

## **INFORMATION & GUIDELINES FOR EXAMINERS AND INVIGILATORS**

### **Contents**

<b>RECOMMENDED ANNOUNCEMENTS TO BE MADE TO THE STUDENTS.....</b>	<b>1</b>
<b>CONTACT POINTS.....</b>	<b>3</b>
<b>ARRANGEMENTS DURING BAD WEATHER CONDITIONS .....</b>	<b>4</b>
<b>EXAMINATION GUIDELINES FOR INVIGILATORS .....</b>	<b>6</b>
<b>Guidelines for Departments, Examiners and Invigilators .....</b>	<b>6</b>
<b>Academic Dishonesty and Misconduct.....</b>	<b>10</b>
<b>Illness or Other Circumstances Affecting Assessment.....</b>	<b>10</b>
<b>Retaining Examination Scripts .....</b>	<b>10</b>
<b>REGULATIONS FOR STUDENT ACADEMIC INTEGRITY .....</b>	<b>11</b>
<b>Academic Integrity .....</b>	<b>11</b>
<b>Report of Academic Misconduct.....</b>	<b>11</b>
<b>Stage 1: Review by Head of Department/Division.....</b>	<b>12</b>
<b>Stage 2: Referral of Cases to the Dean .....</b>	<b>13</b>
<b>Stage 3: Referral to Academic Registrar.....</b>	<b>14</b>
<b>Stage 4: Appeal to the Provost .....</b>	<b>14</b>
<b>Stage 5: Referral of Cases to the Senate SDC .....</b>	<b>15</b>
<b>Stage 6: Appeal to the President .....</b>	<b>15</b>
<b>General Provisions .....</b>	<b>16</b>
<b>Quality Assurance.....</b>	<b>17</b>
<b>RULES FOR THE CONDUCT OF EXAMINATIONS.....</b>	<b>18</b>

**Prepared by the Academic Registry**

**November 2025**

## RECOMMENDED ANNOUNCEMENTS TO BE MADE TO THE STUDENTS

[In the following are some of the announcements that you may wish to make to the students before the start and/or at the end of the examination.]

### **Before the Exam Start:**

1. You must turn off your mobile phone, pager or any other electronic or communication device during the examination.
2. Leave your belongings, including your mobile phone and any electronic or communication devices such as iPod, tablets, smart watches, wearable devices...etc., in \_\_\_\_\_ (*a place designated by the invigilator*). You can bring into the exam room only your student ID card, stationery and \_\_\_\_\_ (*items as allowed by the course instructor*)
3. Place your student identity card on the top right-hand corner of your desk for verification purposes.
4. You must not turn over the pages of the question paper and must not start working until you are instructed to do so.
5. You are not allowed to leave the examination venue within the first 30 minutes and during the last 15 minutes of the examination.
6. You must not leave the venue in the middle of the examination without the permission of the invigilator. You will be accompanied by an invigilator when you are temporarily outside this venue.
7. No conversation among students is allowed during the examination. Any questions must be addressed to an invigilator.
8. Read carefully the instructions and the University Honor Code on the front cover of your answer books; complete the necessary information and sign the declaration of academic integrity.
9. You should write only on your answer books or on the supplementary answer books and sheets provided.
10. Time allowed for this examination is \_\_\_\_\_ (*duration*).
11. You may start writing the examination now.

[Invigilators write the start time and end time of the examination on the white board.]

### **15 minutes before End of the Exam:**

1. You have 15 minutes left. You are not allowed to leave the examination venue from now on until the end of the examination.
2. Check that you have written down the question numbers on the answer book cover in the correct order.

**At the End of the Exam:**

1. Time is up. Please stop writing the examination.
2. Please remain seated until the invigilator has collected all answer books.

[Invigilators collect answer books from the students.]

3. Before you leave this room, make sure that you have handed in all answer books, whether used or unused. You are not allowed to remove from this room any printed or written matter unless allowed by the invigilator.
4. You may leave now.

## CONTACT POINTS

(applicable to Clearwater Bay Campus only)

Matters	Venues	Staff	Telephone	Duty Hours
Locking/Unlocking of entrances	S H Ho Sports Hall (Hall)	DSTO-Sports Facilities	<b>Ext.: 8582</b>	7:45am - 9:00pm
	LG4 Multi-purpose Room (LG4204)			
	LG1 Table Tennis Room (LG1031)			
	LG1 Multi-purpose Room (LG1027)			
	[atrium] Tsang Shiu Tim ART HALL	CMO	<b>Ext.: 6565</b>	24 Hours
	LG5 Conference Room (LG5313)			
	LG5 Multi-Function Room (LG5315)			
	Lecture Theaters & Classrooms (including CYT Building)			
	LSK Lecture Theaters & Classrooms	CMO	<b>3469 2068</b>	24 Hours
	S H Ho Sports Hall (Hall)	DSTO-Sports Facilities	<b>Ext.: 8582</b>	7:45am - 9:00pm
	LG4 Multi-purpose Room (LG4204)			
	LG1 Multi-purpose Room (LG1027)			
PA System	LG1 Table Tennis Room (LG1031)	AV Counter, ITSC	<b>Ext.: 6200</b>	9:00am - 5:30pm
	Lecture Theaters & Classrooms (including CYT Building)			
	[atrium] Tsang Shiu Tim ART HALL			
	LG5 Conference Room (LG5313)		<b>Ext.: 5819</b>	8:45am – 5:30pm
	LG5 Multi-Function Room (LG5315)			
	S H Ho Sports Hall (Hall)	DSTO-Sports Facilities		
Malfunction of fall-back sound system	AV Counter, ITSC	<b>Ext.: 6200</b>	9:00am - 5:30pm	
Power failure/ Air-conditioning	All venues	CMO	<b>Ext.: 6465</b>	24 Hours
Matters relating to any other matters		Academic Registry	<b>Ext.: 1115</b>	8-12, 15-19/12      7:45am-7:30pm
				13/12      7:45am-5:00pm

