



Guidebook for Research Degree Studies **2020–21**



Chow Yei Ching
School of Graduate Studies

香港城市大學
City University of Hong Kong

**Chow Yei Ching School of Graduate Studies
(Research Degree and Professional Doctorate Programmes)**

City University of Hong Kong

Tat Chee Avenue

Kowloon

Hong Kong

Enquiries

Tel: 3442-9076

Fax: 3442-0332

E-mail: sg@cityu.edu.hk

Website: www.cityu.edu.hk/sgs/

August 2020



Guidebook for Research Degree Studies 2020-21

Chow Yei Ching School of Graduate Studies



TABLE OF CONTENTS

Table of Contents.....	2
Calendar of Events 2020/21.....	5
Introduction.....	7
Chow Yei Ching School of Graduate Studies.....	8
1. Introduction.....	8
2. Mission of SGS.....	8
3. Administrative Structure of SGS.....	8
4. Governance, Leadership and Quality.....	10
Programme Aims and Structure.....	11
Guidelines and Administrative Procedures.....	14
1. Admission.....	14
2. Information for Non-local Students.....	18
3. Student Enrolment.....	20
4. Modes of Study.....	20
5. Study Period.....	21
6. Transfer from MPhil to PhD.....	22
7. Student Identity Card.....	23
8. Creation of ORCID and Update Public Profile in CityU Scholars.....	23
9. Fee Payment.....	23
10. Access to Personal Data.....	27
11. Coursework Requirements.....	27
12. Coursework plan, Course Registration, Class Attendance and Announcement of Coursework Results.....	29
13. Supervision — Qualifying Panel.....	30
14. Qualifying Examination.....	31
15. Submission of Reports.....	32
16. Ownership of Intellectual Property Rights (IPR).....	34
17. Medium of Instruction/Assessment and Thesis Presentation.....	34
18. Panel of Examiners.....	35
19. Thesis Assessment and Oral Examination.....	35
20. Merit Awards.....	39
21. Appeal.....	40
22. Congregation.....	40
23. Leave of Absence.....	41
24. Residence Requirement.....	44
25. Study outside Hong Kong in Part-time Mode.....	44
26. Withdrawal.....	44
27. Suspension of Study.....	45
28. Termination of Study.....	46
29. Reinstatement of Candidature.....	47
30. Academic Transcript/Testimonial/Certified True Copy.....	47
31. Financial Awards and Assistance.....	48
32. Academic Honesty.....	55
33. Student Complaints.....	55
34. Safety Policy.....	55
35. Communication Channels.....	56

Appendices

Appendix 1a: Regulations for the Research Degrees of Master of Philosophy and Doctor of Philosophy (for students commencing on or before 1 August 2019)	58
Appendix 1b: Regulations for the Research Degrees of Master of Philosophy and Doctor of Philosophy (for students commencing on or after 1 September 2019)	65
Appendix 2: Guidelines Governing the Admission of Research Students Using UGC-related Funds.....	72
Appendix 3: Guidelines Governing the Admission of Externally-funded and Self-financing Research Students.....	74
Appendix 4: Guidelines Governing the Admission of Visiting Research Students	75
Appendix 5: Guidelines Governing Joint PhD Programmes with Overseas Universities.....	77
Appendix 6a: Research Degree Programme Structure of the College of Business	80
Appendix 6b: Research Degree Programme Structure of the College of Business	82
Appendix 6c: Research Degree Programme Structure of the College of Business	85
Appendix 6d: Research Degree Programme Structure of the College of Business	87
Appendix 7: Guidelines Governing the Cross-Institutional Course Enrolment Scheme.....	889
Appendix 8: Guidelines for the Appointment of Supervisors and Qualifying Panels.....	91
Appendix 9: Research Degree Supervision: A Code of Practice	93
Appendix 10: Guidelines on Administration of Qualifying Examination for PhD Students (applicable to 2019/20 intake and thereafter)	96
Appendix 11: Appointment and Duties of the Panel of Examiners for Research Degree and Professional Doctorate Programmes	99
Appendix 12: Guidelines for Thesis Examination for Research Degree and Professional Doctorate Programmes.....	102
Appendix 13: Regulations Governing the Format of Theses	105
Appendix 14: Sample of the Front Cover/Spine/Title Page of a Thesis.....	108
Appendix 15: Guidelines for the Imposition of a Restriction on Access to a Thesis	112
Appendix 16: Guidelines for the Outstanding Research Thesis Awards	114
Appendix 17: Regulations Governing Outstanding Academic Performance Award for Research Degree Students	115
Appendix 18: Regulations Governing Postgraduate Studentships.....	116
Appendix 19: Regulations Governing College/School/Department Based Postgraduate Studentships..	119
Appendix 20: Regulations Governing Research Tuition Scholarships	121
Appendix 21: Guidelines for the Award of Conference Grants.....	123
Appendix 22: Guidelines for the Research Activities Fund	125
Appendix 23: Guidelines for the Conference and Research Related Travel Allowance of Hong Kong PhD Fellowship Scheme (applicable to students who are Hong Kong PhD Fellowship recipients only)	127
Appendix 24: Regulations Governing Chow Yei Ching School of Graduate Studies Scholarships.....	129
Appendix 25: Regulations Governing Chow Yei Ching School of Graduate Studies Entrance Scholarships	130
Appendix 26: Guidelines for the Chow Yei Ching School of Graduate Studies Outstanding Doctoral Research Award	131
Appendix 27: Guidelines for the Outstanding Teaching Awards for Teaching Assistants.....	133
Appendix 28: Regulations Governing Institutional Research Tuition Scholarships.....	134
Appendix 29: Guidelines for PhD programme offered by City University of Hong Kong (in collaboration with partner universities in Mainland China)	136
Appendix 30: Student Complaints Procedure	138
Appendix 31: Forms Relating to Research Degree Studies	147

The following regulations/guidelines are also related to research degree studies:

- Code of Practice for Research
- Code of Student Conduct
- Guidelines on Ethical Review of Research Involving Animal Subjects
- Guidelines on Ethical Review of Research Involving Human Participants
- Policy on Intellectual Property

CALENDAR OF EVENTS 2020/21

2020

August	31 (Mon)	○ Semester A starts
September	1 (Tue) – 30 (Wed)	○ Application period for the Conference Grant and Research Activities Fund, 3 rd Round
	1 (Tue) – 30 (Wed)	○ Application period for Conference and Research Related Travel Allowance of Hong Kong PhD Fellowship Scheme, 3 rd Round
	9 (Wed)	○ Meeting of the Committee on Research Degrees Candidature
	15 (Tue)	○ Orientation for Research Degree Students
	24 (Thu)	○ Meeting of the Board of Graduate Studies
October	5 (Mon)	○ Graduation Date
November	18 (Wed)	○ Meeting of the Committee on Research Degrees Candidature
	28 (Sat)	○ Semester A ends
December	1 (Tue) – 31 (Thu)	○ Application period for the Conference Grant and Research Activities Fund, 4 th Round
	1 (Tue) – 31 (Thu)	○ Application period for Conference and Research Related Travel Allowance of Hong Kong PhD Fellowship Scheme, 4 th Round
	1 (Tue)	○ Application deadline for Admission to research degree programmes in 2021
	3 (Thu)	○ Meeting of the Board of Graduate studies
	7 (Mon) – 19 (Sat)	○ Examination period, Semester A

2021

January	13 (Wed)	○ Meeting of the Committee on Research Degrees Candidature
	11 (Mon)	○ Semester B starts
February	4 (Thu)	○ Meeting of the Board of Graduate Studies
	16 (Tue)	○ Graduation date
	17 (Wed)	○ Meeting of the Committee on Research Degrees Candidature
March	1 (Mon) – 31 (Wed)	○ Application period for the Conference Grant and Research Activities Fund, 1 st Round
	1 (Mon) – 31 (Wed)	○ Application period for Conference and Research Related Travel Allowance of Hong Kong PhD Fellowship Scheme, 1 st Round
April	7 (Wed)	○ Meeting of the Committee on Research Degrees Candidature
	22 (Thu)	○ Meeting of the Board of Graduate Studies
	24 (Sat)	○ Semester B ends
May	3 (Mon) – 15 (Sat)	○ Examination period, Semester B
	16 (Sun) – 15 Jun (Tue)	○ Application period for the Conference Grant and Research Activities Fund, 2 nd Round
	16 (Sun) – 15 Jun (Tue)	○ Application period for Conference and Research Related Travel Allowance of Hong Kong PhD Fellowship Scheme, 2 nd Round
	To be confirmed	○ PhD Student Workshop
June	1 (Tue)	○ Last day for submission of theses for examination for students who wish to graduate and participate in the 2021 Congregation
	7 (Mon)	○ Summer Term starts
	7 (Mon) – 25 Jul (Fri)	○ Application period for the Research Tuition Scholarship and Outstanding Academic Performance Award, 2021/22
July	15 (Thu)	○ Graduation date
	24 (Sat)	○ Summer Term ends
August	2 (Mon) – 7 (Sat)	○ Examination period, Summer Term

INTRODUCTION

1. This Guidebook covers administrative and operational procedures related to research degree studies at CityU. The procedures given should be read in conjunction with the “Regulations for the Research Degrees of Master of Philosophy and Doctor of Philosophy” (Appendix 1) and the other regulations and guidelines that are appended.
2. The information contained in this Guidebook is correct at the time of printing. Please note that there may be changes to the regulations, guidelines and procedures from time to time without prior notification. If you have any queries, please contact the Chow Yei Ching School of Graduate Studies (SGS).

1. INTRODUCTION

City University of Hong Kong excels in professional education and applied research. Postgraduate education facilitates the advancement of knowledge and provides high-level academic education and professional training to cater for the society's needs. The University continuously strives to promote this important area of postgraduate education.

To provide a better focus for the further development of its postgraduate programmes, the University established the School of Graduate Studies (SGS) in 1994. SGS coordinates and offers strategic direction to the University's taught and research postgraduate provision. The School aims to provide better coordination and strategic direction to ensure the continued development of postgraduate studies at the University. The School is committed to providing an environment conducive to learning for postgraduate students. Its principal role is to facilitate the educational experience of its postgraduate students.

The School received a generous donation from Dr Chow Yei Ching, and was named the "Chow Yei Ching School of Graduate Studies" in 2006.

2. MISSION OF SGS

The mission of the Chow Yei Ching School of Graduate Studies is to promote excellence in postgraduate education and ensure consistency and high standards across the University. Sharing responsibility for postgraduate studies with departments, colleges and schools, and operating through a system of collegial governance, consultation and leadership. The School defines and administers university-wide regulations for postgraduate education.

The School also organizes services and financial assistance to postgraduate students; encourages a close relationship between research and graduate training; and represents the foundation of postgraduate education at CityU in the wider academic and general community.

3. ADMINISTRATIVE STRUCTURE OF SGS

The Dean and Associate Dean of Graduate Studies oversee the School and the coordination and management of postgraduate education within the University. They provide academic guidance for programme development, planning and decision making in the School. As Chair of the Board of Graduate Studies, the Dean of Graduate Studies plays a role in managing the quality of postgraduate programmes. He is supported by the Associate Dean in overseeing quality matters related to postgraduate programmes through the Committee on Taught Postgraduate Programmes and the Committee on Research Degrees Candidature.

The Director (Graduate Studies Administration) and a team of administrative staff provides overall administrative support for postgraduate studies, including student admissions and records, financial support; study and research progress, examinations and graduation; student forums and workshops; research conferences and seminars; student statistics as well as publications relating to postgraduate studies.

