

## **TKU Regulations for Academic Ethics Management for the Faculty, Staff, and Students**

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### Article 1

In order to set the standard for the conduct of engaging in academic research for the faculty, staff and students of TKU, the TKU Regulations for Handling Violations of Academic Ethics by the Faculty, Staff and Students was especially enacted (hereafter abbreviated these regulations).

### Article 2

Starting in the 2017 academic year newly engaged full-time faculty, project teaching staff and researchers should within 5 years of starting their employment go to the website of the “Taiwan Academic Ethics Education Resource Center” and complete at least 6 hours of academic ethics education course study. If because of legal requirements or separate hour requirements of the funding organization, there should be compliance with those provisions.

Starting in the 2017 academic year entering master students, master in-service students and doctoral students should take “Academic Research Ethics Education” courses; relevant regulations are processed in accord with “Tamkang University Key Points for the Implementation of Ethics Education Curriculum in Postgraduate Academic Research”.

### Article 3

Conduct that violates academic ethics refers to one the conditions listed below:

1. Fraud: Application materials, research materials or research results are fabricated, nonexistent.
2. Alteration: Application materials, research materials or research results are falsely changed.
3. Plagiarism: Application materials, research materials or research results of other individuals are used without indicating the source. For the sake of plagiarizing, the

citation is inappropriate and the circumstances are serious.

4. Written by others.
5. No indication of source, and openly and repeatedly published.
6. Extensively quoting one's own materials already published without appropriate citation.
7. Using a translation in place of original work without appropriate citation.
8. The curriculum vitae of the teacher's qualifications and the published details of the collaborators are false, and the representative work does not really carry proof of collaboration and collaborator's remuneration.
9. If the submitter in person or through the agency of others requests the help of others, illegally lobbies, gives inducements, threatens or otherwise interferes with the reviewers or review process, or uses illegal means or inappropriate methods to influence the paper's examination.
10. There is other behavior that violates academic ethics.

#### Article 4

The Office of Human Resources is the unit in charge of academic ethics cases; the office will be responsible for handling all matters related to academic ethics.

Individuals reporting cases of the violation of academic ethics should use their real name, telephone, address when drawing up a letter of accusation; they should specifically point out the objects and contents of the accusation and attach supporting materials.

The person reporting should send the letter of accusation to the The Office of Human Resources; The Office of Human Resources will investigate and verify the identity of the person making the accusation. The office will without exception refuse to deal with any cases involving an alias, an anonymous sender or false contact information, or cases without specific objects and explicit evidence.

#### Article 5

After receiving a case of violating academic ethics possibly involving a faculty member, a staff member, or a student in accord with the article mentioned above, the dean of the college in which field the thesis, dissertation or work of the accused belongs to shall be a convener; the convener based upon the professional field of the case will recommend 7 to 9 impartial specialist scholars from on-campus and off-campus. After receiving the case, the school president determines 3 to 5 people (including the convener) who will form an investigation team to undertake an investigation of the case.

The members of the investigation team and the accuser and the accused should avoid any one of the relations listed below:

1. Teacher—student.
2. Blood relatives within three levels of consanguinity.
3. Spouse or relatives within three levels of consanguinity by marriage or previously having such relations.
4. Those with relations of academic cooperation.
5. Relevant stakeholders.
6. Those which should be avoided based on other regulations.

#### Article 6

After the case has already undergone the Ministry of Education or Ministry of Science and Technology authorization and has been sent to TKU as a case of violating academic ethics, it should be taken up by the university teachers review committee and treated according to the various related rules of these regulations.

#### Article 7

When the case of violating of academic ethics is in the process of investigation and deliberation, it should be treated in a private manner.

#### Article 8

The investigation team should use the procedure listed below to make the

investigation:

1. The convener should in person deliver the letter of the accuser to the parties involved in this case; the accused must within two weeks of the day after receiving the notification provide a letter of defense.
2. The investigation team should hold a meeting and invite the parties involved with the case (on-campus and off-campus individuals) to attend or provide a written defense as explanation.
3. The investigation team must send the content of the accusation and the statement of defense to two or three impartial specialists in the field on-campus or off-campus who should undertake an investigation of the circumstances to find out whether the accused violated academic ethics or not.
4. At a meeting of the investigation team based upon the investigation results, they will propose a way to deal with the case.

#### Article 9

After a case of behavior violating academic ethics undergoes examination by a special investigation committee to determine its veracity and after the special investigation committee has suggested a disposal method, then the Office of Human Resources will according to the status of the accused submit the case to one of the related committees listed below for deliberation.

1. If a faculty member or researcher has in actuality violated academic ethics, the case will be deliberated by the “Tamkang University Teachers Review Committee” (hereafter abbreviated university review committee). In the event a faculty member is seeking promotion or a faculty member’s qualifications are being reviewed and it involves the actuality of violating academic ethics, it shall be submitted to the teachers review committees at all the different levels (hereafter abbreviated the different levels of review committees) for deliberation. When the results of the deliberation come out and conform to the various conditions of the regulations of Article 3, the university review committee depending on the severity of the circumstances of the academic ethics violation will take

disciplinary action in accord with one of the following regulations or in a combination thereof.