## ARRANGEMENTS DURING BAD WEATHER CONDITIONS

The following arrangement only applies to **centralized final examinations in Fall/Spring terms listed on the Final Examination Schedule (<https://registry.hkust.edu.hk/finalexam-schedule>)**.

Examinations that are arranged by instructors or those held during class hours should follow the *CLASS Arrangement\**.

(\*URL: <https://registry.hkust.edu.hk/resource-library/bad-weather-arrangement-case-typhoon-or-rainstorm-class>)

### **Arrangement of Final Exam under weather warning signals**

If the following weather warning signal is **in effect**

<b>Amber/Red Rainstorm Warning, or Typhoon Signal No. 1 or 3</b>	All scheduled (including online) final examinations will be held as usual.
<b>Black Rainstorm Warning</b>	<b>All (including online) final examinations that have yet to start will normally be postponed.</b>  Final examinations that have <b>already started</b> will normally continue until the end.  Stay indoors wherever you are and do not leave until the warning is cancelled and the conditions are safe.
<b>Typhoon Signal No. 8 is to be issued within 2 hours (pre-No. 8)</b>	<b>All (including online) final examinations that have yet to start will normally be postponed.</b>  Final examinations that have <b>already started</b> will normally continue until the end, after which you should return to your place of residence if traffic and weather conditions permit within the 2-hour period.  When the Typhoon Signal No. 8 has been issued, stay indoors wherever you are and do not leave until the warning is cancelled and the conditions are safe.
<b>"Extreme Conditions" after Super Typhoons</b>	<b>All (including online) final examinations will normally be postponed.</b>  Stay indoors wherever you are and do not leave until the warning is cancelled and the conditions are safe.
<b>Typhoon Signal No. 8 or above, Black Rainstorm Warning or "Extreme Conditions"</b> <b>Announcement is still in force at 4 pm</b>	<b>All (including online) evening final examinations will normally be postponed.</b>

## **Resumption of Final Examinations**

If Typhoon Signal No. 8, Black Rainstorm Warning or "Extreme Conditions" Announcement is **cancelled**

<b>At or before 6:30 am</b>	Final examinations (including online) starting <b>from 8:30 am</b> and onwards will be held as scheduled.
<b>At or before 9:30 am</b>	Final examinations (including online) starting <b>from 12:30 pm</b> and onwards will be held as scheduled, while final examinations (including online) starting <b>before 12:30 pm</b> will normally be postponed.
<b>At or before 1:30 pm</b>	Final examinations (including online) starting <b>from 4:30 pm</b> and onwards will be held as scheduled, while final examinations (including online) starting <b>before 4:30 pm</b> will normally be postponed.
<b>Before 4 pm</b>	Final examinations (including online) starting <b>from 6 pm</b> and onwards will be held as scheduled, while final examinations (including online) starting <b>before 6 pm</b> will normally be postponed.

### **Important Notes**

1. The final examinations postponed due to adverse weather will be re-scheduled. Students will be informed of the revised examination arrangements as soon as practicable.
2. The arrangement for classes is available at: Bad weather arrangement - In Case of Typhoon or Rainstorm (Class)\*
3. The announcements of the Education Bureau for class suspension do not apply to the University.

(\*URL: <https://registry.hkust.edu.hk/resource-library/bad-weather-arrangement-case-typhoon-or-rainstorm-class>)

## EXAMINATION GUIDELINES FOR INVIGILATORS

*(extracted from "Management of Examinations and Academic Integrity: Guidelines for Departments, Examiners and Invigilators")*

### **Guidelines for Departments, Examiners and Invigilators**

To ensure that the assessment of students through examinations is fair and that high standards of academic honesty are maintained, the University relies on the **commitment of invigilators** operating with the support of departments. The following guidelines are based on those approved by the University Senate at its meeting on 8 June 2011 as a basis for the management of examinations. All **staff responsible for the conduct of examinations** should be familiar with these guidelines.

Departments may institute additional requirements to maintain the integrity of examinations taking into consideration their own circumstances.