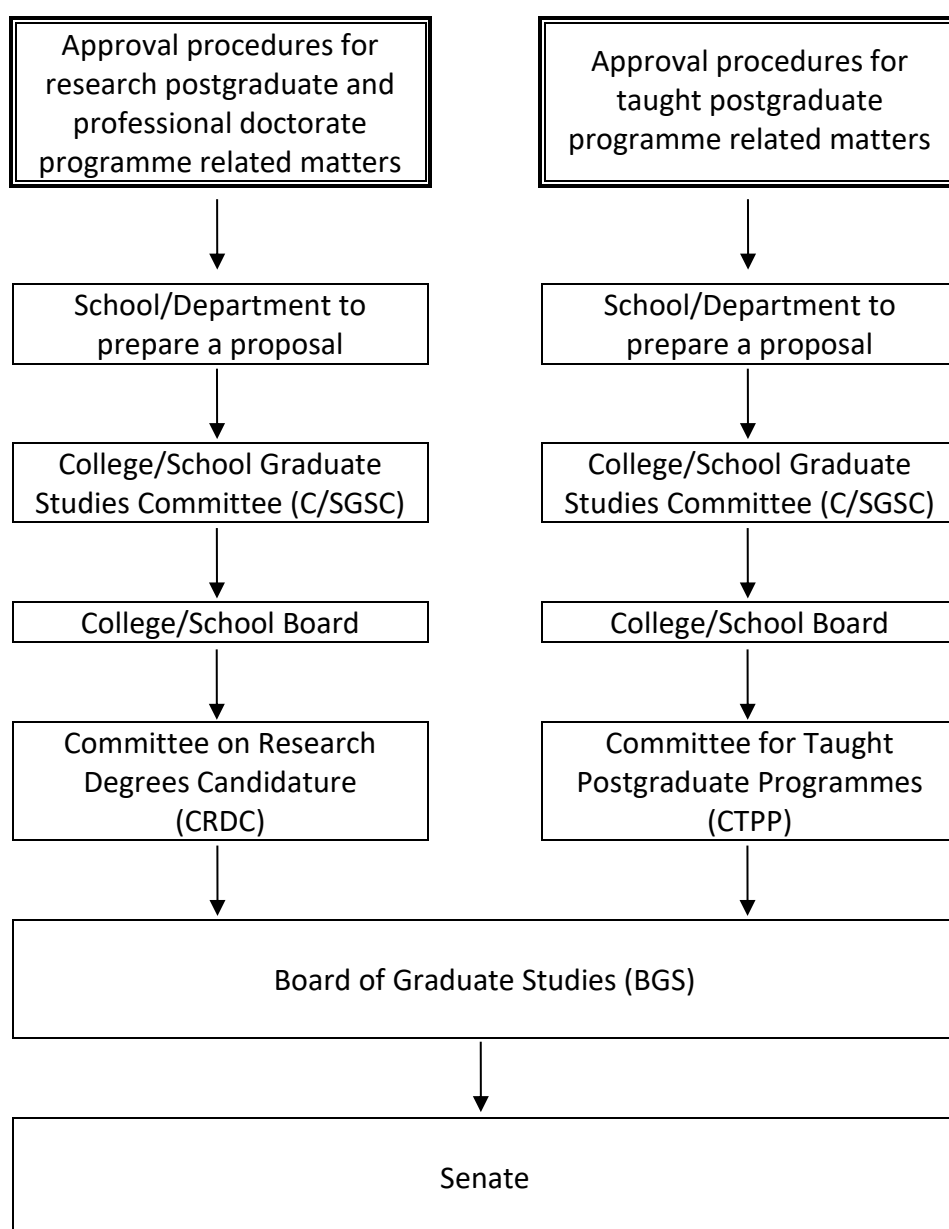
Useful Contacts

Title		Name	Tel. No.	E-mail
Vice President (Research & Technology) / Dean of Graduate Studies		Prof Jian Lu	3442-6847	sgsdean@cityu.edu.hk
Associate Dean		Prof Robert Li	3442-8031	sgad@cityu.edu.hk
Assistant Dean		Dr Lin Fen	3442-8031	sgsasd@cityu.edu.hk
Director		Miss Joanne Yam	3442-9064	Joanne.Yam@cityu.edu.hk
Research Postgraduate Team				
Title	College/School/ Department	Name	Tel. No.	E-mail
AM	MNE	Ms Sherry Cho	3442-9075	skscho@cityu.edu.hk
AM	MSE	Ms Helen Li	3442-5250	asyyhl@cityu.edu.hk
AO	JCC	Miss Ronnie Lee	3442-2893	ronnilee@cityu.edu.hk
AO	CLASS, SLW	Ms Sandra Ng	3442-9103	sandrang@cityu.edu.hk
AO	CB	Miss Catherine Shang	3442-9041	wwshang5@cityu.edu.hk
AO	BME, SEEM, SDSC	Miss Ellen Siu	3442-4732	manysiu@cityu.edu.hk
AO	CS	Miss Mandy Tang	3442-9073	mandtang@cityu.edu.hk
AO	CSCI	Mr Tomas Tse	3442-9431	polamtse@cityu.edu.hk
AO	ACE, SEE	Miss Michelle Ye	3442-9211	micheye@cityu.edu.hk
AO	EE, SCM	TBC	3442-9212	TBC
AA	CHEM, PHY, MS	Ms Yiar Chan	3442-2208	yhchan@cityu.edu.hk
AA	ACE, EN, CAH, POL	Ms Irene Cheng	3442-4519	yuecheng@cityu.edu.hk
AA	BMS, COM, NS, PH	Miss Marble Chiu	3442-7368	wychui@cityu.edu.hk
AA	AIS, CS, JCC	Miss Ruby Ho	3442-2879	wyho225@cityu.edu.hk
AA	SLW, LT, MNE, SS	Miss Ivy Lam	3442-2831	yeeclam@cityu.edu.hk
AA	BME, MSE	Ms Vicky Lau	3442-2232	wylau92@cityu.edu.hk
AA	EE, SCM	Miss Mimi Lee	3442-8203	sgmimi@cityu.edu.hk
AA	AC, EF, MGT, MKT, IS	Miss Kathleen Ng	3442-2890	pikyueng2@cityu.edu.hk
AA	SDSC, SEEM, SEE, MA	Miss Kitman Wong	3442-4787	kitmwong6@cityu.edu.hk

4. GOVERNANCE, LEADERSHIP AND QUALITY

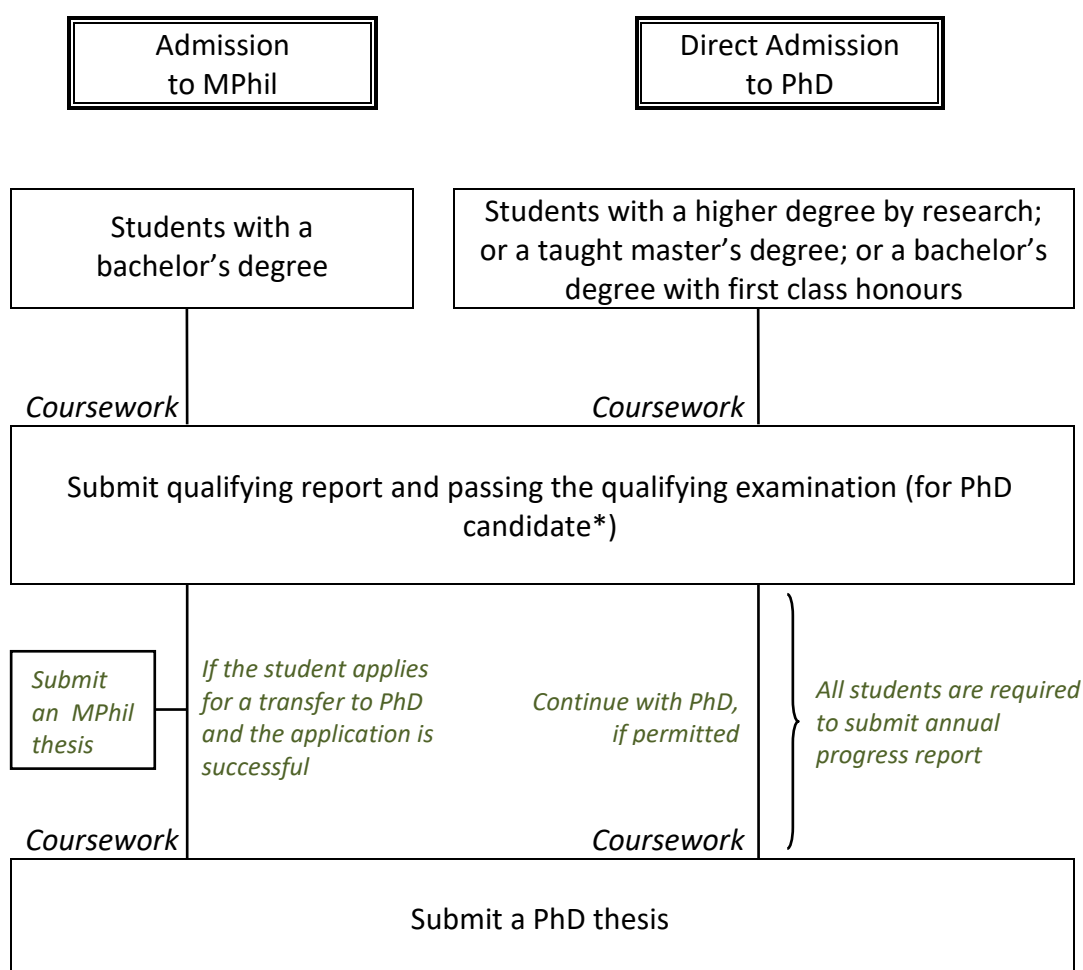
A Board of Graduate Studies was established to review and make recommendations on the Academic Regulations, rules and procedures governing all postgraduate programmes and studies. It has a role to develop, implement, monitor and review policy pertaining to postgraduate work. The Board of Graduate Studies reports to Senate on matters relating to postgraduate teaching and learning.

There are two sub-committees under the Board of Graduate Studies, namely the Committee on Taught Postgraduate Programmes (CTPP) and the Committee on Research Degrees Candidature (CRDC). The CTPP oversees matters related to taught postgraduate programmes as assigned by the Board of Graduate Studies, while the CRDC oversees the admission, supervision, progress and examination of candidates for the MPhil, PhD and professional doctorates.



PROGRAMME AIMS AND STRUCTURE

- Research degree programmes aim to provide advanced education to nurture people who can
 - contribute to the advancement of knowledge through independent and original research;
 - demonstrate specialist subject knowledge and a high level of transferable skills, including analytical, communication and leadership skills; and
 - enhance economic, social and cultural development.
- The University offers two types of research degree programmes, namely, Master of Philosophy (MPhil) and Doctor of Philosophy (PhD), which consist of both coursework and independent research studies culminating in the submission of a thesis.
- The structure of MPhil/PhD programmes is as follows:



* applicable to 2019/20 intake cohort and thereafter

4. Learning Outcomes and Assessment Indicators of Research Degree Programmes

To assess the quality outcome of Research Degree programmes effectively, the Board of Graduate Studies has approved the establishment of six performance indicators in evaluating achievement of learning outcomes by research degree students. The Six performance indicators are:

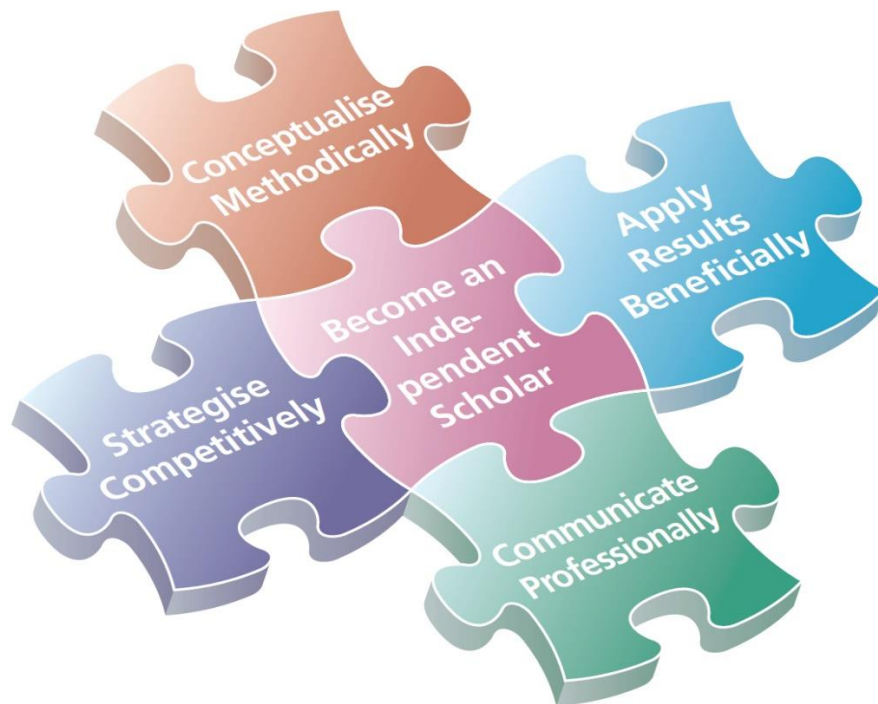
- i. Good quality research output - the type of research output can be discipline-specific, including journal article, book chapter, conference paper and/or artwork exhibition;
- ii. Attendance in key academic conference(s) - the conference can be held either locally or overseas, in which students must have paper presentation;
- iii. Coursework performance in terms of GPA obtained;
- iv. Training in teaching by completing SG8001 course;
- v. Ability to receive prizes, and/or awards; and
- vi. Ability to receive scholarships.

A Performance Matrix (as shown below) is formed to map these assessment indicators against the learning outcomes of Research Degree Programmes.

Individual Colleges/Schools may add additional performance indicator(s) which is/are specific to their disciplines. Except coursework requirements, these performance indicators do not possess threshold requirements, nor do they form part of the graduation requirements.

Graduate Outcomes (an example to demonstrate achievement of outcome(s) is given in the bracket)	Assessment Indicators					
	Publication of quality research output (e.g. journal article, book chapter, conference paper publication, artwork exhibition)	Attendance in Key Academic Conference (either local or overseas) with oral presentation(s) {poster presentation is not counted}	Good coursework performance (GPA)	Participation in teaching and training activities (e.g. obtained a Pass in SG8001 course)	Received prizes and/or awards (e.g. received "best paper award", "patents")	Received scholarship awards (e.g. CYC SGS scholarship, scholarship by external parties)
LO1 Apply a thorough understanding of the fundamental concepts of their research areas	✓	✓	✓	✓		
LO2 Adopt excellent methodological, and relevant ethical principles in the generation of independent and innovative research	✓				✓	✓
LO3 Apply effective communication skills in relation to research		✓		✓		
LO4 Generate strategies to develop internationally competitive research in their fields of expertise	✓	✓			✓	✓

5. On graduation, City University research degree graduates will be able to:



Research Degree Students

GUIDELINES AND ADMINISTRATIVE PROCEDURES

1. ADMISSION

1.1. Minimum Entrance Requirements

- (a) Applicants seeking admission to a research degree programme should satisfy the following minimum entrance requirements:

Master of Philosophy (MPhil)

- hold a relevant bachelor's degree with first or second class honours (or equivalent qualification) from a recognised university.

Doctor of Philosophy (PhD)

- be a current MPhil student in the University who seeks transfer to PhD candidature; or
- hold a higher degree by research (or equivalent qualification) from a recognised university; or
- hold a Master's degree (or equivalent qualification) from a recognised university; or
- hold a Bachelor's degree with first class honours (or equivalent qualification) from a recognised university.

- (b) Equivalent qualifications mentioned above include relevant professional qualifications or other scholarly achievements recognised by the University.

- (c) In addition to the above, individual Departments and Schools may prescribe further entrance requirements.

1.2. English Proficiency Requirement

- (a) Applicants from an institution where the language of teaching is not English should satisfy the minimum English proficiency requirements specified by both the University and individual Colleges and Schools. The University's minimum English proficiency requirement for research degree programmes is 550 (paper-based test) or 79 (internet-based test)* or 59 (revised paper-delivered test; sum of Reading, Listening and Writing section scores) in the Test of English as a Foreign Language (TOEFL)^ OR an overall band score of 6.5 in the International English Language Testing System (IELTS)^. Equivalent qualifications are also acceptable.

**Only accepts internet-based test scores from a single test date.*

^TOEFL and IELTS scores are considered valid for two years from the test date and must be valid at the time of submission of application.

- (b) In addition to the University's requirement as given above, individual Colleges and Schools have set a higher standard, or equivalent acceptable qualifications, suitable for their disciplines as follows:

College of Business

- a minimum TOEFL score of 563 (paper-based) or 85 (internet-based) or 62 (revised paper-delivered test; sum of Reading, Listening and Writing section scores) in TOEFL; or
- a minimum IELTS score of 6.5; or
- other test scores that may be regarded as equivalent to TOEFL 563 (paper-based) or 85 (internet-based) or 62 (revised paper-delivered test).
(A high score in GRE or GMAT with supporting proof will be an added advantage though this is not a mandatory requirement. Please note that individual Departments in the College may adopt higher standards.)