- (1) Admonishment in written form.
- (2) Participation in a related academic ethics course at a specified time and obtaining proof of completion.
- (3) For a specified period of time the individual must not participate as a member of any of the different levels of review committees or assume the post of an academic ethics administrative supervisor. If necessary, the individual must quit a position s/he already holds.
- (4) Do not confer any year end work bonuses s/he is entitled to.
- (5) For a specified period of time, the individual cannot apply for off-campus training, vacation research or extension of service. If necessary, any already approved applications must be cancelled or discontinued.
- (6) For a specified period of time, the individual will not get any salary increases, will not be approved for flexible salary, temporary transfer, or outside positions or outside classes.
- (7) For a specified period of time, besides any legally required disbursements, application for or issuing of all other funds or research project allowances shall be stopped. In the case of a serious violation, funding for any related projects will be recovered.
- (8) For a specified period of time, the teacher qualification application will be dismissed; the period of time is in accord with the following regulations:
  - A. The teacher's qualifications upon examining the curriculum vitae, certificate of collaborations is untrue, the representative work does not accurately reflect proof of the collaborator(s) and the collaborator's remuneration, inadequate citations, does not cite authorization or is published more than one time, does not cite a portion of the work as the result or work of previously published material: one year to five years.
  - B. Monographs, articles, performances and technical reports have plagiarism, fabrication, alteration or fraudulent conditions: five years to seven years
  - C. School and experience documentation, proof of accomplishments, proof that specialized monographs have already been accepted

by a periodical and will be published at a set time, and collaborators proof are forged or altered, or the individual uses illegal or inappropriate means to influence the review process: seven years to ten years.

- (9) In the event that a violation of the 9<sup>th</sup> paragraph of the 3<sup>rd</sup> article of these regulations has been found to be true by the TKU Teachers Review Committee and the accused is an applicant for recruitment or promotion, then the recruitment or promotion application should be disallowed. Moreover, the accused should be informed that two years from the date of the notification no application using the individual's teaching credentials will be accepted; the MOE should also be notified for reference. If the accused is not an applicant for recruitment or promotion, then appropriate disciplinary action should be taken.
- (10) It proposed in accord with regulations of the Article 14 of the Teachers Law to dismiss the individual or discontinue or not renew the his/her contract.

2. If a staff member has in actuality violated academic ethics, the case shall be sent to the "Tamkang University Staff Members Review Committee" for deliberation and the committee should pass a resolution for appropriate disciplinary action.
3. If a student violates academic ethics and it involves the academic degree he or she has been granted, the case shall be submitted to the Office of Academic Affairs for deliberation in accord with the related regulations of the Degree Conferral Law and the office should should pass a resolution for appropriate disciplinary action. A case involving a student violating academic ethics not covered by the Degree Conferral Law will be submitted to the Tamkang University Student Awards and Punishments Committee for deliberation and the committee should pass a resolution for appropriate disciplinary action.

#### Article 10

After each related deliberating meeting about a punishment receives the university president's approval, then the Office of Human Resources should within 10 days after the meeting send in written form information about the manner of the punishment,

reasons, appeals time limit, the office hearing the case, etc, to the accuser, the party being punished and the unit with which he/she is affiliated.

In the event a case of a teacher, researcher, staff member or a student has been adjudicated as violating academic ethics based on MOE deliberations and disciplinary action has been stipulated, then the level one unit which engages the teacher, researcher, staff member and the college of the department or institute in which the student majors should establish counseling or educational mechanisms with workable ways to implement disciplinary actions

#### Article 11

When the conduct of violating academic ethics by the faculty member, staff member or student has undergone investigation by the investigation team and is found not have definite evidence sufficient to determine whether the situation of the accused violated academic ethics, the Office of Human Resources should notify the accuser and the accused in written form about the results of the investigation and should coincidentally notify the unit with which the accused is affiliated.

#### Article 12

The school should within three months after the day of receiving the accusation come to a concrete conclusion. When the situation of the case is complex, obstructed and hard to process, or winter or summer break intervenes, the time limit can be extended by one month; the accuser and the accused should as well be notified by the Office of Human Resources.

#### Article 13

If the accuser once again submits an accusation, there should be new concrete evidence. Making an accusation for the same circumstances of violating academic ethics is limited to one additional time.

If the investigation team upon investigation finds the case against the faculty member, staff member or student to be a senseless, indiscriminate accusation, then based upon the severity of the circumstances the Office of Human Resources based upon the accuser's identity should for a faculty member send it to the Tamkang University Teachers Review Committee for discipline; for a staff member send it to the Tamkang University Staff Members Review Committee for discipline; and for a student send it to the Tamkang University Student Rewards and Punishments Committee which should take action following the severity of the circumstances.

#### Article 14

If these regulations do not cover the matters concerned, consult the Ministry of Education's "Principles for Treating Cases of Academic Ethics for Colleges or

【1-20\_TKU Regulations for Handling Violations of Academic Ethics by the Faculty Staff and Students\_20180619】

Above”, the Executive Yuan’s “Ministry of Science and Technology Treatment of Academic Ethics Cases and Important Points of Deliberation” and related regulations on campus and off campus for processing.

#### Article 15

This set of regulations will take effect on the date of its publication after being passed at a TKU affairs meeting. The same applies to any later amendments made.