### **On-campus Examinations**

#### ***Appointment of Invigilators***

1. The **faculty member** responsible for the course must be present at the examination. For examinations with more than one course-section, a **Chief Invigilator** should be appointed to coordinate the conduct of the examination.
2. **Departments must provide at least two invigilators** for each examination venue and at least one invigilator per 50 examinees. As far as possible, these should include both male and female invigilators.
3. Invigilators should be teaching personnel: academic staff, language instructors, demonstrators, or postgraduate teaching assistants.
4. Departments should establish a pool of invigilators sufficient to support all the examinations for which they are responsible.
5. To maintain accountability, departments should keep a record of the assignment of invigilators to each examination.

#### ***Examination Papers and Stationery***

1. The **faculty member** responsible for the examination must ensure the accuracy and confidentiality of examination papers.
2. The HKUST **Academic Honor Code** should be reprinted on the front cover of examination answer books, followed by the **Declaration of Academic Integrity** as below for students to confirm before they proceed to the content of the examination paper.

## The HKUST Academic Honor Code

Honesty and integrity are central to the academic work of HKUST. Students of the University must observe and uphold the highest standards of academic integrity and honesty in all the work they do throughout their program of study.



As members of the University community, students have the responsibility to help maintain the academic reputation of HKUST in its academic endeavors.



Sanctions will be imposed on students, if they are found to have violated the regulations governing academic integrity and honesty.

### Declaration of Academic Integrity

**For the examination answer book:**

Declaration of Academic Integrity

*I confirm that I have answered the questions using only materials specifically approved for use in this examination, that all the answers are my own work, and that I have not received any assistance during the examination.*

**For examination conducted online or outside a proctored classroom:**

Declaration of Academic Integrity

*You MUST confirm the following statements to unlock the exam. Points earned from these questions will not count towards the exam grade.*

- *I will answer the questions using only materials, including online materials, specifically approved for use in this examination.*
- *I will not receive any assistance during the examination and all the answers will be my own work.*
- *I am taking this examination in isolation in a private room unless with the explicit written consent of my instructor.*
- *I am using my own HKUST account to complete this examination.*
- *I understand that the use of a virtual background is prohibited.*
- *I understand that it is my responsibility to ensure that my equipment is functioning properly.*
- *I will follow the invigilator's instructions to set up the proctoring environment.*
- *I will not leave the examination venue and/or turn off my camera in the first 30 minutes of the examination unless with the explicit permission of the instructor.*
- *I understand that conversation or other communication, whether at my workstation or remotely through electronic or other means, and whether it is related to the examination or not, is not*

*allowed during the examination unless specifically permitted by the invigilator; and that any questions must be addressed to the invigilator.*

- *I will not save or distribute copies of examination questions in any form either during or after the examination.*
- *I will delete, immediately at the end of the examination, any questions that I download onto my hard-drive, external drive or other device in order to work on during the examination.*
- *I understand that I may leave the examination venue to visit the washroom or for any other reason only during designated periods, where scheduled, or with an invigilator's permission, and only after I have uploaded my examination answers before leaving.*
- *I understand that, once uploaded, my answers cannot be revised/modified unless explicitly permitted for the examination.*
- *I will not take examination materials or use electronic devices if I leave my workstation; I will take personal items to the washroom only with the invigilator's permission.*
- *I understand that if I leave the examination venue to go to the washroom or due to illness or other extenuating circumstances without uploading my answers, I will be deemed to have been unable to complete the examination and that the Academic Regulations Governing Undergraduate Studies (7.5) or the Academic Regulations Governing Postgraduate Studies (7.4) shall apply, as appropriate.*

3. It is **good practice** to number blank answer books to facilitate record keeping. The number of books returned should be the same as the number distributed.
4. Scratch paper, if provided, should be of a different colour from that of answer books.

### ***Seating Plan***

To prevent impersonation at examinations and facilitate checking of student ID cards, it is **good practice** to draw up a seating plan for each examination. This is particularly the case for large examinations.

### ***Before the Examination***

1. Examination venues are available 30 minutes before the start of examinations (45 minutes for the S H Ho Sports Hall and the Tsang Shiu Tim Art Hall). **Invigilators** should arrive at the venue in sufficient time to post the seating plan and to distribute question papers, answer books, scratch paper and other necessary materials.
2. Staff of the Academic Registry will provide a Class Roster, an Invigilator Log Sheet, a Report on Student Academic Misconduct, recommended Announcements to Students, and useful Contact Numbers.
3. **Invigilators** should allow students to enter the venue only when everything is ready.
4. Except for items explicitly permitted for the examination, all books, bags, papers, mobile phones and other communication devices etc. must be placed so that they cannot be accessed, ideally at the front, rear or side of the room. Subject to permission of the invigilators and only where items are easily visible,

these may be placed under desks and seats.

5. **Examinees** must place their student ID cards (a HKID card is acceptable **only** if the student ID card is not available) on the right-hand corner of their desk. **Students** without ID cards should be refused entry.