College of Engineering

- a minimum total score of 550 (paper-based) or 79 (internet-based) or 59 (revised paper-delivered test; sum of Reading, Listening and Writing section scores) in TOEFL; or
- a minimum IELTS score of 6.5 in; or
- other test scores that may be regarded as equivalent to TOEFL 550 (paper-based) or 79 (internet-based) or 59 (revised paper-delivered test); or
- a minimum score of 490 in the Chinese mainland's College English Test Band 6 may be accepted.

(Please note that individual Departments in the College may adopt a higher standard.)

College of Liberal Arts and Social Sciences

- a minimum TOEFL score of 79 (internet-based), with a minimum of 15 for Reading, 15 for Listening, 17 for Writing, and 18 for Speaking; or
- a minimum IELTS overall band score of 6.5, with a minimum of 6 for each of the sub-categories including Listening, Reading, Writing and Speaking.

* TOEFL Paper-based test (before October 2017) and Paper-delivered test (after October 2017) will not be accepted as there is no Speaking component.

(Please note that Individual Departments in the College may adopt a higher standard.)

College of Science

- a minimum total score of 550 (paper-based) or 79 (internet-based) or 59 (revised paper-delivered test; sum of Reading, Listening and Writing section scores) in TOEFL; or
- a minimum IELTS score of 6.5 ; or
- other test scores that may be regarded as equivalent to TOEFL 550 (paper-based) or 79 (internet-based) or 59 (revised paper-delivered test); or
- a minimum score of 490 in the Chinese mainland's College English Test Band 6 may be accepted.

(Please note that individual Departments in the College may adopt a higher standard.)

Jockey Club College of Veterinary Medicine and Life Sciences

- a minimum total score of 550 (paper-based) or 79 (internet-based) or 59 (revised paper-delivered test; sum of Reading, Listening and Writing section scores) in TOEFL; or
- a minimum overall band score of 6.5 in IELTS; or
- other test scores that may be regarded as equivalent to TOEFL 550 (paper-based) or 79 (internet-based) or 59 (revised paper-delivered test); or

- a minimum score of 490 in the Chinese mainland's College English Test Band 6 may be accepted.

(Please note that individual Departments in the College may adopt a higher standard.)

School of Creative Media

- a minimum total score of 550 (paper-based) or 79 (internet-based) or 59 (revised paper-delivered test; sum of Reading, Listening and Writing section scores) in TOEFL; or
- a minimum IELTS score of 6.5; or
- other test scores that may be regarded as equivalent to TOEFL 550 (paper-based) or 79 (internet-based) or 59 (revised paper-delivered test).

School of Data Science

- a minimum total score of 550 (paper-based) or 79 (internet-based) or 59 (revised paper-delivered test; sum of Reading, Listening and Writing section scores) in TOEFL; or
- a minimum IELTS score of 6.5 in; or
- other test scores that may be regarded as equivalent to TOEFL 550 (paper-based) or 79 (internet-based) or 59 (revised paper-delivered test); or
- a minimum score of 490 in the Chinese mainland's College English Test Band 6 may be accepted.

School of Energy and Environment

- a minimum total score of 550 (paper-based) or 79 (internet-based) or 59 (revised paper-delivered test; sum of Reading, Listening and Writing section scores) in TOEFL; or
- a minimum IELTS score of 6.5; or
- other test scores that may be regarded as equivalent to TOEFL 550 (paper-based) or 79 (internet-based) or 59 (revised paper-delivered test).

School of Law

- a minimum total score of 580 (paper-based) or 92 (internet-based) or 66 (revised paper-delivered test; sum of Reading, Listening and Writing section scores) in TOEFL; or
- a minimum overall band score of 7 in IELTS; or
- a score of 520 in the Chinese mainland's College English Test Band 6.

1.3. Application Procedures

- (a) Applications for admission to a research degree programme are accepted throughout the year and will be considered mainly in one admission round.
- (b) To apply for admission to a research degree programme, applicants are required to perform the following:
 - complete the online application form;
 - pay the application fee online;
 - upload the relevant supporting documents [including a research proposal, if necessary, official certificates and transcripts of academic qualifications, certificates of professional qualifications, publication records, international English language test results (please refer to "English Proficiency Requirement" for details)].

- (c) Applicants are required to nominate two academic referees who can comment on their academic performances (proposed supervisor and persons from non-academic circles are normally not acceptable as academic referees).
- (d) Applicants are strongly advised to discuss their proposed research area with the relevant research degree co-ordinator before submitting an application.
- (e) For CityU staff seeking admission to a research degree programme, normal admission procedures will apply.
- (f) Full-time academic staff, Teaching Fellows and Instructors of the University are not allowed to pursue a research degree in their own School/Department under the supervision of colleagues from the same School/Department.
- (g) There are two admission routes for processing applications as follows:
 - Normal admission route [i.e. Department → College/School Graduate Studies Committee (C/SGSC) → Committee on Research Degrees Candidature (CRDC)] for admitting mainly UGC-allocated research students in accordance with the normal admission round.
 - Fast-track admission route (i.e. Department Head/SGSC Chair → CGSC Chair/School Dean → CRDC Chair) for admitting outstanding research students, self-financing students and those financed by UGC-related funds outside the normal admission round.
(Despite this fast-track admission route, individual Colleges and Schools have the discretion to arrange for a full committee of C/SGSC to consider the applications, if deemed necessary, instead of taking the C/SGSC Chair's action in endorsing the applications).
- (h) All applicants should follow the same application procedures, irrespective of their source of funding and admission route. For details, please refer to the Admissions Handbook, obtainable from SGS website: <http://www.cityu.edu.hk/sgs/rpg/admission>.
- (i) Staff members who wish to admit students through their UGC-related funds (e.g. UGC/RGC grants) should submit a completed Form SGS31 to SGS for processing together with the research degree application.

1.4. Sources of Funding for Research Students

(Please refer to Appendices 2 and 3 for "Guidelines Governing the Admission of Research Students Using UGC-related Funds" and "Guidelines Governing the Admission of Externally-funded and Self-financing Research Students".)

- (a) Research students can be categorised into the following three types according to their source of funding:
 - UGC-funded students (e.g. government-funded, UGC/RGC grants); or
 - Non-UGC funded (e.g. Institutional-funded/externally-funded); or
 - Self-financed students.
- (b) Tuition fee levels and entitlement to financial awards and services are different for UGC-funded and other types of students, reflecting the different sources of funding. UGC/government-funded students are required to pay tuition fees at a rate set by the

government. Quotas for UGC/government-funded places for each university in Hong Kong are also set by the government. As Non-UGC funded/self-financing places are not subsidised, these students are required to pay a higher level of tuition fees. In addition, self-financed students are not eligible to apply for financial awards (e.g. postgraduate studentships, research tuition scholarships, conference grants, etc.)

1.5. Visiting Research Students

(Please refer to Appendix 4 for “Guidelines Governing the Admission of Visiting Research Students”.)

- (a) Students enrolling in a postgraduate programme in a recognised university may apply for admission as visiting research students to pursue their research studies at the University.
- (b) Applicants shall submit an application to the Chow Yei Ching School of Graduate Studies (SGS), together with a recommendation letter from their present university. These applications will be forwarded to the relevant Schools/Departments for approval.
- (c) Successful applicants shall pay a Research Component Fee and complete the registration procedures in person at SGS within the specified registration period. Those taking taught courses will need to pay additional fees calculated on a credit unit basis.

1.6. Joint PhD Programmes

(Please refer to Appendix 5 for “Guidelines Governing Joint PhD Programmes with Overseas Universities”.)

- (a) The “joint PhD programme” refers to the joint offer of a full-time PhD programme between CityU and another institution. On satisfactory completion of study, the student admitted to the joint programme will receive two PhD degree certificates issued by CityU and the partner institution.
- (b) The purposes of introducing the joint PhD programme include, among other things, strengthening our links with the partner institution, capitalising on both institutions’ research facilities and resources, and facilitating research collaboration. It can also help enrich the student’s international study experiences.

2. INFORMATION FOR NON-LOCAL STUDENTS

2.1. Students holding a valid visa/entry permit under the following categories for the purpose of study in Hong Kong are defined as “non-local student”:

- (a) student visa/entry permit;
- (b) visa/entry permit under the Immigration Arrangements for Non-local Graduates (IANG);
or
- (c) dependant visa/entry permit for students who were 18 years old or above when they were issued with such visa/entry permit by the Director of Immigration.

2.2. Visa Requirements

- (a) Full-time students from outside Hong Kong must obtain a student visa or an entry permit to study in Hong Kong.
- (b) Students admitted from overseas countries should direct their applications for a visa to the Chinese Embassy or Consulate General in their place of residence or to the Immigration Department in Hong Kong. As part of the application for a visa, applicants are required to nominate a Hong Kong resident aged 18 or above to act as a sponsor. Those who have difficulty in nominating a sponsor may write to the Global Engagement Office (GEO) of the University to act in this capacity.
- (c) Under the regulations of the Hong Kong Immigration Department, the University will act as a sponsor for students admitted from the Chinese mainland and assist them in applying for an entry permit to Hong Kong.
- (d) Current students should apply for an extension of stay at least one month before the expiry of their current visa or permit at the Immigration Department in Hong Kong and other authorities, if applicable.
- (e) Full-time students from the Chinese mainland undertaking a long period of study interruption will have to apply via GEO for a new entry permit before they can resume their studies in Hong Kong.
- (f) In accordance with the regulations of the Immigration Department in Hong Kong, students holding a student visa/an entry permit for studying in Hong Kong and the necessary “No Objection Letter” (NOL) issued by the Immigration Department at the time of visa approval are allowed to undertake part-time employment during their stay in Hong Kong under the stipulated conditions.

2.3. Personal Accident and Medical Insurance / Travel Insurance

- (a) As required by the Management Board of the University, it is **compulsory** for non-local students to take out a personal accident and medical insurance/travel insurance policy covering hospitalization and medical expenses during their period of study at the University.
- (b) Students who will study at the University for over 180 days are required to purchase a personal accident and medical insurance policy. Such an insurance policy shall be arranged by the University on behalf of the student upon registration. Students shall pay the insurance premium at the time when they register with the University.
- (c) Students who will study at the University for less than 180 days, e.g. visiting research students enrolling in the University for one semester, are required to purchase a travel insurance policy before they leave their home country/town.

2.4. Hong Kong Identity Card

Upon arrival in Hong Kong, non-local students should apply in person to the Immigration Department for a Hong Kong Identity Card, which they must carry at all times. Non-local

students who obtained the Hong Kong Identity Card should present the card to SGS for updating in the University's records.

3. STUDENT ENROLMENT

- 3.1. Successful applicants should pay the required fees and register in person with SGS within the period/by the date specified in the letter of admission. Those who fail to do so will be considered to have declined the offer.
- 3.2. A student identity card, valid for the full study period, will be issued on completion of the registration procedures. (Please refer to "Student Identity Card" for details.)
- 3.3. Students should register using the names that appear on their Hong Kong Identity Card or passport.
- 3.4. The start date of study is normally the first day of September to fit with the beginning of an academic year. SGS may approve other starting dates, which will be the beginning of Semester B or the first day of a month, if so recommended by the supervisor.
- 3.5. Non-local students should register with the University within six months from the offer of admission. They should seek the advice of their supervisors regarding the start date of studies immediately after the approval of their student visa or entry permit application, and inform SGS of the recommended start date as soon as possible.
- 3.6. The official start date of a student's study period will have a significant bearing on the calculation of the student's tuition/continuation fees, study period, and his or her entitlement to various financial awards and assistance.
- 3.7. Students are not allowed to register simultaneously in another programme of study in the University or in any other institution without the prior permission of SGS. This also applies to students who are interrupting their studies or on study leave.
- 3.8. Full-time students are not allowed to undertake full-time jobs without the prior approval of SGS.
- 3.9. Studentship recipients shall not engage in any paid employment without the prior endorsement of their supervisor and Department and approval of the C/SGSC Chairs.
- 3.10. Students holding a student visa/an entry permit for studying in Hong Kong and the necessary "No Objection Letter" (NOL) issued by the Immigration Department at the time of visa approval are allowed to undertake part-time employment during their stay in Hong Kong under the stipulated conditions.

4. MODES OF STUDY

4.1. Full-time and Part-time Modes

- (a) Students who wish to change their mode of study should submit an application (using Form SGS02) to SGS at least two months before the intended date of change. The effective date for the change is normally the first day of the month following its approval.

Requests for backdating the effective date will not be considered except under special circumstances. There will be no refund of tuition or continuation fees paid.

- (b) Applications for change of study mode require the approval of the Qualifying Panel, the School/Department, and the College/School Graduate Studies Committee. Those who apply for a change from full-time to part-time study mode would only be considered if the students have made good progress in their studies and can produce a feasible study plan. For applications for change from part-time to full-time, approval is also subject to the availability of places within the student quota.
- (c) Students, who change their study mode from full-time to part-time within the University's normal study period, will be switched to self-financing mode of study. They are required to pay self-financing tuition fee and are not eligible to apply for financial assistance supported by government or institutional funds.
- (d) If a request for change of study mode is approved, the student's study period will be recalculated on a pro rata basis. Adjustments to the tuition or continuation fees payable will also be made.

4.2. Part-full Mode

Students taking part-time study with financial support from external funds (e.g. employed as full-time research assistants on a non-UGC/RGC research project related to their study) may be admitted on a "part-full" mode of study. Although classified as part-time, such students may complete their study within the same period of candidature as full-time students.

5. STUDY PERIOD

5.1. The normative study duration of research degree programmes are as follows:

- (a) For students admitted before 1 September 2018:

Programme of Study	Full-time	Part-time
MPhil	2 years	4 years
PhD (students with a research master's degree or a master's degree with a thesis/project/dissertation before admission)	3 years	6 years
PhD (students without a research master's degree nor a master's degree with a thesis/project/dissertation before admission)	4 years	8 years

- (b) For students admitted in 2018/19:

Programme of Study	Full-time	Part-time
MPhil	2 years	4 years
PhD (students with a master's degree)	3/4 years	6/8 years
PhD (students with a bachelor's degree)	4 years	8 years

Remarks:

For candidates who possess a master's degree, the programme duration shall be determined by Colleges/Schools/Departments. Colleges/Schools may devise their own policy for recommending 3 years or 4 years PhD study.

