whether the Faculty’s decision to terminate the candidature be upheld or reversed; and the BoGS shall consider the case and make a decision after considering all the documents and the recommendation of the special committee.

6. The BoGS Chairperson shall inform the student in writing of the appeal result within 7 calendar days after the BoGS has made its decision.

7. The decision of the BoGS shall be final.
Appendix XXXI

Faculty Higher Degrees Committee (FHDC)

(Committee of each Board of the Faculty)

I. POWERS AND DUTIES

1. To advise the Board of the Faculty on matters relating to higher coursework and research degrees (except DSc, DLitt, LLD and DSocSc), and such postgraduate diplomas and certificates as the Senate may determine from time to time, where appropriate*, including:

   a. the admission of candidates#;
   
   b. appointing examiners for any qualifying examination required to be taken by any candidates for admission;
   
   c. appointing supervisors for MPhil and PhD candidates#;
   
   d. considering applications for concurrent registration;
   
   e. considering the coursework curricula and syllabuses of Faculty / departmental courses for MPhil and PhD candidates and subsequent amendments thereto;
   
   f. considering applications for course exemption;
   
   g. confirming or terminating MPhil and PhD candidatures;
   
   h. considering MPhil and PhD candidates’ applications for extending their period of registration beyond the specified period#;
   
   i. approving transfer of candidature between MPhil and PhD, and of mode of study between full-time and part-time;
   
   j. approving waiver of the 3-month notification period for serving written notice to the Chairman of the Departmental Research Postgraduate Committee of a candidate’s intention to submit the thesis for examination;
   
   k. appointing internal, external and additional examiners, where appropriate, and other members of Boards of Examiners or Thesis Examining Committees, where this applies in the Degree Regulations.

2. To approve leave of absence for a period exceeding one month for MPhil and PhD candidates in accordance with the relevant Degree Regulations and Procedures.

3. To consider the coursework examination results of Faculty / departmental courses for MPhil and PhD candidates.
4. To determine the consequences of students failing or having been absent from coursework
examinations of Faculty / departmental courses for MPhil and PhD candidates, and, where
appropriate, to recommend, via the Faculty Review Committee and the Board of the Faculty,
to the Committee on Discontinuation the discontinuation of MPhil and PhD candidatures.

5. To recommend to the Board of Graduate Studies the allocation and award of Postgraduate
Scholarships in accordance with the regulations and procedures laid down from time to time
by the Policy Board of Postgraduate Education.

6. To assess the academic progress and the performance in training duties of Postgraduate
Scholarship holders, and to impose appropriate sanctions where reports on Scholarship
holders indicate unsatisfactory academic progress and / or performance in training duties.

7. To undertake any duties as authorized by the Board of Faculty which are relevant to higher
degree programmes in the Faculty.

II. MEMBERSHIP

To be decided by the Board of Faculty concerned.

Notes:
1. The powers listed above are supplemented by the powers given to the Committee under the
   Procedures for the Degrees of Master of Philosophy and Doctor of Philosophy.
2. * The following Postgraduate Certificate is so included: CertMedSc
3. # In the case of candidates admitted to the University in or after September 1999, the Committee is to
   make the relevant recommendations to the Board of Graduate Studies.
Appendix XXXII

Departmental Research Postgraduate Committee (DRPC)

I. OBJECTIVES OF DRPC

(a) to broaden the basis of decision-making on research postgraduate education matters at the departmental level;

(b) to give advice to supervisors and supervisees on matters arising in the course of the latter’s studies; and

(c) to function as the departmental quality assurance machinery.

II. POWERS AND DUTIES

(a) to make recommendations, amongst other things, on research postgraduate student admissions, award of Postgraduate Scholarships, prescription of the coursework load, and appointment of supervisors;

(b) to assist in monitoring students’ progress; and where problems have been identified in individual cases, to recommend appropriate action to be taken;

(c) to give advice to the FHDC on all student matters relating to the degree regulations and procedures.

III. MEMBERSHIP

A minimum of 3 teachers (in the case of departments with fewer than 3 teachers, all the teachers in the department), including the departmental representative on FHDC, and the Head of Department (ex-officio) who should, as far as possible, be the Chairman.
# Appendix XXXIII