### ***During the Examination***

1. **At least one Invigilator** should be in the room throughout the examination.
2. Before starting the examination, the **Invigilator** should announce the time allowed for the examination and the number of questions for each examination paper, and should ensure that all examinees have a complete question paper, answer book and required stationery.
3. If there is a delay in the starting time, the finishing time may be extended.
4. **Invigilators** should note the name and time of arrival of late-comers on the Invigilator Log Sheet. Late-comers may not be given extra time for the examination.
5. In the first 30 minutes of the examination, **Examinees** are permitted to leave the venue only in exceptional circumstances. After the first 30 minutes, students should not be admitted to the examination.
6. **Invigilators** should record student attendance using the Class Roster provided at the venue and verify students' ID cards to avoid impersonation.
7. **Examinees** may leave the venue to visit the washroom or for any other reason only with the permission of an Invigilator and should be accompanied by an **Invigilator**. **Invigilators** should ensure that the examinee does not take away, or return with, any papers, mobile phones or other items.
8. **Invigilators** should undertake regular monitoring of the examination.

### ***End of the Examination***

1. **Examinees** should not be allowed to leave the examination room during the last 15 minutes of the examination.
2. **Examinees** should be reminded to complete the necessary information on the front page of their answer books, including the statement of academic integrity.
3. All answer books, examination papers and supplementary sheets, whether unused or used for draft work should be collected. **Examinees** are permitted to remove printed or written materials from the examination room only with the permission of the examiner.
4. **Examinees** should not be allowed to leave their seats until all examination answer books and examination papers have been collected and counted.
5. **Invigilators** should complete and sign the Class Roster and the Invigilator Log Sheet. All irregularities, including names of late-comers, students taken ill during the examination, and incidents of cheating and misconduct, must be recorded on the Log Sheet.

- Where there are irregularities the Invigilator Log Sheet must be returned to the Academic Registry as soon as possible and in any circumstances within the grade reporting period.

#### **Academic Dishonesty and Misconduct**

(For details, please refer to the section 'Regulations for Student Academic Integrity' on pg. 11-17)

**Invigilators** are authorized to expel students from an examination if they discover cheating or repeated misconduct.

For on campus examinations/tests, if an **Invigilator** believes that a student has committed an act of academic misconduct, the student should be asked to stop writing and leave the examination venue. If the student denies the charge of academic misconduct, the **Invigilator** should draw a line on the examination/test script to indicate the point when the alleged academic misconduct is suspected and allow the student to complete the examination/test.

In all cases, the **Invigilator** should submit a *Report on Student Academic Misconduct*, indicating the circumstances of the case, to the **Head of the Department/Division** responsible for the course, via the **Course Instructor** where applicable, for consideration under the Regulations for Academic Integrity, including any evidence on the act of academic dishonesty collected.

#### **Illness or Other Circumstances Affecting Assessment**

(Extracted from Academic Regulations: UG Regulation - 7.5; PG Regulation - 7.4)

**Students** who wish the University to take into account illness or some other extenuating circumstances that have affected their performance in an examination, or ability to attend an examination, or to complete other assessment activities, must report the circumstances of the case in writing and provide appropriate documentation to the Academic Registry within one week of the scheduled date of the assessment activity. The Academic Registrar will review the case and make a recommendation to the relevant **Dean/Dean's designate** or the **Dean of the Academy of Interdisciplinary Studies (AIS)**.

#### **Retaining Examination Scripts**

To provide for grade appeals, **Departments** should keep students' examination scripts, **whether submitted in hard copy or online, for one year**. However, as departments may see different needs for their students' examination scripts independent of their usefulness in the grade appeal process, e.g. scripts may be required for accreditation purposes, the final decision on how long examination scripts should be kept lies with individual departments.

## REGULATIONS FOR STUDENT ACADEMIC INTEGRITY

(URL for the regulations: <https://registry.hkust.edu.hk/resource-library/regulations-student-academic-integrity>)

### Academic Integrity

1. Academic honesty and integrity are central to HKUST. The University Senate adopted an *Academic Honor Code\** for students in June 2005. All HKUST students are committed to this Code.

(\*URL: <https://registry.hkust.edu.hk/resource-library/academic-honor-code-and-academic-integrity>)

2. The University's approach to academic misconduct, involving breaches of the *Academic Honor Code* and academic integrity, is fundamentally educational, striving to foster a strong ethical foundation among its students. The process for dealing with academic misconduct is designed to enable students to better understand the nature of academic misconduct and the high standards of academic integrity that are expected of them. The sanctions applied in confirmed cases of academic misconduct are intended to communicate to the University community that the University has zero tolerance towards breaches of academic integrity.