For candidates who possess only a bachelor's degree, they will only be considered for admission to 4-year full-time PhD programme.

(c) For students admitted on or after 1 September 2019

Programme of Study	Full-time	Part-time
MPhil	2 years	4 years
PhD	4 years	8 years

(d) Students are required to complete their studies, including the submission of their theses that are acceptable by the Supervisor and the Department Head/School Dean for an oral examination, within the stipulated study periods. Those who have special grounds for being unable to comply with the above may submit an application for an extension of their study period, together with a proposed study plan, before their original study period expires. Such cases, to be approved by the College/School upon the recommendation of the Department, will only be approved in exceptional circumstances. With effect from 2018/19, a maximum of two extensions can be granted, with each period not exceeding 12 months, irrespective of the student's mode of study. Under extenuating circumstances, a third extension up to 6 months may be granted to students with strong justification provided by School/Department. Failure to complete the study by the end of the second extension (or third extension if applicable) will lead to termination of study. Such cases should be approved by CRDC.

- 5.2. Students are advised to carefully plan their studies and work out a study plan with their supervisors. If there are any difficulties in the research work, students should talk to their supervisors as early as possible so that it will not hamper the completion of their studies by the stipulated period.
- 5.3. Should there be divergent views between the department concerned and the C/SGSC about the student's application for extension of study, the Committee on Research Degrees Candidature should make a final decision.
- 5.4. In the event that re-submission of thesis for assessment before or after oral examination is needed as required by the Panel of Examiners, and a student needs to apply for extension of study period to complete the revisions, consideration of extension of study period shall be determined by the extent of and time required for the revisions, as recommended by the Panel of Examiners.

6. TRANSFER FROM MPhil TO PHD

- 6.1. Recommendations for transfer from MPhil to PhD studies are normally made by the Qualifying Panel during its assessment of the student's qualifying report. MPhil students who seek transfer to PhD candidature after the qualifying period should submit an application using Form SGS04.

- 6.2. For students who have been approved for transfer to a PhD programme, their MPhil study period will be counted towards the PhD candidature. The effective date for the transfer is normally the first day of the month following its approval. Transferred students should complete at least nine months of study before submitting a thesis for PhD examination.
- 6.3. Transferred students should follow the PhD study period mentioned in paragraph 5.1 upon transfer to PhD studies.

7. STUDENT IDENTITIY CARD

- 7.1. On enrolment, new students will be issued a student identity card. The card is a student's personal identification document at the University and should be carried for access to the University premises and its various facilities.
- 7.2. The student identity card should not be used by anybody else. Misuse or falsification of the card constitutes a major offence, and any student who commits this offence will be subject to disciplinary action, which may include temporary deprivation of rights as a student, temporary suspension from classes, or even expulsion from the University.
- 7.3. Students who lose their card should contact SGS immediately. A fee will be charged for the replacement card. If the student subsequently recovers the lost card, he or she should inform SGS immediately and hand in the original card, as a student is not permitted to hold two student identity cards.

8. CREATION OF ORCID AND UPDATE PUBLIC PROFILE IN CITYU SCHOLARS

- 8.1. Research output is one of researchers' achievements. To enable students and the University to harvest and keep track of their publications accurately, it is mandatory for all research students to create and report their ORCID ID (which is a unique identifier when submitting publications) through CityU Scholars. Students are required to create ORCID ID soon after their commencement of study at CityU. Students may follow the instructions available in the http://lbms03.cityu.edu.hk/orcid/guides/orcid_p1create_students.pdf, or contact Library for technical support.
- 8.2. A public researcher profile has been created for each individual research student in CityU Scholars. Students are advised to update and enhance their personal profile on a regular basis.

9. FEE PAYMENT

- 9.1. At different stages of study, students are required to settle different kinds of fees:

Stage	Fee
Within the stipulated study period	Tuition fee
Within study extension period(s) until submission of a thesis for oral examination	Continuation fee
Thesis assessment and oral examination	Examination fee

9.2. Fees for 2020/21

(Fees are subject to revision from time to time without prior notification. Tuition fees will normally be adjusted in September of every year.)

Acceptance Fee (for candidates with offer of admission)

Type of Fee (in HK\$)	Mode of Study		Remarks
	Full-time	Part-time	
Acceptance Fee	7,016		Non-refundable; payable upon acceptance of admission offer The acceptance fee will be credited towards the tuition fee upon student's successful enrolment in the University

Tuition/Continuation Fees

Type of Fee (in HK\$)	Mode of Study		Remarks
	Full-time	Part-time	
UGC-allocated Students and UGC-related Students			
Tuition fee	3,508 per month	1,754 per month	Non-refundable
Continuation fee	877 per month	439 per month	Non-refundable
Externally-funded/Self-financed/Self-financed (Institutional-funded) Students			
Tuition fee	7,016 per month	3,508 per month	Non-refundable
Continuation fee	1,754 per month	877 per month	Non-refundable

Other Fees for All Students

Type of Fee (in HK\$)	Mode of Study		Remarks
	Full-time	Part-time	
Late charge	200 per billing		Applies to students who fail to settle fees by the specified deadline
Examination fee	1,000 (MPhil) 1,500 (PhD)		Non-refundable
Re-examination fee	1,000 (MPhil) 1,500 (PhD)		Applies to students who are required to undertake a second oral examination; non-refundable
Graduation fee	400		Charged upon registration; refundable upon study withdrawal or termination
Reinstatement fee	400		Non-refundable
Academic transcript/ Testimonial/ Certified true copy	30 per copy (online application) 50 per copy (paper application)		Non-refundable
Replacement of student identity card	100		Non-refundable

Type of Fee (in HK\$)	Mode of Study		Remarks
	Full-time	Part-time	
Charges for academic dress hiring and late return of academic dress	Refer to the terms and conditions specified by the service provider		
Membership fee for CityU Postgraduate Association	300	150	One-off payment covering a student's entire study period, charge will be arranged by CUPA and Finance Office.
Replacement of award certificate	400		Non-refundable

Fees for Visiting Research Students

Type of Fee (in HK\$)	Mode of Study	Remarks
Research component fee	1,170 per calendar month	Non-refundable; payable upon student registration
Fee for taking taught courses	Per credit unit tuition fee at the fee level for the relevant programme	Non-refundable

- 9.3. Students are required to pay tuition/continuation fees at all times on a full-month basis until they submit an unbound thesis that is acceptable by the Supervisor and the Department Head/School Dean for an oral examination. Full tuition/continuation fees will be charged for the month in which the thesis is submitted, regardless of the date of the submission in the relevant month. If revision to the thesis before an oral examination is required and the revision period exceeds one month (as stipulated by the Panel of Examiners), fees will be charged on a monthly basis from the month following the decision on revising the thesis for further assessment until a revised thesis has been received and recommended for an oral examination by the Panel of Examiners. If students interrupt or withdraw from their studies or have their studies terminated, they will need to pay full tuition/continuation fees for the relevant month unless the action takes effect on the first day of that month (irrespective of whether the first day of the month is a public holiday).
- 9.4. Notwithstanding 9.3 above, studentship recipients are required to pay the tuition fee after their submission of unbound thesis for examination during the award period.
- 9.5. Fees, once paid, are non-refundable, except under the following circumstances:
- (a) Students interrupting their studies for a full calendar month will not be required to pay fees for the month in question.
 - (b) If more than one month's fees have been paid in advance, a refund of fees can be arranged for study interruption/termination/withdrawal cases on a full-calendar-month basis, if applicable.

- 9.6. After an oral examination, if revision to the thesis is required and the revision period exceeds two months (as stipulated by the Panel of Examiners), fees will be charged on a monthly basis from the month following the oral examination until submission of a revised thesis that has been accepted by the Supervisor for further assessment.
- 9.7. Students must settle the fees by the specified deadline. Failure to do so will lead to immediate suspension of financial awards, such as studentship, if applicable. They will be required to pay a late charge of HK\$200 per billing, in addition to the prescribed fees. Students failing to comply with the above will have their study suspended. Prolonged delay in settling the fees will result in the termination of study and the forfeiture of the caution money/graduation fee (if applicable). Also, the student concerned will be disqualified from any future study at the University unless all the outstanding fees and charges are fully settled.
- 9.8. Payment of the tuition or continuation fee should be made through autopay on a monthly basis. SGS normally arranges to debit the appropriate amount of money from the students' designated bank accounts on the 10th day (or the following working day if the 10th day is a public holiday) of every month. As no payment receipts will be issued, students are advised to keep their own autopay records.
- 9.9. Students are reminded to keep sufficient funds in their bank accounts to settle the fees. If students wish to change their bank accounts, they should inform SGS at least three months in advance to allow sufficient time to reset the autopay arrangement. Those who fail to observe the above, with the result being late settlement of fees, will be required to pay a late charge. Additional charges will also be levied by the bank.
- 9.10. As autopay arrangements normally take three months to implement, students should settle the first three months' tuition fee in one payment on registration.
- 9.11. Deferral of fee payment is normally not allowed.
- 9.12. Students are required to pay upon enrolment a "graduation fee". This fee is refundable upon study withdrawal or termination if there is no outstanding debt to the University.
- 9.13. The CityU Postgraduate Association (CUPA) is an official postgraduate student body at the University, with its members covering taught postgraduate, professional doctorate and research degree students. The charge and payment of membership fee will be arranged by CUPA and the Finance Office.
- 9.14. Students can check their fee payment account balance through the Web by following the procedures given below:
- Select "Quick Links to Portal" from the CityU homepage
 - Select "Login" and enter your electronic ID and password
 - Select "AIMS"
 - Click on "Student Record" → "My Finance" → "My Account Summary".

10.ACCESS TO PERSONAL DATA

In accordance with the Personal Data (Privacy) Ordinance, students have the right to request access to and correction of their own personal data held by the University. Students should make their requests to the University's Data Protection Officer. The following fees will be charged for each request:

- Initial Search Fee (non-refundable): HK\$150
- Photocopying Fee (per page): HK\$5

11.COURSEWORK REQUIREMENTS

11.1. Students are required to fulfil the following minimum coursework requirements (at postgraduate level) within their study period in accordance with the date of commencement of studies:

(a) For students admitted in or before 2018/19:

- MPhil students: 7 credit units (including core course(s) of at least 2 credit units which shall be research methodology or foundation course(s) at postgraduate level);
- PhD students: 14 credit units (including core course(s) of at least 4 credit units which shall include at least 2 credit units of research methodology or foundation course(s) at postgraduate level.)

and

- a compulsory 1 credit unit course on teaching and learning (SG8001)

(b) For students admitted in or after 2019/20:

- MPhil students: 7 credit units (including at least 2 credit units of research methodology and ethics course at postgraduate level);
- PhD students: 14 credit units (including at least 9 credit units of core courses and at least 2 credit units of research methodology and ethics course at postgraduate level.)

and

- a compulsory 1 credit unit course on teaching and learning (SG8001)

Individual students with insufficient English proficiency may be required to take a 1 credit unit course *English as Medium for Instruction (SG8002)* before they are allowed to enrol into SG8001.

The credit unit earned for SG8001 and SG8002 will not be counted towards the minimum coursework requirements.

11.2. For students who admitted in 2018/19 and thereafter, they are required to take a compulsory online training course on research integrity, namely Collaborative Institutional Training Initiative (CITI) programme subscribed by the University. Students are required to complete the online training course in their first year of study and to submit the results of CITI programme when submitting their Qualifying Report (QR). An institutional minimum passing score of 80% be set for each module. For students who failed to complete the compulsory modules or failed to obtain a passing score by the Qualifying period, these students would be given a chance to re-submit the results of the

CITI programme within 6 months after the first assessment of QR. If they still failed to obtain a passing score after the second attempt, they are deemed as fail in the qualifying assessment and their studentship, if applicable, could be discontinued.

- 11.3. Individual Departments and Schools may stipulate a higher credit unit requirement. (Research students in the College of Business are required to take a specified set of courses. *Please refer to Appendix 6 for “Research Degree Programme Structure of the College of Business” for details.*)
- 11.4. To fulfil the coursework requirements stipulated in 11.1,
- (a) MPhil students should not take more than one independent study or reading course and PhD students should not take more than two such courses throughout their study period. Students may be exempted from the above if they have fulfilled the following minimum requirement:
 - MPhil students: 5 credit units of taught/seminar courses
 - PhD students: 10 credit units of taught/seminar courses
 - (b) At least half the coursework (4 credit units for MPhil and 7 for PhD) should be taken at CityU or other local institutions.
- 11.5. Courses prescribed for research students should be at postgraduate level (i.e. P5 courses or above).
- 11.6. Students with research needs and possessed relevant academic background may apply to take core courses and/or electives offered by another School/Department in order to fulfil the University’s coursework requirements. Students are advised to their home departments beforehand if there is any implication on taking PhD Qualifying Examination of the home department. Such course prescription requires approval of student’s home department and the course offering academic unit.
- 11.7. Credit Transfer and Coursework Exemption
- (a) In respect of the coursework requirement stipulated in 11.1, coursework exemption or credit transfer should be limited to a maximum of 3 credit units for MPhil and 7 for PhD.
 - (b) Students who have been granted maximum coursework exemption or credit transfer as stated in 11.4(a) above should fulfil the remaining coursework requirements by taking taught/seminar courses and not independent study or reading courses.
 - (c) Credit transfer will be considered only for credits gained from courses at postgraduate level that are relevant to the students’ research studies. Such requests may require the approval of the College/School Graduate Studies Committee on the recommendation of the School/Department.
 - (d) Exemption from coursework requirements may be granted only in exceptional circumstances. Requests for coursework exemption may require the approval of the College/School Graduate Studies Committee on the recommendation of the School/Department.

- (e) Students can be exempted from a requirement of the programme. Credit units are not earned for an exemption from a course.

11.8. Cross-Institutional Course Enrolment Scheme

(Please refer to Appendix 7 for “Guidelines Governing the Cross-Institutional Course Enrolment Scheme”.)