## Schedule of Fees 2018-19

### Candidates for MPhil and PhD

<table>
<thead>
<tr>
<th>Fee</th>
<th>(in HK Dollars)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Application</td>
<td>$150</td>
</tr>
<tr>
<td></td>
<td>$150 for payment via the on-line application system and $400 for payment by other means</td>
</tr>
<tr>
<td>Qualifying examination</td>
<td>$50</td>
</tr>
<tr>
<td>Each paper</td>
<td></td>
</tr>
<tr>
<td>(Maximum fee: $100)</td>
<td></td>
</tr>
<tr>
<td>Caution money</td>
<td>$350</td>
</tr>
<tr>
<td>Composition</td>
<td></td>
</tr>
<tr>
<td>MPhil and PhD (payable in two instalments)</td>
<td></td>
</tr>
<tr>
<td>Full-time</td>
<td>$42,100 p.a.</td>
</tr>
<tr>
<td>Part-time</td>
<td>$63,000 p.a.*</td>
</tr>
<tr>
<td>First instalment</td>
<td></td>
</tr>
<tr>
<td>Full-time</td>
<td>$21,050</td>
</tr>
<tr>
<td>Part-time</td>
<td>$31,500</td>
</tr>
<tr>
<td>Second instalment</td>
<td></td>
</tr>
<tr>
<td>Full-time</td>
<td>$21,050</td>
</tr>
<tr>
<td>Part-time</td>
<td>$31,500</td>
</tr>
<tr>
<td>Continuation (MPhil and PhD, applicable to both full-time and part-time students):</td>
<td>$4,250</td>
</tr>
<tr>
<td>Each 3-month period or part thereof</td>
<td></td>
</tr>
<tr>
<td>Examination</td>
<td></td>
</tr>
<tr>
<td>MPhil</td>
<td>$1,000</td>
</tr>
<tr>
<td>PhD</td>
<td>$1,500</td>
</tr>
<tr>
<td>Graduation</td>
<td>$350</td>
</tr>
</tbody>
</table>

* Due to withdrawal of funding from the University Grants Committee for part-time students, part-time research degree programmes are offered on a self-funded basis. The composition fee for part-time students who register on September 1, 2018 and thereafter is $63,000 p.a.

### Visiting Students:

| Fee                                | $350                       |
| Composition                        |                           |
| For research degree programmes and the Diploma/Certificate in Chinese Language |                           |
| - for studies extending over an academic year | The annual composition fee for the curriculum. |
| - for studies of less than an academic year | 25% of the annual composition fee for the curriculum for each 3-month period (or part of a period). |
| For all other curricula:           |                           |
| - for studies extending over an academic year | The annual composition fee for the curriculum. |
| - for studies of a semester or part of a semester | 50% of the annual composition fee for the curriculum. |

### Students’ Union Membership:

| Fee                                | $100                       |
| Subscription                       | $140 p.a.                 |
### Communications Directory

<table>
<thead>
<tr>
<th>Address</th>
<th>Tel No.</th>
<th>Fax No.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Graduate School</td>
<td>P403, Graduate House</td>
<td>2857 3470</td>
</tr>
<tr>
<td>Academic Services Office</td>
<td>G04, Run Run Shaw Building</td>
<td>2859 2433</td>
</tr>
<tr>
<td>Finance and Enterprises Office</td>
<td>1/F, Knowles Building</td>
<td>2859 2337</td>
</tr>
<tr>
<td>University Health Service</td>
<td>2/F, Meng Wah Complex</td>
<td>3917 2501</td>
</tr>
</tbody>
</table>

**Centre of Development and Resources for Students (CEDARS)**

<table>
<thead>
<tr>
<th>Address</th>
<th>Tel No.</th>
<th>Fax No.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Campus Life</td>
<td>3/F, Meng Wah Complex</td>
<td>2859 2305</td>
</tr>
<tr>
<td>Careers &amp; Placement</td>
<td>3/F, Meng Wah Complex</td>
<td>2859 2317</td>
</tr>
<tr>
<td>Counselling &amp; Person Enrichment</td>
<td>Rm 301-323, 3/F, Main Building</td>
<td>3917 8388</td>
</tr>
<tr>
<td>Student Development</td>
<td>2/F, Knowles Building</td>
<td>2857 8387</td>
</tr>
</tbody>
</table>