3. Academic misconduct includes, but is not limited to:

**3.1 Cheating:** conduct designed to mislead those responsible for making an assessment on a student's academic performance or standing, including:

- i. Unauthorized access to, conveyance of or receipt of examination or test questions;
- ii. Offer, receipt or use of unauthorized information or assistance in completing an assignment, test or examination;
- iii. Breaches of the *Rules for the Conduct of Examinations* set out in the Annex;
- iv. Impersonating another student or allowing oneself to be impersonated by another person in participating in a test or examination;
- v. Submission of academic work containing purported statements of fact or references to sources and/or data that have been fabricated or falsified;
- vi. Presentation for credit work that has already been accepted for credit in another course;
- vii. Fraud, forgery or other fraudulent conduct, including submission of forged documents or information, in relation to a student's academic performance or standing, in any application (including admission application) to, or otherwise in connection with, the University (e.g. fraudulent medical certificates to support requests to be excused from attendance or to be granted a make-up examination; fraudulent certificates or transcripts in support of applications for credit transfer or course exemption; or false pretences or personation of others during admission application).

**3.2 Plagiarism:** the presentation of work which originates from other sources, including the work of other students, as the student's own work, without appropriate attribution to the source.

### Report of Academic Misconduct

4. In applying these *Regulations for Student Academic Integrity* (Regulations), Heads of Department/Division, Deans, the Provost or the President, as case reviewing officers, may nominate delegates to review cases and/or meet with the relevant student and/or relevant witnesses on their behalf. However, decision-making (for example to dismiss a case, to impose sanctions, to refer cases to the Senate Student Disciplinary Committee (**Senate SDC**), or to uphold or reject an appeal) is the sole responsibility of case reviewing officer and not his/her delegate.

5. Reports of misconduct which are ambiguous in nature and do not fall clearly under these Regulations and may instead fall under the *Regulations for Student Conduct*\*, or may fall under both Regulations, shall be referred to the Academic Registrar, who shall decide under which Regulations the case should be reviewed in the first instance. In such cases, where the Academic Registrar determines that a report relates to both student misconduct and student academic misconduct, the Academic Registrar may refer the case to the relevant Head of Department/Division, for initial investigation of the alleged student academic misconduct under these Regulations, prior to investigation of the alleged student misconduct under the *Regulations for Student Conduct*.

(\*URL: <https://registry.hkust.edu.hk/resource-library/regulations-student-conduct>)

6. Anonymous report will not normally be considered.
7. Invigilators who consider that a student has breached the Rules for the *Conduct of Examinations* and have taken action as set out in the *Annex* should submit a *Report on Student Academic Misconduct* to the Head of the Department/Division responsible for the course in question, via the Course Instructor where applicable, indicating the circumstances of the case. The Head of Department/Division shall then handle the matter in accordance with these Regulations.
8. Instructors, students' supervisors or other members of the University community who consider that a student or group of students has or may have committed cheating or plagiarism as defined in paragraph 3 above, or other academic misconduct in the submission of assignments or other student work that may contribute to an award of the University (including alleged fabrication, falsification or plagiarism of a student's research proposal, project report, laboratory report, essay, dissertation or thesis) should submit a *Report on Student Academic Misconduct* to the Head of the Department/Division responsible for the course or program in question, (in the case of undergraduate and taught postgraduate students) or to the relevant Dean (in the case of research postgraduate students). Reports should indicate the circumstances of cases and include any relevant evidence (e.g. copies of original texts and the student's work highlighting any alleged plagiarism).
9. Report of research misconduct not related to the award of the University shall be referred and dealt with under the '*Policy on Research Conduct and Integrity*'\*.

(\*URL: <https://vprd.hkust.edu.hk/policies-compliance/policies-guidelines/research-conduct-and-integrity>)

10. Report of academic misconduct as defined in paragraph 3 above against former students and graduates with respect to their studies while being students of the University shall be investigated by either an *ad hoc* committee established by the Provost which shall devise its own procedures, taking into account the spirit and, where applicable, the requirements under these Regulations, or by the Committee on Academic Integrity in the case of research postgraduate students.

#### **Stage 1: Review by Head of Department/Division**

11. Heads of Department/Division, in reviewing cases referred in accordance with paragraphs 7 or 8 above, shall consult relevant parties as deemed appropriate.
12. Heads should refer cases to the relevant Dean(s) for review where:
  - i. a case involves a group of students with one or more who are not enrolled on a course or program under the Head of Department/Division;
  - ii. a Head considers there may be a possible conflict of interest for the Head;
  - iii. the case involves persons who are not members of the University community.

13. A student shall be informed of the report on academic misconduct made against him/her, and asked to attend a meeting with the Head of Department/Division, to respond to the case and present relevant evidence if any. If a student refuses, or is unable, to attend the meeting, the Head of Department/Division shall review the case based on the evidence available to him/her.
14. Where a Head of Department/Division determines that a student has committed academic misconduct, the Head of Department/Division may either:
  - (a) impose one or more of the following sanctions, the details of which shall be confirmed in writing:
    - i. A verbal reprimand;
    - ii. A written reprimand, to be noted in the student's record until graduation or for a specified period of time;
    - iii. A make-up assignment or test/examination;
    - iv. A requirement to resubmit work contributing to an award;
    - v. A reduced grade for the component of the course assessment in question or a reduced grade for the course, including a failed grade;
    - vi. Require the student to undertake a period of mentoring or instruction, to enhance the student's ability to make good ethical choices;
- or
- (b) submit a *Report on Student Academic Misconduct* to the relevant Dean for further review where the sanctions available to the Head of Department/Division as set out in (a) above are considered to be insufficient with respect to the nature of the academic misconduct.
15. Where a student is found to have committed academic misconduct and a sanction is imposed, the Head of Department/Division shall complete the *Report on Student Academic Misconduct* and forward it to the Dean responsible for the student's program for information, with a copy of the written reprimand, if any. Copies of these documents and records shall also be sent to the Academic Registrar, for retention and monitoring of consistency across Schools.
16. Where the Academic Registrar receives a Report on *Student Academic Misconduct* for a student who already has a prior *Report on Student Academic Misconduct* on their record, all such cases shall be referred to the Dean responsible for the student's program, for consideration under Regulation 17 below.