- (a) A Cross-Institutional Course Enrolment Scheme has been introduced by eight local institutions (CityU, CUHK, EdUHK, HKBU, HKU, HKUST, LU and PolyU) to allow their research students to enrol in courses offered by participating institutions. Under the scheme, students can take courses from other institutions that are relevant to their research areas. Once enrolled in a course, students are required to participate fully in the course, which includes completion of coursework and examinations, if applicable. For CityU students, all the credits gained can be counted as fulfilling the University’s coursework requirements for research degree studies unless otherwise specified by the School/Department.
- (b) SGS will normally announce application arrangements on its website for cross-institutional course enrolment one month before the start of a semester/term at respective institutions. Students should complete an application form and send it to SGS by the application deadlines set by respective course offering institutions.

12. COURSEWORK PLAN, COURSE REGISTRATION, CLASS ATTENDANCE AND ANNOUNCEMENT OF COURSEWORK RESULTS

- 12.1. Students are required to discuss their coursework plan and obtain approval from their respective supervisors via Form SGS16A. A list of courses for research students and course syllabuses are posted on the SGS web site under *Coursework Requirements* (<http://www.cityu.edu.hk/sgs/rpg/student>). Students should notify SGS of any subsequent changes to their coursework plan.
- 12.2. Students can view their coursework plan in AIMS once SGS has received and updated the relevant forms.
- Select “Quick Links to Portal” from the CityU homepage
 - Select “Login” and enter your electronic ID and password
 - Select “AIMS > Student Record > My Study Details (for Professional Doctorate and Research Degree Programmes) > Study Plan”
- 12.3. Students can add/drop web enabled courses that require no special approval from Dean of School/Head of Department within the add/drop period (normally ends on 1st day of week 2 of the semester). Add/drop of courses that are not web enabled, outside the add/drop period or courses that require special approval (which cannot be added/dropped by students) will be performed by SGS.
- 12.4. Students can view their class schedule through the Web about two weeks before the relevant semester starts by following the procedures given below:
- Select “Quick Links to Portal” from the CityU homepage
 - Select “Login” and enter your electronic ID and password
 - Select “Student Schedule” under “Student”

- Press the “View Detail Schedule” button at the bottom of your matrix timetable to display details of your class schedule.
- 12.5. Students should check if there are any clashes between the timetable of their classes and that of their departmental duties or other activities. Those who wish to make changes to their coursework plan should submit an application to SGS using Form SGS16B by the add/drop deadline (normally the first day of the second week of a semester or term).
- 12.6. Students applying for late add/drop of courses (amendments to their coursework plan) after the specified period should submit a written request to SGS. Such requests require the endorsement of the supervisor and approval of the Department Head/School Dean. Late requests submitted after the first day of the fifth week of a semester or the first day of the third week of a summer term will not be processed.
- 12.7. For class attendance during typhoons or rainstorms, please visit the web page on “Adverse Weather Arrangement” (<http://www.cityu.edu.hk/fmo/awa/>).
- 12.8. Students can view their own personal examination timetable and assigned seat number normally one month before the examination period through the Web by following the procedures below:
- Select “Quick Links to Portal” from the CityU homepage
 - Select “Login” and enter your electronic ID and password
 - Select “Examination Timetable” under “Student”.
- 12.9. Announcement of coursework results is made through the Web, normally within one month after the examination period. Students who have completed online tutorial on academic dishonesty and submitted a declaration form online will have access to and can view their coursework results by following the procedures given below:
- Select “Quick Links to Portal” from the CityU homepage
 - Select “Login” and enter your electronic ID and password
 - Select “AIMS”
 - Click on “Student Record” → “My Academic Record” → “Grade Detail”.
- 12.10. Students who have concerns over their course grades can apply for a grade review. The relevant review procedures are available at the following website: <http://www.cityu.edu.hk/sgs/tpg/student> (Assessment → Course Grades).

13.SUPERVISION — QUALIFYING PANEL

(Please refer to Appendices 8 and 9 for “Guidelines for the Appointment of Supervisors and Qualifying Panels” and “Research Degree Supervision: A Code of Practice” respectively.)

- 13.1. The School/Department should establish a Qualifying Panel for each student. The composition of the Panel and any subsequent changes to the Panel membership should be reported to SGS.
- 13.2. The Panel should consist of at least three members, including the supervisor of the student who should be the chair. The supervisor and at least one of the other members should be from the School/Department concerned.
- 13.3. The Panel should

- (a) assess the qualifying report and monitor the student's performance in coursework;
- (b) assess the student's performance by conducting an interview, oral examination or presentation, as deemed appropriate, for the purpose of confirmation of candidature;
- (c) make a recommendation to SGS, after the assessment mentioned above, about the student's suitability to continue the study, or to transfer from MPhil to PhD candidature or vice versa;
- (d) recommend termination of candidature if the student's academic performance is unsatisfactory;
- (e) monitor the progress of the student through the supervisor for the entire duration of the study period and report to SGS annually; and
- (f) certify, before a thesis is submitted for examination, that the student has satisfied all coursework requirements.

14. QUALIFYING EXAMINATION

(Please refer to Appendix 10 for "Guidelines on Administration of Qualifying Examination for PhD Students".)

- 14.1. With the aim to test students' knowledge of major subject areas of their research disciplines and assess their readiness to conduct research in their specific research discipline, PhD students commencing on or after 1 September 2019 are required to sit for and pass the Qualifying Examination (QE) for students.
- 14.2. A written QE will be mandatory for all full-time and part-time PhD students, including students under joint PhD programmes. It is an additional requirement on top of the existing Qualifying Report and Annual Progress Report assessment. A maximum of two attempts will be allowed within the specified periods as follows:
 - (a) For PhD students
 - Full-time: within 10-24 months from start of study
 - Part-time: within 20-48 months from start of study
 - (b) For students under Mainland Collaboration Schemes and joint PhD programme with overseas universities
 - Within 10-36 months upon official registration as a student at CityU, or to the end of normal study period, whichever is earlier
- 14.3. If a supervisor considers it more appropriate for his/her student to take a Qualifying Examination (QE) offered by another School/Department, he/she must seek endorsement from all relevant parties (including Head of student's home department and QE offering School/Department, as well as respective C/SGSCs) for approval by Committee on Research Degrees Candidature (CRDC).

14.4. Consideration of taking QE across School/Department are based on the following conditions:

- the research supervisor has affiliation in another School/Department; or
- the student's research topics are interdisciplinary across disciplines of relevant School/Department.

Applications will be considered on a case-by-case basis based on the justifications given by the supervisors and the research discipline of the PhD students concerned.

14.5. For those students who have been approved to take QE at another School/Department, they shall be allowed to take core courses or electives offered by the QE offering School/Department in view of pedagogical needs to prepare for the QE. Students shall follow the prevailing coursework plan approval procedures.

14.6. Students who have successfully obtained a pass in the QE will have their post-qualifying PhD candidature confirmed and will be eligible to receive an advance rate of studentship. Details of the arrangement are given in section 31.1.

14.7. Those students who cannot pass the QE by the stipulated period will result in termination of PhD study.

15.SUBMISSION OF REPORTS

15.1. Qualifying Report

- (a) Students must submit a qualifying report (typed and in English) within the specified qualifying period as follows:
 - Full-time: Within 6–12 months from start of study
 - Part-time: Within 9–18 months from start of study
- (b) A qualifying report should include a survey of the relevant literature, an identification of a specific research topic, the research methodology and a discussion on possible outcomes.
- (c) Students should submit three copies of the qualifying report (with Form SGS35) to their research supervisors within the specified qualifying period. The Qualifying Panel will assess the student's suitability to continue his or her studies on the basis of the qualifying report, coursework results and any other assessment as considered appropriate by the Panel. The Panel's recommendations will be forwarded to the School/Department for approval.

15.2. Annual Progress Report

- (a) After the qualifying period, students must submit progress reports (typed and in English) on an annual basis until they have submitted the final version of their thesis for oral examination and completed any other academic requirements.

- (b) Students should submit three copies of the annual progress report (with Form SGS36) to their research supervisors for forwarding to the Qualifying Panel for assessment. On the basis of the annual progress report, the Qualifying Panel should make a recommendation regarding the student's suitability to continue his or her studies for approval by the School/Department.

15.3. List of Publications/Research Output for Qualifying/Annual Progress Report

Students are required to print out from the **Research Degree Planner** a summary sheet (with supervisor's approval) and submit it together with Qualifying/Annual Progress Report as part of the assessment.

15.4. Late Submission/Assessment of Qualifying/Annual Progress Report

- (a) For students who fail to submit a qualifying/annual progress report by the stipulated date without the prior approval of the supervisor, or whose Qualifying Panel is not able to complete the report assessment within the stipulated report assessment date, their studentship and/or research tuition scholarship, if applicable, will be suspended from the month following the report submission deadline. Reinstatement of the award(s) will be subject to the submission of the report and their satisfactory study progress as confirmed by the Qualifying Panel and Department in the report assessment. Prolonged delay in report submission may result in suspension or termination of study.
- (b) Students with valid reasons may apply to defer the submission of a qualifying/annual progress report. Detailed arrangements are as follows:
 - Such requests should be made prior to the report submission deadline;
 - The maximum cumulative deferred period should not exceed three months; Deferral requests for not exceeding three months should be approved by the Supervisor. Request for deferral exceeding three months requires special approval of CRDC.
 - If students fail to submit the report by the deferred deadline, their studentship and/or research tuition scholarship, if applicable, will be suspended immediately. Their study may also be suspended or terminated.
- (c) Students whose study is suspended due to failure to submit a report will be given an additional month to submit a report. If they still cannot meet this requirement by the final deadline, their study will be automatically terminated.

16. OWNERSHIP OF INTELLECTUAL PROPERTY RIGHTS (IPR)

(Please refer to the University's Policy on Intellectual Property under the Regulations & Guidelines, which is available at <http://www.cityu.edu.hk/sqs/rpq/student>)

16.1. Copyright

- (a) According to the University's intellectual property policy, the copyright for all original work produced by students in the course of or for the purposes of their studies, scholarship or research with or at the University will be owned by the students concerned. The University will, however, have a royalty-free and non-exclusive perpetual licence to use such work for normal University educational and operational purposes.
- (b) Where the work is produced by students in sponsored and consultancy work the University or students enter into with outside bodies, its copyright ownership shall be governed by the terms of the contracts concerned.
- (c) For work created by students in research projects either partly or wholly funded by the University or ITF or other external organisations (other than in the context of a consultancy project), the copyright ownership of the work will be determined by the terms of the project contract. If the terms are silent on this issue, the copyright will be owned by the University.

16.2. Patents, Registered Designs, Circuit Layouts, Plant Variety Rights, Trade and Service Marks

Unless otherwise agreed expressly by the University in writing, ownership of all patents, registered designs, circuit layouts, plant variety rights, trade and service marks in all relevant works created by students during their studentship shall automatically vest in the University.

17. MEDIUM OF INSTRUCTION/ASSESSMENT AND THESIS PRESENTATION

- 17.1. The normal medium of instruction and assessment at the University is English. Research students should write and present their thesis in English, unless they give very strong justifications for using another language.
- 17.2. Students with valid reasons to support using a language other than English in thesis writing may apply to SGS in writing within the first six months of their studies. Applications submitted after the said period will not normally be considered. Such applications will be forwarded to the Department and College or the School for recommendation and final approval rests with the Committee on Research Degrees Candidature.
- 17.3. Students who have been approved to use a language other than English in thesis writing are required to include an additional abstract written in English in their thesis when it is ready for examination.

18. PANEL OF EXAMINERS

(Please refer to Appendix 11 for “Appointment and Duties of the Panel of Examiners for Research Degree and Professional Doctorate Programmes”).

- 18.1. A Panel of Examiners should be formed to assess a student’s thesis and conduct an oral examination. The Panel should consist of:

MPhil	<ul style="list-style-type: none">○ Panel Chair (who is an Internal Examiner)○ One External Examiner○ The supervisor of the student
PhD	<ul style="list-style-type: none">○ Panel Chair (who is an Internal Examiner)○ Two examiners, of whom at least one must be an external examiner○ The supervisor of the student

- 18.2. The internal and external examiners should normally be at the grade of Associate Professor or above, and have appropriate expertise related to the subject area of the student’s thesis. Individuals studying for a higher degree should not be appointed as examiners.
- 18.3. As a good practice and a benchmark against international standards, Departments and Schools are advised to appoint at least one overseas academic to serve as a member of the Panel of Examiners, especially for the PhD examination panel.
- 18.4. If an appointed overseas external examiner is not available to participate in the oral examination either in person or via telephone conferencing, the School or the Department and College should appoint an additional examiner who can attend the examination. The additional examiner may be either internal or external, depending on the recommendation of the School or the Department and College. The additional member will be treated as a full examiner and be invited to raise questions and make recommendations on behalf of the absent overseas external examiner.
- 18.5. The supervisor, with the consent of the student concerned, may invite other qualifying panel members or persons to join the oral examination as observers during the student’s presentation session. The Panel Chair, with consent of the student concerned and other members of the Panel of Examiner, may allow observers in attendance to raise questions during the student’s presentation session.

19. THESIS ASSESSMENT AND ORAL EXAMINATION

(Please refer to Appendix 12 for “Guidelines for Thesis Examination for Research Degree and Professional Doctorate Programmes”).

- 19.1. Submission of Theses

- (a) Students who wish to submit a thesis for examination should notify SGS three months before their expected date of submission using Form SGS09. Applications should be sent to SGS, together with an abstract of the thesis, the original payment receipt of the examination fee and a copy of the **Research Degree Planner** summary sheet printed from AIMS.

- (b) Normally, students are expected to submit their thesis not earlier than three months for MPhil students and six months for PhD students before the end of the (normal) study period. Early submission of a thesis requires special approval from the College/School.
- (c) Students must submit a thesis for examination by the end of their normal study period or the stipulated study period.
- (d) Students should submit three (for MPhil) or four (for PhD) copies of the thesis (ring bound) together with a Certifying Form (SGS09A) and a Statement on the Extent of Research Collaboration (SGS09B) to SGS by the submission deadline.