**Faculties**

<table>
<thead>
<tr>
<th>Address</th>
<th>Tel No.</th>
<th>Fax No.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Faculty of Architecture</td>
<td>4/F, Knowles Building</td>
<td>2859 2149</td>
</tr>
<tr>
<td>Faculty of Arts</td>
<td>Rm 4.05, 4/F, Run Run Shaw Tower, Centennial Campus</td>
<td>3917 4198</td>
</tr>
<tr>
<td>Faculty of Business &amp; Economics</td>
<td>Rm 503, 5/F, K.K. Leung Bldg</td>
<td>3917 5544</td>
</tr>
<tr>
<td>Faculty of Dentistry</td>
<td>6/F, Prince Philip Dental Hospital, 34 Hospital Road</td>
<td>2859 0347</td>
</tr>
<tr>
<td>Faculty of Education</td>
<td>Rm 420, 4/F, Meng Wah Complex</td>
<td>3917 5728</td>
</tr>
<tr>
<td>Faculty of Engineering</td>
<td>Rm 501, Haking Wong Building</td>
<td>3917 2803</td>
</tr>
<tr>
<td>Faculty of Law</td>
<td>10/F, Cheng Yu Tung Tower, Centennial Campus</td>
<td>3917 2955</td>
</tr>
<tr>
<td>Li Ka Shing Faculty of Medicine</td>
<td>6/F, William M.W. Mong Block, 21 Sassoon Road</td>
<td>3917 9175</td>
</tr>
<tr>
<td>Faculty of Science</td>
<td>G/F, Chong Yuet Ming Physics Building</td>
<td>3917 2681</td>
</tr>
<tr>
<td>Faculty of Social Sciences</td>
<td>11/F, The Jockey Club Tower, Centennial Campus</td>
<td>3917 1223</td>
</tr>
<tr>
<td>Centres/Institutes</td>
<td>Address</td>
<td>Tel No.</td>
</tr>
<tr>
<td>-----------------------------------------------------------------------</td>
<td>--------------------------------------------------------------------------</td>
<td>----------</td>
</tr>
<tr>
<td>Centre for Applied English Studies</td>
<td>Rm 6.60, 6/F, Run Run Shaw Tower, Centennial Campus</td>
<td>3917 2004</td>
</tr>
<tr>
<td>Centre on Behavioral Health</td>
<td>2/F, The Hong Kong Jockey Club Building for Interdisciplinary Research, 5 Sassoon Road, Pokfulam, Hong Kong</td>
<td>2831 5158</td>
</tr>
<tr>
<td>Centre of Buddhist Studies</td>
<td>Rm 4.15, 4/F, The Jockey Club Tower, Centennial Campus</td>
<td>3917 5075</td>
</tr>
<tr>
<td>Centre for Criminology</td>
<td>Rm 913, 9/F, The Jockey Club Tower, Centennial Campus</td>
<td>3917 2059</td>
</tr>
<tr>
<td>Centre for Sports and Exercise</td>
<td>Flora Ho Sports Centre</td>
<td>2817 4046</td>
</tr>
<tr>
<td>Hong Kong Institute for the Humanities and Social Sciences</td>
<td>Rm 101, May Hall</td>
<td>3917 5772</td>
</tr>
<tr>
<td>Journalism and Media Studies Centre</td>
<td>121, Eliot Hall</td>
<td>3917 1155</td>
</tr>
<tr>
<td>Sau Po Centre on Ageing</td>
<td>2/F, The Hong Kong Jockey Club Building for Interdisciplinary Research, 5 Sassoon Road, Pokfulam, Hong Kong</td>
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Please visit this page for full University Directories: http://www.hku.hk/faculties/
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### Postgraduate Tutors

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<td>Genomic Sciences, Centre for</td>
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Sassoon Road Campus

Academic Buildings
1. Faculty of Medicine Building
   1a. William M.W. Mong Block
       • Cheung Kung Kai Conference Centre
   1b. Laboratory Block (HKIC Clinical Research Centre)
2. Pauline Chan Building
   • Pokfulam Amenities Centre
3. Patrick Manson Building North Wing
4. Jockey Club Building for Interdisciplinary Research
5. University Pathology Building
6. Dexter H.C. Man Building
7. Laboratory Animal Unit
8. Estates Building

Student Residences
11. Jockey Club Student Village I
    • Lady Ho Tung Hall
    • Ho Tim Hall
    • Starr Hall
12. Jockey Club Student Village II
    • Morrison Hall
    • Suen Chi Sun Hall
    • Lee Shau Kee Hall
13. Jockey Club Student Village III
    • New College
    • Lap-Chee College
    • Chi Sun College
    • Shun Hing College
14. Sassoon Road Student Residence
    • Wei Lun Hall
    • R.C. Lee Hall
    • Lee Hysan Hall
    • Madam S.H. Ho Residence for Medical Students
15. Patrick Manson Building South Wing (Student Residence)
16. University Hall
17. Ricci Hall
18. St. John’s College
19. Pokfield Road Residences

Senior Staff Quarters
31. Old Alberose
32. New Alberose
33. Middleton Towers
34. High West
35. Rodrigues Court
36. Tam Towers
37. Tam Gardens
38. Pine Court
39. Pine Grove
40. Felix Villas (off map)

Sports Facilities
21. Flora Ho Sports Centre
22. Lindsay Ride Sports Centre
23. Stanley Smith Swimming Pool
24. Stanley Ho Sports Centre
25. Henry Fok Health and Fitness Complex
26. Henry Fok Swimming Pool