#### **Stage 2: Referral of Cases to the Dean**

17. Where a *Report on Student Academic Misconduct* has been referred to the relevant Dean in accordance with paragraphs 8, 12, 14 or 16 above, the Dean shall review the matter (including previous misconduct Reports, if any), and ask the student to attend a meeting to respond to the case and present relevant evidence, if any. If a student refuses, or is unable, to attend the meeting with the Dean, the Dean shall review the matter based on evidence available to him/her.
18. Where a Dean determines that a student has committed academic misconduct, the Dean shall either:
  - (a) impose any of the sanctions available to the Head of Department/Division in Regulation 14 above and/or one or more of the following sanctions, details of which shall be recorded in the *Report on Student Academic Misconduct* and submitted to the Academic Registrar for retention and monitoring of consistency across the Schools:

- i. University community service;
- ii. Withdrawal or suspension of academic or other University rights, privileges or benefits;
- iii. Reduction in maximum credit load;
- iv. Suspension from studies for a maximum of one Regular Term;
- v. Notation by the Academic Registrar of academic misconduct on the student's transcript, to be removed at a specified time, or upon graduation, or to retain as a permanent record (this sanction will normally be applied automatically in cases of 2 or more confirmed cases of academic misconduct, notwithstanding any additional sanctions that may also be applied);

or

- (b) refer the matter (and all previous misconduct Reports, where applicable) to the Senate SDC for further review and decision where the sanctions available to the Dean under (a) above are considered to be insufficient with respect to the nature of the misconduct.

19. Where a *Report on Student Academic Misconduct* is referred to a Dean or to the Senate SDC under paragraphs 14(b) or 18(b) above, respectively, the *Report on Student Academic Misconduct* shall summarise the investigation process and include the reasons why the case reviewing officer considers the sanctions available to the case reviewing officer to be insufficient. The student shall be informed that the case has been referred to the Dean or the Senate SDC, as appropriate, for review and decision.

#### **Stage 3: Referral to Academic Registrar**

20. Where a report of student academic misconduct has been found proven by a Head of Department/Division or Dean, as appropriate, but it also includes a separate report of non-academic student misconduct (as defined in the *Regulations for Student Conduct*), the Head/Dean shall refer their academic misconduct decision and the additional report to the Academic Registrar, for investigation of the student misconduct under the *Regulations for Student Conduct*. Where such a case has been referred to the Academic Registrar and a Dean has also referred the case of academic misconduct to the Senate SDC in accordance with paragraph 18(b) above, the Senate SDC shall await the decision of the Academic Registrar with respect to the additional report of student misconduct before considering the report of academic misconduct.

#### **Stage 4: Appeal to the Provost**

21. Students desiring to appeal against the sanction imposed by the Head of Department/Division or Dean may submit a written appeal to the Provost within fourteen calendar days of the date of the written communication informing the student of the Head of Department/Division/Dean's decision, stating the grounds for the appeal. The Head of Department/Division/Dean's decision remains effective pending outcome of the appeal.
22. Normally, appeals shall be considered only on the basis of procedural irregularity and/or new evidence. The Provost may accept any evidence or documentation not previously submitted in support of an appeal **only** if good reason is provided for the failure to submit the evidence/documentation to the Head of Department/Division or Dean at the initial consideration of the case.
23. The *Report on Student Academic Misconduct* and the student's written appeal shall be reviewed by the Provost. Students may be asked to meet the Provost, to explain the grounds for the appeal and to present relevant evidence, if any. Students attending such a meeting may be accompanied by a family member or a member of the University community, who shall act only in a supportive role and shall not make any

submission or participate in the meeting in any way. If a student refuses, or is unable, to attend the meeting with the Provost, the Provost shall review the appeal based on the evidence available to him/her.

24. Upon considering the appeal, the Provost may either confirm or quash the decision of the Head of Department/Division/Dean, modify it by imposing lesser or additional or other sanction(s) from those listed in paragraphs 14(a) and 18(a) above, or refer the case to the Senate SDC for review in accordance with paragraph 18(b).
25. The decision of the Provost on student appeals shall be final.
26. The outcome of the appeal process shall be recorded in the *Report on Student Academic Misconduct* and sent to the Academic Registrar for retention.