Certifying Form	To be signed by the following three parties: Student: To declare that he or she is the author of the thesis and that the thesis has not been submitted for a higher degree or any other award of the University or of any other institution Supervisor: To certify that the student has satisfied all coursework requirements and the thesis is prima facie worthy of examination Department Head/School Dean: To certify that the thesis is of an acceptable standard
Statement	To indicate the extent of collaboration, if any part of the research has been carried out in collaboration with other parties, and to identify any parts of the thesis that are not the result of the student's own work

- (e) Students should not submit, as the main content of the thesis, work previously accepted for a degree or any other award of the University or of any other institution, but may incorporate such work in the thesis if the incorporated material is specified.
- (f) In the event that re-submission of theses for assessment is needed, students are required to submit the revised theses together with the Certifying Form for Re-submission of Thesis for Examination (SGS09R) and a summary highlighting the revisions that have been made.

19.2. Thesis Examination

- (a) The thesis examination should include thesis assessment, an oral examination, and any other assessment arrangements that may be required by the Panel of Examiners. If the thesis is confirmed to be of the required academic standard by the Panel of Examiners, an oral examination will be arranged. The oral examination is compulsory. It should normally take place in Hong Kong and be conducted in English. Students who have not fulfilled the coursework or any other academic requirements stipulated by the University will not be allowed to undertake the oral examination.
- (b) Under normal circumstances, the oral examination will take place within two to three months from the submission of the thesis, depending on the timing of receiving the examiners' comments. However, for students who fail to give advance notice for submission of their thesis or fail to submit their thesis by the intended submission deadline, a longer period of time will be required to arrange the examination.

19.3. Oral Examination Arrangements during Typhoons and Rainstorms

The following arrangements for oral examinations will be adopted in the event of adverse weather conditions.

- (a) If a typhoon signal No. 8 or above is issued or an “extreme condition” announcement is issued by the Government after super typhoons or the Hong Kong Observatory announces that a typhoon signal No. 8 or above will be issued within 2 hours, the examinations will be suspended as appended below:

Typhoon Signal / Extreme Condition / Announcement Issued	Sessions Suspended
At or after 7 am	Morning sessions with commencement time before 2:00pm
At or after noon	Afternoon sessions with commencement time at or after 2:00pm but before 6:30pm
At or after 4 pm	Evening sessions with commencement time at or after 6:30pm

- (b) If a typhoon signal No. 8 or above is issued or the Hong Kong Observatory announces that a typhoon signal No. 8 or above will be issued within 2 hours when exam is already in progress, it should be terminated as soon as practicable. However, examinations already in progress should continue except for situations which endanger students and warrant immediate termination of the examinations as determined by SGS. For an emergency situation in the examination venue which poses immediate danger to students, the Exam Panel Chair may terminate the examination and report to SGS subsequently.

- (c) If a black rainstorm warning is issued, examinations will be suspended as appended below:

Black Rainstorm Warning Issued	Sessions Suspended
At or after 7 am	Morning sessions with commencement time before 2:00pm
At or after noon	Afternoon sessions with commencement time at or after 2:00pm but before 6:30pm
At or after 4 pm	Evening sessions with commencement time at or after 6:30pm

- (d) If a black rainstorm warning is issued during examination, all examinations already in progress should continue except for situations which endanger students and warrant immediate termination of the examinations as determined by SGS. For an emergency situation in the venue which poses immediate danger to students, the Exam Panel Chair may terminate the examination and report to SGS subsequently.

19.4. Examination Results

- (a) Students who have satisfied all the requirements for the degree will be recommended for the award by the Panel of Examiners.
- (b) Students, who are required to make minor revisions to their thesis, but have satisfied all other academic requirements, may be recommended for the award, subject to resubmission of the thesis after making minor revisions by the deadline set by the Panel.

- (c) If there is disagreement among the Panel members concerning the performance of the student, the examiners should submit individual reports to SGS. An additional external examiner may then be appointed and be required to make a report and recommendation to SGS. The reports from the Panel members and additional examiner will be forwarded to the Department and College or School for consideration, and the Committee on Research Degrees Candidature will make a final decision based on the advice of the Department and College or School.
- (d) PhD students may be recommended for the award of an MPhil degree if the thesis is considered to be below the standard expected of a PhD degree, but is considered to have fulfilled the standard required for an MPhil degree.
- (e) If a student is required to submit a revised thesis, the Panel should set a deadline for resubmission not exceeding 12 months from the date of the oral examination. After re-examining the revised thesis, the examiners should make a recommendation to SGS. If the examiners are satisfied with the revised thesis, they may recommend that a second oral examination be waived.

19.5. Re-examination

- (a) A student must pay a re-examination fee to sit for a second oral examination.
- (b) The Panel of Examiners for the re-examination should be the same as that for the first examination, unless otherwise recommended by the College/School.
- (c) A student who has failed to satisfy the Panel of Examiners in a re-examination is not permitted to present himself or herself for re-examination on a further occasion.

19.6. Bound Theses

- (a) Students should submit to the University both printed and electronic copies of their thesis in accordance with the University's stipulated requirements within one month after approval of final thesis accepted for confirmation by C/SGSC.
- (b) It is the responsibility of the student to ensure that an acceptable copy of his/her thesis in an electronic format is uploaded to the University's specified online platform. The bound copy will be sent to the library. The bound and uploaded electronic copies will be for both internal and public access.
- (c) The submission of the thesis forms part of the graduation requirement. SGS may withhold the student's award certificate and academic transcript if he or she fails to submit the thesis by the specified date.
- (d) The required formats for the printed and electronic copies are detailed in the "Regulations Governing the Format of Theses" (Appendix 13). When preparing the printed version of a thesis, students are advised to refer to Appendix 14 for a sample of the front cover, the spine, and the title page of a thesis. For guidelines on preparing the electronic version of a thesis, please visit the following Library web site: <http://www.cityu.edu.hk/lib/digital/thesis/guideline/research/submission.htm>.

- (e) Under normal circumstances, the thesis will be made available for reference as soon as they have been placed in the Library. A student who wishes to restrict access to his or her thesis for a valid reason may write to SGS. Such requests will be considered on the basis of the justifications provided, and are subject to the approval of the Dean of School/Head of Department. *(Please refer to Appendix 15 for “Guidelines for the Imposition of a Restriction on Access to a Thesis”).*

19.7. Indicative Schedule for Thesis Examination and Graduation

- (a) While students can complete their research programme requirements at various times of the year, the University has three official graduation dates every year when students are considered to have formally graduated from the University.
- (b) To facilitate students to plan ahead their thesis submission and examination in order to be eligible for the graduation and degree conferment at the Congregation, please note the following indicative dates:

Submission of Thesis for Examination to SGS	Completion of Examination Process#	University Graduation Date	Congregation Year
By the end of September 2020	By the end of second week of January 2021	16 February 2021	2021 Congregation
By the end of February 2021	By the end of second week of June 2021	15 July 2021	2021 Congregation
By the end of May 2021	By the end of first week of September 2021	4 October 2021	2021 Congregation

The examination process includes thesis assessment, oral examination, subsequent revisions to theses, if applicable, and College/School approval for MPhil/PhD award.

- (c) Under normal circumstances, it takes about three months to complete the examination process. In case of unexpected circumstances, or for students who are required to revise their theses by the Panel of Examiners, the examination period will take longer.

20. MERIT AWARDS

20.1. Outstanding Research Thesis Awards Scheme

(Please refer to Appendix 16 for “Guidelines for the Outstanding Research Thesis Awards Scheme”).

- (a) The Outstanding Research Thesis Awards Scheme was introduced by SGS to recognise and reward research students who have produced a thesis of outstanding quality and achievement in their relevant research area.
- (b) SGS will identify those theses that have satisfied the award criteria and forward the cases to the relevant School/Department, which will be invited to confirm their suitability for the award. On receipt of the confirmation from the School/Department, the students concerned will be granted the award.
- (c) Awardees will receive a certificate of award and a gift coupon at the Awards Presentation ceremony organized by SGS.

20.2. Outstanding Academic Performance Award

(Please refer to Appendix 17 for “Regulations Governing Outstanding Academic Performance Award for Research Degree Students”.)

- (a) The purpose of the Outstanding Academic Performance Award for research students is to recognise students with outstanding academic performance in their research studies.
- (b) All research degree students who have completed at least twelve calendar months of study counting from the commencement date of study up to the starting date of the award period (excluding period of study interruption, if any) and are within their (normal) study period are eligible to apply for the award.
- (c) Students will be presented a certificate of award issued by SGS, and a cash prize of HK\$1,000.

20.3. Chow Yei Ching School of Graduate Studies Outstanding Doctoral Research Award

(Please refer to Appendix 26 for “Guidelines for the Award of Chow Yei Ching School of Graduate Studies Outstanding Doctoral Research Award”.)

- (a) The purpose of the Chow Yei Ching School of Graduate Studies Outstanding Doctoral Research Award is to recognize exceptional work done by PhD graduates and to encourage the highest levels of research and writing.
- (b) Students who are the recipients of the Outstanding Research Thesis Award and have been conferred a PhD degree in the same Congregation year will be invited to apply for the award.
- (c) A maximum of one award for the two categories, namely Science, Engineering and Technology (Category A), and Humanities, Social Sciences and Business Studies (Category B), will be presented each year. Each awardee will receive an award certificate issued by the School and a one-off cash prize of HK\$20,000.

21. APPEAL

- 21.1. Students may make an appeal in writing to SGS on matters relating to their studies.
- 21.2. An appeal against the thesis assessment and/or oral examination results should be made in writing to the Dean of Graduate Studies through SGS within one month of the notification of the results. The appeal will be considered only if there has been a material administrative error, or some other material irregularity. The decision of the Dean of Graduate Studies will be final.

22. CONGREGATION

- 22.1. With the approval of the Senate, students who have satisfactorily completed a research degree programme will be conferred the relevant award at the annual Congregation, which usually takes place in November.
- 22.2. Students who wish to graduate and participate in the annual Congregation should submit their thesis to SGS by late May of that year to allow sufficient time for examination

arrangements and for subsequent approval. (Please refer to “Thesis Assessment and Oral Examination” for details.)

- 22.3. Students eligible for academic awards for that particular year will be notified in writing of the details for the Congregation and the collection of their academic dress and award certificate. Students are strongly advised to ensure the safe keeping of the award certificate. The University reserves the right to withhold conferment of an award to a student who is subject to a penalty imposed in accordance with the Code of Student Conduct, or who has not paid fees or other monies owing to the University or who has otherwise failed to discharge all obligations towards the University.

23. LEAVE OF ABSENCE

- 23.1. There are three types of leaves of absence for research students, as follows:

Leave Type	Vacation Leave	Study Interruption	Study Leave
Eligibility	Full-time students who are within their (normal) study period	Students who are within their (normal) study period	All students
Purposes	For students to take a short period of leave for non-academic reasons	For students to take a long period of leave for non-academic reasons	For students to take a period of leave for academic purposes outside Hong Kong
Maximum (Cumulative) Period of Leave	24 working days per year during (normal) study period	12 months for the full study period; leave should be taken on a full-calendar-month basis	50% of the normal study period
Fees	Payment required	Payment not required	Payment required
Studentship & Research Tuition Scholarship	Award not affected	Award suspended	Award on a case-by-case basis
Study Period	The leave period will be counted towards the study period	The leave period will not be counted towards the study period	The leave period will be counted towards the study period

- 23.2. Students who are permitted by their supervisor and School/Department to pursue their research studies for a certain period in another local university do not have to apply for leave of absence.
- 23.3. Students whose current coursework will be affected by the leave of absence should contact SGS separately for alternative coursework arrangement.
- 23.4. Students taking leave without following proper procedures may risk disciplinary actions including suspension of financial awards and assistance, and termination of candidature.

- 23.5. Except under special circumstances, retroactive approval for leave of absence will not be granted.
- 23.6. If the student does not return from leave by the stipulated date, the supervisor or the School/Department should notify SGS immediately for follow-up.
- 23.7. Vacation Leave
- (a) Full-time research students within their normal study period are entitled to 24 working days (i.e. 2 days for each month) of vacation leave per academic year. Public holidays, Saturdays or Sundays falling within the vacation leave period will not be counted as leave days.
 - (b) Students commencing their studies during the year will have their vacation leave days calculated on a pro-rata basis. Students who have interrupted their studies will have their vacation leave entitlement adjusted accordingly.
 - (c) Students who wish to take short periods of leave for non-academic reasons can apply for vacation leave.
 - (d) They may be allowed to take vacation leave in advance, up to the vacation leave entitlement of the relevant year, with the special permission of their supervisor. All unused vacation leave will be cleared by the end of each academic year.
 - (e) For students attending conferences that have been approved by their supervisor and the School/Department, no vacation leave will need to be taken during the conference period. But if a student wishes to stay behind or arrive earlier, vacation leave will need to be taken for any days other than the conference period.
 - (f) Students should submit an online vacation leave application via AIMS prior to the leave period for approval by their supervisor:
 - Select “Quick Links to Portal” from the CityU homepage
 - Select “Login” and enter your electronic ID and password
 - Select “AIMS”
 - Click on “Student Record” → “My Applications (for Professional Doctorate and Research Degree Programmes)” → “Application for Vacation Leave (Full-time RPg only)”
 - Fill in the form and click confirm.
- 23.8. Study Interruption and Study Leave
- (a) Only students who are within their (normal) study period are allowed to apply for study interruption. Applications for study interruption from students who have exceeded the (normal) study period will not be considered except under exceptional circumstances. For study interruption applications, only those relating to unexpected circumstances that forbid students from continuing with their study for a certain period of time will be considered.
 - (b) Students should apply for study interruption (using Form SGS05) or study leave (using Form SGS06) at least one month before the planned start date of the leave. Students who

have been assigned departmental duties must make arrangements with the School/Department before taking leave.

- (c) For application for study interruption, approval of the supervisor and the School/Department are required for a cumulative leave period not exceeding twelve months. For application for study leave, approval of the supervisor and the School/Department are required for cumulative leave period not exceeding half of the normal study period. Either the case, the leave details should be forwarded to SGS for updating of records.
- (d) When students return from study interruption or study leave, they should inform SGS of their actual return date via AIMS (or using Form SGS07):
- Select “Quick Links to Portal” from the CityU homepage
 - Select “Login” and enter your electronic ID and password
 - Select “AIMS”
 - Click on “Student Record” → “My Applications (for Professional Doctorate and Research Degree Programmes)” → “Resumption of Studies / Return from Study Leave or from Study Outside Hong Kong (for Research Degree Programmes only)”
 - Fill in the form and click confirm.

