

NATIONAL SUN YAT-SEN UNIVERSITY
Mechanism for Quality Control of Academic Ethics in
Graduate Dissertations

Management and Review Process Approved by the University's Interim Faculty Evaluation Committee on July 28,
2020

Article 1 This Mechanism has been formulated pursuant to:

1. The Degree Conferral Act
2. The University's Implementation By laws for Ph. D. and Master Degree Examination
3. The University's Guidelines for Dealing with Plagiarism, Ghostwriting and Cheating in Writing Master's Theses or Doctoral Dissertations
4. The University's Academic Research Ethics Course Guidelines
5. The University's Thesis Management Regulations

Article 2 The University's mechanism for quality control of dissertations is as follows:

1. All master's and doctoral students of the University must pass the academic research ethics course in order to apply for their degree examination.
 - a) The University formulated the *Academic Research Ethics Course Guidelines* in the 2015 academic year.
 - b) To regulate students of the University's master's (including in-service master's) and doctoral programs, all students shall, in principle, complete the academic research ethics course before the end of their first academic year.
 - c) Master's and doctoral students who have not completed the aforementioned course by the end of their first academic year shall receive a warning in the University's course selection system to remind the student to complete the academic research ethics course in due time.
 - d) The Office of Academic Affairs shall review each student's academic records when the student applies for their degree examination. Students may apply for their degree examination after passing the aforementioned course.
2. All master's and doctoral students at the University shall have their thesis/dissertation examined on the Thesis Originality Comparison System.
 - a) Starting from the second semester of the 2019 academic year, all master's and doctoral students at the University shall have their theses/dissertations examined under the two-step (for both theses/dissertations and oral defense) Thesis Originality Comparison

system.

- b) One week before the thesis/dissertation defense, graduate students shall provide the results of the Library and Information Office's Thesis Originality Comparison system regarding their thesis/dissertation defense (including the abstract) to their research supervisor and the thesis/dissertation defense committee for review.
 - c) The thesis/dissertation defense committee shall confirm (on the degree examination score sheet) that the originality report meets the standards of the committee.
 - d) Graduate students shall submit their originality report and *Declaration of Meeting Academic Ethics Requirements for Graduate Student Theses* to the department office for recordation before initiation graduation procedures in order to graduate. [A system for uploading the relevant information and conducting online sign-offs shall be built in the future.]
 - e) Each graduate department shall determine its own originality comparison standards for theses/dissertations.
3. The University has revoked the unpublished dissertation option:
- a) In the second semester of the 2019 academic year, the University revised its *Thesis Management Regulations*. Starting from the 2020 academic year, the non-disclosure option is cancelled for the period during which theses/dissertations undergo authorization.
 - b) Before a graduate student uploads their electronic dissertation, they shall consult their research supervisor and select the appropriate period during which their thesis/dissertation shall be open for viewing. The options of immediate publication and publication in 1-3 years may be selected with the approval of the research supervisor. The option of publication in 4-5 years shall require proof that the thesis involves confidential matters, a patent, or restricted disclosure for legal reasons to be included and the reasons stated, which proof shall be approved and signed by the research supervisor and the department (program) director. The publication of an electronic dissertation may only be extended to a maximum of 10 years. [A system for conducting online sign-offs shall be built in the future.]
 - c) Students may graduate and leave the University after the aforementioned records have been confirmed by the Office of Library and Information Services.
4. Academic ethics cases shall be reviewed in accordance with the legal principles of fairness, impartiality, objectivity, and clarity. If any unit of the University receives a report of plagiarism or other fraud involving a thesis or dissertation written by a student of the University, the unit shall act in accordance with the legal principles of fairness, impartiality,

objectivity, and clarity as stipulated in the University's *Guidelines for Dealing with Plagiarism, Ghostwriting and Cheating in Writing Master's Theses or Doctoral Dissertations*.

Article 3 The University's *Management and Review Procedures for the Quality Control of Academic Ethics in Graduate Dissertations* are attached to this document. The system for uploading documents for thesis/dissertation comparisons and online signoffs is under construction. The operating procedures shall be announced separately once the system is completed.

英文版本如有牴觸或不相符之處，應以中文版本為準。

Any dispute over interpretations of these regulations shall be resolved in the court of law based on the Chinese version.

國立中山大學碩、博士學位論文學術倫理品保管控機制

管控暨審核流程業經 109 年 7 月 28 日本校臨時教師評審委員會通過

一、依據

1. 學位授予法
2. 本校「研究生學位考試施行細則」
3. 本校「碩、博士學位論文抄襲、代寫、舞弊處理原則」
4. 本校「學術研究倫理教育研習課程實施要點」
5. 本校「學位論文管理辦法」

二、本校論文品保管控機制

1. 全校碩、博士生均須通過學術研究倫理教育研習課程方得申請學位考試：
 - (1) 104 學年度本校訂定「學術研究倫理教育研習課程實施要點」。
 - (2) 規範本校碩士班（含碩士在職專班）與博士班學生，須修習通過「學術研究倫理教育」課程，以入學第一學年結束前修習本課程為原則。
 - (3) 碩、博士學生於第一學年結束後尚未完成前述課程者，將於本校選課系統進行警示，以提醒同學注意及早完成學術倫理教育課程。
 - (4) 學生申請學位考試時，教務處複查學生修習紀錄，通過前述課程學生方得申請學位考試。
2. 全校碩博士生論文均需經學術論文原創性比對系統檢核：
 - (1) 自 108 學年度第 2 學期起，全校碩博士生論文均需經學術論文原創性比對系統二階段（口試論文及畢業論文）之檢核。
 - (2) 學位論文口試一星期前，研究生須將經圖書資訊處之論文原創性比對系統比對之口試論文（均含摘要）比對結果，提供指導教授與口試委員審閱。
 - (3) 口試委員於學位考試評分表上確認口試論文之比對結果是否符合委員要求。
 - (4) 研究生辦理畢業離校時，另需繳交畢業論文之「原創性報告」及「研究生學位論文符合學術倫理規範聲明書」至系所辦公室存查，方得畢業離校。【後續將建置系統供上傳相關資料及進行線上簽核】
 - (5) 論文經原創性比對標準由各系所於研究生修業相關規定自訂。

3. 本校取消學位論文永不公開選項：

- (1) 本校於 108 學年度第 2 學期修訂本校「學位論文管理辦法」，自 109 學年度起，論文授權期限取消「永不公開」選項。
- (2) 研究所畢業生於上傳電子論文時，與指導教授討論後選擇學位論文開放年限，採「立即公開」及「一至三年後公開」經指導教授確認，「四至五年後公開」應檢具涉及機密、專利事項或依法令限制公開之證明資料並載明原因，經指導教授及系所（學程）主管認定簽章，電子論文至多延至 10 年公開為限。【後續將建置系統進行線上簽核】
- (3) 前述紀錄經圖資處確認後，方得辦理畢業離校。

4. 學術倫理案件均依法本公平、公正、客觀、明快原則個案審定：本校各單位知悉或接獲檢舉本校博、碩士學位論文有抄襲或其他舞弊情事時，依「本校碩、博士學位論文抄襲、代寫、舞弊處理原則」本公平、公正、客觀、明快原則進行審議。

三、本校「碩、博士學位論文學術倫理品保管控暨審核流程」如附件，畢業論文比對之資料上傳及線上簽核功能建置中，俟建置完成將另行通知操作流程。