#### **Stage 5: Referral of Cases to the Senate SDC**

27. Where a case has been referred to the Senate SDC in accordance with paragraph 18(b) above, the Senate SDC shall review the case and ask the student to attend a meeting of the committee. Students attending Senate SDC meetings may be accompanied by a family member or a member of the University community, who shall act only in a supportive role and shall not make any submission or participate in the meeting in any way. If a student refuses, or is unable, to attend the meeting with the Senate SDC, the Senate SDC shall review the allegation based on the evidence available to it. A written report of the review process shall be made and sent to the Academic Registrar, together with the *Report on Student Academic Misconduct*, for retention.
28. The Senate SDC may impose any of the sanctions available from those listed in paragraphs 14(a) and 18(a) above and/or one or more of the following sanctions:
  - i. Cancellation of academic credits already earned;
  - ii. Ineligibility for honors on graduation;
  - iii. Discontinuation of studies and suspension from the University for a set period, with re-admission being subject to satisfactory fulfilment of conditions where specified;
  - iv. Termination of studies;
  - v. Any other sanction(s) deemed appropriate by the Senate SDC.
29. A sanction of termination of studies shall result in automatic de-registration as a student.
30. In appropriate cases, the Senate SDC also may report a student academic misconduct case to the Senate and the Council, with a recommendation that the degree or other academic award previously conferred or granted by the University to the student be revoked.

#### **Stage 6: Appeal to the President**

31. Students desiring to appeal against decisions of the Senate SDC may submit a written appeal to the President within fourteen calendar days of the date of the written communication informing the student of the Senate SDC's decision, stating the grounds for the appeal. The Senate SDC's decision shall remain effective pending outcome of the appeal, unless the President directs otherwise.
32. Normally, appeals shall be considered only on the basis of procedural irregularity and/or new evidence. The President may accept any evidence or documentation not previously submitted in support of an appeal only if good reason is provided for the failure to submit the evidence/documentation to the Senate SDC at the initial consideration of the case.

33. The *Report on Student Academic Misconduct*, along with the Senate SDC's written report and the student's written appeal, shall be considered by the President. The student may be asked to attend a meeting with the President to explain the grounds for the appeal and to present relevant evidence, if any. Students attending appeal meetings may be accompanied by a family member or a member of the University community, who shall act only in a supportive role and shall not make any submission or participate in the meeting in any way. If a student refuses, or is unable, to attend the meeting with the President, the President shall review the appeal based on the evidence available to him/her.
34. Upon considering the appeal, the President may either confirm or quash the Senate SDC's decision or, where appropriate, modify it by imposing lesser or additional or other sanction(s) from those set out in paragraphs 14 (a), 18(a) and 28 above.
35. The decision of the President on student appeals shall be final.
36. The outcome of the appeal process shall be recorded in the *Report on Student Academic Misconduct* and sent to the Academic Registrar for retention.

#### **General Provisions**

37. Papers and records in relation to processes conducted under these Regulations shall be retained by the Academic Registry until, normally, the graduation of the subject student, after which, such papers and records shall be destroyed unless they are retained under paragraph 43 below.
38. All information gathered or received during the processes under these Regulations, as well as information presented or discussed in the course of meetings or deliberations of the cases, shall be kept in strict confidence and shall not be divulged to parties not involved in the process.
39. The processes under these Regulations shall be conducted in an informal manner. The strict rules of procedure and evidence of a court of law do not apply to these disciplinary process. The case reviewing officers and the Senate SDC may receive any material which is considered relevant and attach such weight to the material as the case reviewing officers and/or Senate SDC consider appropriate.
40. The commencement or non-commencement of civil or criminal proceedings, or investigation by a law-enforcement agency, against a student shall not preclude or in any way restrict the commencement or continuation of the disciplinary proceeding herein, although the University has the full right and discretion (but not obligation) to withhold commencing, suspending or discontinuing with the procedures should the circumstances so justify.
41. Whilst the University shall take all reasonable measures to comply with the procedures under these Regulations, in the event of non-compliance, for example, accidental non- or late-delivery of documents, unavailability of a witness or the case reviewing officer and/or Senate SDC member causing delay in the process, will not in itself render the process void or voidable or constitute procedural irregularities if no material prejudice is caused.
42. The University reserves the right to publish the findings and outcome of any case considered under these Regulations including, amongst others, the nature of the academic misconduct, salient facts and the sanctions imposed, provided that the publication shall be strictly on a no-name basis and shall not include the name of the party(ies) or details which might render the identity of parties involved ascertainable.

## **Quality Assurance**

43. Throughout these procedures, the outcome of all confirmed cases of academic misconduct shall be reported to the Academic Registrar, whose office will undertake periodic review (at least once annually) of the forms of academic misconduct being reported and the sanctions imposed, in order to ensure consistency of sanction across the University. Where discrepancies were to be found, the Academic Registrar shall report this to the relevant Dean(s) and the Provost for remedial action, and to the Committee on Teaching and Learning Quality for information.