23.9. Leave of Absence Due to Health Reasons

- (a) Full-time students may take leave for health reasons. They should inform their research supervisors immediately about their leave, complete the application procedures and obtain endorsement/approval from relevant authorities via Form SGS21, as stipulated below:

Below:				
Number of Leave Days (in calendar day)	2 days or less	Between 3 and 7 days	Between 8 and 21 days	More than 21 days
Application Procedures and Endorsement/ Approval Authority	Student should inform his/her Supervisor immediately for approval.	Complete and submit application form with medical certificate from a registered medical practitioner to Supervisor for approval.	Complete and submit application form with medical certificate from a registered medical practitioner to Supervisor for endorsement, and Department Head for approval.	Submit application for “Study Interruption” with medical certificate from a registered medical practitioner to Supervisor for endorsement and Department Head for approval.
Study Period	The leave period will be counted towards the study period			Please refer to “Study Interruption” (23.8)
Financial Awards	Award not be affected			

- (b) If the period of leave is expected to be long-term or repeated short-term which will significantly affect the study progress, students will be advised to take “Study Interruption”. For leave exceeding 21 calendar days, students are required to apply for “Study Interruption” on a full month basis.
- (c) Department is required to inform the teaching supervisor and re-arrange relevant departmental duties if the student concerned has been assigned to take up Teaching Assistant assignments/departmental duties.

- (d) The above guidelines are also applicable to research students under the Joint PhD collaboration schemes when they study in CityU main campus or designated study locations.

24.RESIDENCE REQUIREMENT

A student who is receiving regular supervision in Hong Kong or in a designated location approved by the University is classified as being in residence. The required residence period for research degree studies is equivalent to half of the relevant (normal) period of study. To fulfil the requirement, physical residence is required.

25.STUDY OUTSIDE HONG KONG IN PART-TIME MODE

- 25.1. Students who have fulfilled the residence requirement and are under special circumstances may apply to SGS using Form SGS17 at least two months in advance for continuation of study outside Hong Kong in a part-time mode. However, only applications with valid and exceptional reasons will be considered.
- 25.2. If the application is approved, during the “absentee” period the student should continue to pay tuition or continuation fees and submit annual progress reports. His or her studentship, if applicable, will be discontinued. He or she should continue to abide by the regulations and guidelines set by the University.
- 25.3. These students’ study mode will be changed to part-time and the period of candidature will be recalculated on a pro rata basis, if applicable. Those who wish to study full-time when they return to study in Hong Kong should (a) submit a request before their return for a change of study mode (using Form SGS02), and (b) (for non-local students only) ensure that they have a valid student visa for their full-time study.
- 25.4. When students return to study in Hong Kong, they should inform SGS of their actual return date via AIMS (or using Form SGS07). If the student does not return from leave by the stipulated date, the supervisor or the Department should notify SGS immediately for follow-up.
- Select “Quick Links to Portal” from the CityU homepage
 - Select “Login” and enter your electronic ID and password
 - Select “AIMS”
 - Click on “Student Record” → “My Applications (for Professional Doctorate and Research Degree Programmes)” → “Resumption of Studies / Return from Study Leave or from Study Outside Hong Kong (for Research Degree Programmes only)”
 - Fill in the form and click confirm.

26.WITHDRAWAL

- 26.1. Students who wish to withdraw from studies should consult their supervisor first. Withdrawal notification can be submitted via AIMS.
- Select “Quick Links to Portal” from the CityU homepage
 - Select “Login” and enter your electronic ID and password
 - Select “AIMS”

- Click on “Student Record” → “My Applications (for Professional Doctorate and Research Degree Programmes)” → “Withdrawal from Studies”
 - Fill in the form and click confirm.
- 26.2. They should also notify relevant parties (e.g. the School/Department on their arrangement of departmental duties) of their withdrawal. The withdrawal will take immediate effect.
- 26.3. Any financial awards and assistance will be discontinued from the first day of the month in which withdrawal of study takes effect.
- 26.4. On withdrawal, students should, among other things, settle the following (if applicable):
- (a) arrange handover of departmental duties and return any equipment on loan to the School/Department and other relevant parties;
 - (b) return borrowed books to the Library;
 - (c) settle outstanding fees and fines;
 - (d) close their computer account with the Computing Services Centre;
 - (e) arrange with the Student Development Services to vacate their locker;
 - (f) return their Student Identity Card to SGS for cancellation.
- 26.5. The graduation fee will be refunded to students if they have returned the Student Identity Card and settled all outstanding matters with the University within 10 working days from the effective date of withdrawal.

27.SUSPENSION OF STUDY

- 27.1. Students’ study status may be suspended by SGS due to the following:
- (a) Failure to submit qualifying/annual progress reports by the set deadline without prior approval;
 - (b) Failure to settle tuition or continuation fees by the set deadline;
 - (c) Failure to seek prior approval for matters related to study (e.g. study interruption, study leave, study outside Hong Kong, simultaneous registration, etc.).
- 27.2. Students whose study is suspended will have their financial awards and assistance, if any, suspended accordingly. If they still cannot fulfil the University’s requirements by an extended deadline, their study will be terminated.
- 27.3. For suspended students whose status is subsequently reinstated:
- (a) Fees, once paid, will not be refunded;

- (b) The research tuition scholarship award period (if applicable) will not be extended;
- (c) The study period will be extended accordingly.

28. TERMINATION OF STUDY

28.1. Students' study may be terminated under the following circumstances:

- (a) Unsatisfactory academic progress;
- (b) Prolonged delay in settling tuition or continuation fees by the specified deadline without prior approval from SGS;
- (c) Failure to resume studies or return to study by the set date after leave of absence or study outside Hong Kong;
- (d) Failure to submit qualifying/annual progress reports by the extended deadline without prior approval;
- (e) Failure to pass the qualifying examination within specified period (only applicable to PhD students admitted in 2019/20 and thereafter);
- (f) Failure to complete studies by the end of the maximum study period or the (extended) study period;
- (g) Simultaneous registration in another programme of study in any other institutions without the prior permission of SGS;
- (h) Failure to observe the University's regulations and guidelines.

28.2. For termination cases on academic grounds, the Head of Department or Dean of School is advised to interview the student concerned prior to making the recommendation for termination. If the Head of Department or Dean of School is also the supervisor of the student concerned, a third party should be assigned within the College/School to hold the interview.

28.3. Following the study termination, any financial awards and assistance granted to the students concerned will be terminated from the first day of the month in which termination of study takes effect. The students will be asked to settle all the outstanding matters (as mentioned in 26.4).

28.4. For study termination on academic grounds, students may not continue their studies at the University without re-admission, with re-admission to any programme no earlier than one academic year after the student's termination.

29. REINSTATEMENT OF CANDIDATURE

(Not applicable to study termination cases due to unsatisfactory academic performance.)

- 29.1. Applications for reinstatement of candidature are considered on a case-by-case basis. However, requests from students whose studies have been terminated for more than one month will not normally be considered.
- 29.2. Reinstatement requests will be forwarded to the College/School for consideration, and final approval rests with SGS. For approved cases, students are required to settle all the outstanding fees (including a late charge), the graduation fee and a reinstatement fee before the reinstatement of their student status. The effective date for reinstatement will normally be the first day of the month following the granting of approval. The students' study period will be recalculated, taking into account the termination period.
- 29.3. Financial awards and assistance previously granted to these students, if any, will not be reinstated automatically. Students must reapply for the financial awards and assistance after reinstatement of study. No backdating arrangement will be made.

30. ACADEMIC TRANSCRIPT/TESTIMONIAL/CERTIFIED TRUE COPY

- 30.1. Students can apply for the following documents using online form via AIMS or Form SGS10, and a fee will be charged for each copy:

Document	Description
Academic Transcript	A certification of a student's record of academic performance at the University
Testimonial	A certification of a student's registration record with regard to his or her study at the University
Certified True Copy	Certification of official University documents (e.g. academic transcript, award certificate, etc.)

- 30.2. Students who wish to apply for the above documents should submit an application to SGS via AIMS. Please allow seven working days for processing the request.
- Select "Quick Links to Portal" from the CityU homepage
 - Select "Login" and enter your electronic ID and password
 - Select "AIMS"
 - Click on "Student Record" → "My Applications (for Professional Doctorate and Research Degree Programmes)" → "Application for Academic Transcripts / Testimonials"
 - Fill in the form and click confirm.
- 30.3. The University reserves the right to withhold the academic transcripts and testimonials of students who have not settled fees or fines owing to the University, or who have failed to discharge their obligations towards the University.

31. FINANCIAL AWARDS AND ASSISTANCE

Only students who are within their normal study period are eligible to apply for financial awards and assistance listed below. In other words, students in their extension period are not eligible to apply or receive these financial awards and assistance. In addition, individual awards may have specific conditions or criteria on eligibility for application or reimbursement.

31.1. Postgraduate Studentship (applicable to full-time UGC-allocated students only)

(Please refer to Appendix 18 for “Regulations Governing Postgraduate Studentships”.)

- (a) The postgraduate studentship is granted to selected full-time research students on the basis of academic merit.
- (b) For MPhil and PhD students who commenced study on or before 1 September 2019, a uniform studentship rate (i.e. basic rate) will apply throughout their candidature.
- (c) Following the introduction of the mandatory PhD qualifying examination from Semester A 2019/20 (applicable to 2019/20 cohorts and thereafter), a new postgraduate studentship structure with a Basic Rate and an Advance Rate is introduced. The basic rate applies to students before qualifying for PhD candidature while the advance rate applies to post-qualifying PhD students whose candidature is confirmed after passing the qualifying examination. Studentship increment from basic rate to advance rate will be processed and released in two batches (September and March) each year according to the following timeline:

Completion of PhD Qualifying Examination	Academic Unit notifying SGS list of PhD students who have passed QE and are eligible for Advance Rate		Effective month for advance rate
March – August	By 10 th September latest	⇒	September
September – February	By 10 th March latest	⇒	March

- (d) The studentship rates are subject to revision in September of every year. For 2020/21, the Basic Rate is HK\$17,510 per month and Advance Rate is HK\$18,210 per month effective from 1 September 2020. This applies to both new and current research students (except HKPFS recipients). Any revision to the studentship rates will apply to both current and new students.
- (e) All new eligible students will be considered for the award of the studentship as part of their application for admission to a research degree programme. No separate application is required. Eligible current students will be considered for a studentship renewal during assessment of qualifying or annual progress report. Late report submission or report assessment by qualifying panel may result in delayed payment of the studentship.
- (f) The studentship is normally granted on a yearly basis and is subject to renewal. Renewal of the award will be considered on the basis of a student’s study progress and performance in any teaching and/or research support duties, as assigned by the School/Department.

- (g) If a student's study progress is not satisfactory, the Supervisor/School/Department can recommend a shorter interval of studentship renewal (e.g. three months' renewal) or suspension of the studentship.
- (h) Students should attain in their coursework prescribed by the Qualifying Panel a minimum cumulative GPA of 2.50 to be eligible for consideration of studentship renewal. Checks will be made on a semester/term basis, and studentship recipients who are identified as failing to fulfil the above requirements will have their studentship discontinued. Individual college/School/Department may stipulate a higher GPA threshold or other requirements. Provision of an appeal mechanism against the decision of discontinuation of studentships will not be given.
- (i) Students who have not been granted a renewal of their studentship due to failure to attain the minimum academic requirement stated in (f) above can still re-apply to SGS in writing for the studentship if they can meet the requirement later on. For these cases, the student is responsible for re-applying for the studentship and, if approved, the award will take effect from the month following the approval and no retroactive award will be granted.
- (j) MPhil students will normally be granted studentships for a maximum of two years and for PhD students, three or four years depending on the prescribed normal study period. The studentship award period should not exceed students' normal study period. The start of the award should normally match a student's commencement date of study. Requests for extension of the award period will not normally be considered.
- (k) No studentship, if applicable, will be released for the month in which withdrawal/study termination takes effect or study interruption commences.
- (l) Studentship recipients who submitted their bound thesis after completion of study or graduated will have their studentship ended on the bound thesis submission date or graduation date, whichever is earliest.
- (m) Studentship recipients are normally required to undertake not more than 10 hours per week on average of teaching and/or research support duties, as assigned by their School/Department. The working hours shall include preparation time and the actual working hours. These duties are part of the postgraduate training and students are advised to make an effort to fulfil these duties. According to the regulations, unsatisfactory performance in such duties may lead to discontinuation/reduction of the studentship.
- (n) Studentship recipients are required to perform their duties up to the required standard. Students' performance in teaching will be evaluated primarily through the University's Teaching and Learning Questionnaire (TLQ) (preferably attaining TLQ scores of 5.0 or above), and feedback from Course Leader(s) of the course(s) concerned and/or their research supervisors. Other duties, such as participating in the design and implementation of DEC-related projects will be assessed through feedback forms, or any other means, as appropriate.
- (o) Students' studentship awards will be placed on probation in the following semester in the event that they:

- failed in the first attempt in “English for the Medium of Instruction” course; or
 - obtained a “Fail” grade in SG8001 in the first attempt, and are therefore not permitted to teach; or
 - failed to perform the assigned TA duties and/or teaching and/or research-related duties satisfactorily as evaluated by the School/Department concerned.
- (p) During the probationary period, students will continue to receive a studentship and they are expected to successfully complete the “English for the Medium of Instruction” course, or SG8001 course, or to perform TA duties up to the required standard. Students will be required to exit from the TA Scheme and have their studentship reduced by 25% in the following semester(s) in the event that they:
- failed in the second attempt in “English for the Medium of Instruction” course, and are not qualified to take SG8001; or
 - obtained a “Fail” grade in SG8001 in the second attempt, and are therefore not permitted to teach; or
 - failed consistently to perform their TA duties satisfactorily during the probationary period.
- (q) The probationary period and the reduction of 25% of studentship shall apply to students whose studentship awards have funding contribution from the Central (both the TA funds from the Provost or UGC funds). In other words, students under the **TA scheme, RA scheme, Institutional PhD Scholars Scheme and HKPFS reward matching quotas** will be affected. Students under the Project scheme or non-UGC funds will not be affected.
- (r) In case a student has eventually obtained a “Pass” grade in the third attempt in SG8001 or its pre-requisite SG8002, he/she will regain the 25% studentship back from the following month.
- (s) SG8001 forms part of the coursework requirement. In the event that a student obtained a failure in SG8001 or its pre-requisite SG8002 in the third attempt, the student’s study will be terminated. No waiver of coursework requirement will be granted.
- (t) Undertaking departmental duties by awardees of Hong Kong PhD Fellowship Scheme (HKPFS) is not mandatory for HKPFS recipients. Nevertheless, in view that experiences gained from teaching duties are beneficial to students’ future career development, research students may take up teaching and research-related duties on a voluntary basis. The School/Department may assign duties to those HKPFS recipients who are willing to take up the duties as an integral part of postgraduate training.
- (u) Studentship recipients and HKPFS recipients should seek prior approval from their supervisor and the School/Department (using Form SGS19) for engaging in paid employment. They should also declare any paid employment performed in the preceding 12 months in their application for studentship renewal.
- 31.2. UGC-related Funds/Externally-funded Studentship (applicable only to full-time students financed by UGC-related Funds/external funds)
(Please refer to Appendices 2 and 3 for “Guidelines Governing the Admission of Research Students Using UGC-related Funds” and “Guidelines Governing the Admission of Externally-funded and Self-financing Research Students” as appropriate.)