## **RULES FOR THE CONDUCT OF EXAMINATIONS**

(Extracted from the *Regulations for Student Academic Integrity – Annex*)

[Includes tests and other assessments held under examination conditions but excludes examination of theses, final year projects or other similar assessments]

### **On Campus Examinations**

1. Only students who are enrolled in the course and able to present their student identity cards (or in exceptional circumstances their HKID cards) are allowed to sit for a course examination.
2. Only in exceptional circumstances are examinees permitted to leave the venue in the first 30 minutes of an examination, or join an examination after the first 30 minutes. Examinees admitted late to an examination will not be given extra time for the examination.
3. Except for items explicitly permitted for an examination, all books, bags, papers, mobile phones and communication devices, etc. must be placed ideally at the front, rear or side of the venue so that they cannot be accessed. These items may be placed under desks and seats only where they are easily visible and with an invigilator's permission.
4. Conversation is not allowed during an examination, unless specifically permitted by an invigilator. Any questions must be addressed to an invigilator.
5. Examinees should write only on their answer books or on any supplementary sheets provided for the purpose. All answer books, examination papers and supplementary sheets must be handed in at the end of the examination. Examinees are permitted to remove printed or written materials from the examination room only with the permission of the examiner.
6. Examinees may leave examination venues to visit washrooms or for any other reason only with an invigilator's permission, and must be accompanied by an invigilator. Examinees may not take examination materials or electronic devices to washrooms; other personal items may be taken only with an invigilator's permission.
7. Examinees are not allowed to leave the examination venue during the last fifteen minutes of an examination and must remain seated until the invigilator has collected all examination answer books and examination papers at the end of the examination.
8. Where an examinee leaves the examination venue due to illness or other extenuating circumstances and is unable to complete the examination, the Academic Regulations Governing Undergraduate Studies (7.5) and the Academic Regulations Governing Postgraduate Studies (7.4) shall apply, as appropriate.
9. Invigilators are authorized to expel students from an examination if they discover cheating or repeated misconduct and shall submit a *Report on Student Academic Misconduct*, indicating the circumstances of the case, to the Head of the Department/Division responsible for the course, via the Course Instructor where applicable, for consideration under the *Regulations for Student Academic Integrity*.

## Online Proctored Examinations

10. Only students who are enrolled in the course are allowed to sit for a course examination and to access examination materials. All logins to any software involved in the examination should be made using the student's own HKUST account, and no VPN should be used except with the explicit prior written permission of the instructor (for example where an instructor authorizes the use of a Proxy service provided by ITSO for improved internet connection from the Mainland).
11. An examinee must take an examination by him/herself in a private room, unless with the prior written permission of the instructor. The use of virtual backgrounds is prohibited.
12. Only equipment explicitly permitted can be used during an examination. It is the responsibility of examinees to ensure that their equipment is functioning properly, and to follow the invigilator's instructions to set up the proctoring environment.
13. Only in exceptional circumstances are examinees permitted to leave the examination venue and/or turn off their cameras in the first 30 minutes. In such circumstances, Rule 18 below shall apply.
14. Only in exceptional circumstances are examinees permitted to join an examination after the first 30 minutes. Examinees admitted late to an examination will not be given extra time for the examination.
15. Examinees cannot use any program or access any website that provides answers tailored to the user's input; and cannot use any material, whether in hard copy, electronic or other form, except where explicitly permitted.
16. Conversation or other communication, whether at the examinee's workstation or remotely through electronic or other means, and whether it is related to the examination or not, is not allowed during an examination unless specifically permitted by an invigilator. Any questions must be addressed to an invigilator.
17. Except where explicitly permitted, examinees are not allowed to save or distribute copies of examination questions in any form either during or after the examination. Any questions that an examinee had downloaded onto his/her hard-drive, external drive or other device in order to work on during the examination must be deleted immediately at the end of the examination.
18. Examinees may leave examination venues to visit washrooms or for any other reason only during designated periods, where scheduled, or with an invigilator's permission, and only after they have uploaded their examination answers before leaving. Once uploaded, answers cannot be revised/modified unless explicitly permitted for the specific examination. Examinees may not take examination materials or use electronic devices when they leave their workstations; other personal items may be taken only with an invigilator's permission.
19. Examinees who leave the examination venue to go to the washroom or due to illness or other extenuating circumstances without uploading their answers will be deemed to have been unable to complete the examination: in such cases, the Academic Regulations Governing Undergraduate Studies (7.5) and the Academic Regulations Governing Postgraduate Studies (7.4) shall apply, as appropriate.
20. Notwithstanding Rules 13, 18 and 19 above, examinees are not allowed to leave the examination or turn off their cameras until an invigilator announces that the examination is over.
21. Invigilators are authorized to expel students from an examination if they discover cheating or repeated misconduct and should submit a *Report on Student Academic Misconduct*, indicating the circumstances of

the case, to the Head of the Department/Division responsible for the course, via the Course Instructor where applicable, for consideration under the Regulations for Student Academic Misconduct.

*(Updated version of September 2024)*