- (a) UGC-related Funds/externally-funded studentships come from UGC/RGC research grant or non-UGC/external grant. Therefore, the provision of such studentships is subject to the availability of funds.
- (b) The value of the UGC-related Funds/externally-funded studentship should normally be equivalent to that of the postgraduate studentship. Please note that the postgraduate studentship rates are subject to revision in September of every year. Any revision to the studentship rates will apply to both current and new students, including those financed by UGC-related Funds/externally-funded studentships unless otherwise specified.
- (c) Students financed through UGC-related Funds/externally-funded studentships should also abide by the regulations and guidelines related to postgraduate studentships, unless otherwise specified.
- (d) Recipients of UGC-related Funds/externally-funded studentships are encouraged to undertake teaching and/or research support duties to enrich their educational experience, as is the case with UGC-allocated students.

31.3. College/School/Department Based Postgraduate Studentships

(Please refer to Appendix 19 for "Regulations Governing College/School/Department Based Postgraduate Studentships".)

- (a) College/School/Department Based Postgraduate Studentships are established to support self-financing students in undertaking full-time MPhil/PhD studies using College/School/Department's non-UGC reserve.
- (b) The value of the Studentship award should normally be the same as that of the Postgraduate Studentship for UGC-allocated and UGC-related research students.
- (c) Students awarded the College/School/Department Based Postgraduate Studentships should also abide by the regulations and guidelines related to postgraduate studentships, unless otherwise specified.
- (d) Studentship recipients are normally required to undertake not more than 10 hours per week on average of teaching and/or research support duties, as assigned by the School/Department. The working hours shall include preparation time and the actual working hours. Individual colleges/schools/departments may require less hours per week based on their disciplines' needs.

31.4. Research Tuition Scholarship (applicable to UGC-allocated and UGC-related students only) *(Please refer to Appendix 20 for "Regulations Governing Research Tuition Scholarships".)*

- (a) All new eligible students will be considered for the award of the tuition scholarship as part of their application for admission to a research degree programme. No separate application is required.
- (b) For current students, applications for (renewal of) the research tuition scholarship will be invited once a year (applications may be submitted via Form SGS11). UGC-allocated and UGC-related research students who have satisfied the minimum award criteria and are

not receiving any award that covers their tuition fee payment are eligible to apply for the scholarship.

- (c) For current award recipients, the renewed award will take effect immediately after the expiration of the current award. For other successful applications, the award will normally take effect from the first day of the month following the granting of approval. Requests for backdating the award period will not normally be considered.
- (d) Individual Colleges/Schools/Departments may stipulate other additional assessment criteria, such as contribution to departmental duties, teaching performances, etc., as appropriate, to the award criteria for Research Tuition Scholarships.
- (e) The award is tenable until the end of a student's (normal) study period. It is granted on a yearly basis for full-time students and on a biennial basis for part-time students, and renewal is subject to competition and the continuing outstanding performance of the student.
- (f) The tuition scholarship cannot be held concurrently with other awards covering tuition fees. Tuition scholarship recipients must notify SGS immediately if they subsequently receive a grant for the payment of tuition fees covering all or part of the scholarship award period. SGS will then arrange to withdraw the scholarship accordingly.

31.5. Conference Grant (applicable to UGC/Institutional funded students only)
(Please refer to Appendix 21 for "Guidelines for the Award of Conference Grants".)

- (a) UGC/Institutional funded research students are eligible to apply for the conference grant to support their attendance at academic conferences.
- (b) SGS will invite applications for the conference grant four times a year. Applications (using Form SGS13) should be sent to SGS via the supervisor and the School/Department.
- (c) The conference grant covers a subsistence allowance and 90 percent of the cost of the return passage and the conference registration fee, subject to a maximum of HK\$10,000. The grant is paid on a reimbursement basis.

31.6. Research Activities Fund (applicable to UGC-allocated and UGC-related students only)
(Please refer to Appendix 22 for "Guidelines for the Research Activities Fund".)

- (a) The Research Activities Fund supports research students undertaking research related activities outside Hong Kong, which are beneficial and related to their MPhil/PhD studies. To encourage overseas academic exchange, funding priority will be given to students visiting overseas institutions for research related work or research collaboration with overseas institutions.
- (b) For attending academic conferences, research students should apply for a "Conference Grant", instead of this Research Activities Fund.
- (c) UGC-allocated and UGC-related research students who will undertake research related activities outside Hong Kong for not less than one month are eligible to apply for the

Research Activities Fund. Those who have already been given such funding in the preceding 12 months will not normally be considered.

- (d) Interested students should submit an application form (SGS14), with the endorsement of their supervisor and Department Head/School Dean, to SGS for its consideration.
- (e) If an application is approved, the amount of funding support will be calculated on the basis of the number of months for the leave period taken by the student for research related activities outside Hong Kong. A monthly allowance of HK\$5,000 will be given. Normally, the maximum cumulative amount of funding provision during the entire candidature of study is HK\$30,000. If the leave period is not on a full month basis, funding will be provided on a pro-rata arrangement.
- (f) Students should submit a report on the visit to SGS, via their supervisor and Department head/School Dean, within two months after the visit. Funding support is granted on a reimbursement basis after the visit, subject to the students' submission of a report found to be satisfactory by both the supervisor and Department Head/School Dean, and the approval of SGS.
- (g) The award is conditional upon the student continuing to be a registered student at the University following his or her visit outside Hong Kong.

31.7. Chow Yei Ching School of Graduate Studies Scholarships (Applicable to government-funded students only)

(Please refer to Appendix 24 for "Regulations Governing Chow Yei Ching School of Graduate Studies Scholarships".)

- (a) The purpose of the Chow Yei Ching School of Graduate Studies Scholarships is to recognize and reward students with outstanding academic performance. Students who are within their normal/stipulated period of study and have undertaken their current MPhil/PhD studies for at least twelve calendar months of study counting from the commencement date of study up to the starting date of the award period (excluding period of study interruption, if any) are eligible to apply for the Scholarship.
- (b) The Scholarship is a one-off cash award and the value of the award is HK\$60,000. Scholarship holders are not allowed to hold the Research Tuition Scholarship concurrently.

31.8. Chow Yei Ching School of Graduate Studies Entrance Scholarships (Applicable to government-funded students only)

(Please refer to Appendix 25 for "Regulations Governing Chow Yei Ching School of Graduate Studies Entrance Scholarships".)

- (a) The purpose of the Chow Yei Ching School of Graduate Studies Entrance Scholarships is to encourage outstanding international students to undertake MPhil or PhD studies at the University with a view to promoting academic exchange and enhancing the international mix of the University's student population.
- (b) The Scholarship is to cover students' tuition and on-campus hostel accommodation fees in their first year of research studies (equivalent to approximately HK\$81,096). If granted

a Scholarship, the student's full-time tuition and hostel accommodation fees in the first year of study will be off-set by the award.

31.9. Financial Assistance/Awards for Self-financed (Institutional-funded) Students

- (a) Self-financed (Institutional-funded) students will be given a postgraduate studentship funded by non-UGC/external funds during the stipulated study period. The value of the studentship should normally be the same as that of the postgraduate studentship of government-funded research students. Students are required to comply with the terms and conditions as stipulated under the *"Regulations Governing Postgraduate Studentship"*.
- (b) Self-financed (Institutional-funded) students are required to pay self-financing tuition fee. They will be provided with an Institutional Research Tuition Grant automatically to cover 50% of the full-time self-financing tuition fees during their entire candidature. Students with outstanding academic performance are eligible to apply for the Institutional Research Tuition Scholarship, which covers the remaining 50% of full-time self-financing tuition fees. *Please refer to Appendix 28 for "Regulations Governing Institutional Research Tuition Scholarship"*.
- (c) Subject to the availability of non-UGC/external funds, institutional-funded students will be eligible to apply for Conference Grants up to a maximum value of HK\$10,000 each, and Research Activities Fund up to a maximum cumulative value of HK\$30,000 during their entire period of candidature. Details of the terms and conditions of these two financial assistances will be the same as those for conference grants and research activities funds supported by government funds.

31.10. Tuition Waiver Scheme for Local Research Postgraduate Students Studying Full-time UGC-funded Programmes

In 2018/19, the University Grants Committee (UGC) has launched a Tuition Waiver Scheme for local Research Postgraduate (RPg) students. All eligible local students enrolled in UGC-funded RPg programmes will be provided with tuition waiver to cover the entire tuition fee at current rate of HK\$42,100 per year during the normative study period. The University will waive the tuition fees of the local students upon verification of their eligibility. Application is not required for the tuition waiver. Please visit: https://www.ugc.edu.hk/eng/rgc/funding_opport/tws.html for eligibility and other details. In case of any dispute, decision of the UGC and the UGC Secretariat shall be final.

31.11. Government and CityU Grants and Loans

- (a) The government and the University offer various kinds of grants and loans to help students who are in financial need. The major financial schemes available are as follows:
 - The Government Local Student Finance Scheme (for full-time local government-funded students only)
 - The Government Non-means Tested Loan Scheme (for local students only)
 - CityU Financial Assistance Scheme (for full-time local government-funded students only)
 - CityU Emergency Fund (for full-time students only)
 - Temporary Emergency Loans for Research Students (for studentship recipients only)

- (b) Enquiries on the above schemes should be directed to the Student Development Services.

31.12. External Financial Awards and Assistance

There are also various kinds of external financial awards and assistance granted on the basis of academic merit or financial need. For details, please visit the Student Development Services web page (<http://www.cityu.edu.hk/sds/>) or watch out for its notices.

32.ACADEMIC HONESTY

32.1. Academic Honesty

- (a) Academic honesty is central to the conduct of academic work. To enhance students' understanding on academic honesty, all new students admitted in Semester A are required to complete the online tutorial and quiz, and submit the online declaration on or before **30 November** in order to **access their grade results online**. Detailed information will be provided to students at the beginning of Semester A on the following website: http://www.cityu.edu.hk/provost/academic_honesty/
- (b) Online Tutorial & Declaration Deadline
30 November for Semester A and summer admissions
30 April for Semester B admissions

32.2. Plagiarism

- (a) Plagiarism is a form of Academic Dishonesty and students should be made aware of how to cite references appropriately, thereby avoiding plagiarism.
- (b) Information on referencing is available at the following website:
Run Run Shaw Library, City University of Hong Kong - Citing Sources of Information
<http://libguides.library.cityu.edu.hk/citing>

33.STUDENT COMPLAINTS

(Please refer to Appendix 30 for "Student Complaints Procedure".)

City University of Hong Kong is committed to providing a high quality education experience to students, fully supported by a range of academic and administrative services and facilities. Occasionally things may go wrong, and when this happens, the University has devised a set of procedures which enable students to express their concerns or dissatisfaction. For more details on the Student Complaints Procedure, please visit the website: <http://www6.cityu.edu.hk/stdcomplaint/>.

34.SAFETY POLICY

34.1. It is the policy of the City University of Hong Kong to provide and promote high standards of environmental conditions appropriate to the activities conducted in its buildings and facilities. All staff and students play an important role in ensuring the smooth implementation of the safety policy. They are required

- (a) to familiarize themselves with, and conform to, the safety policies at all times;
- (b) to observe all safety regulations, practices and procedures at all times;
- (c) to wear appropriate safety equipment and use appropriate safety devices in accordance with rules and procedures;
- (d) to conform to all instructions issued by appropriate authorities;
- (e) to report all accidents and damage of property to their supervisor, Departmental Safety Officer or security personnel, where appropriate;
- (f) to make appropriate suggestions designed to improve health and safety to their supervisor and Departmental Safety Officer;
- (g) to inform their supervisor or Departmental Safety Officer of any hazard that may be introduced as a result of their work;
- (h) to be responsible for their personal safety.

34.2. For more details on University's safety guidelines and regulations, please visit the Safety, Health and Environment website (<http://www.cityu.edu.hk/fmo>).

35.COMMUNICATION CHANNELS

35.1. CityU Postgraduate Association

The CityU Postgraduate Association (CUPA) is an official postgraduate student body at the University, with its members covering taught postgraduate, professional doctorate and research degree students. CUPA serves as a communication channel between postgraduate students and the University. Its key objective is to promote a better academic environment and research culture in the University by encouraging communication and interaction among postgraduate students. Please contact CUPA for details of activities:

CUPA Office:	R6167, 6/F Bank of China (Hong Kong) Complex
Tel/Fax:	3442-5662/3442-0221
E-mail:	a-cupa@cityu.edu.hk
Website:	https://www.cupacityu.com/
Postgraduate student common room:	R6163, 6/F Bank of China (Hong Kong) Complex

35.2. SGS Website

SGS maintains its website (<http://www.cityu.edu.hk/sgs/>) to facilitate the dissemination of information to students and staff of the University. Information posted on the website includes announcements of activities and events, up-to-date regulations and guidelines, lists of approved courses for research students, and various application forms related to research degree studies. Students are invited to visit the SGS website to view updates on the latest information related to research degree studies.

35.3. Electronic ID (EID)

To facilitate your access to all the IT facilities and services of the University, a single unified electronic ID (EID) has been assigned to you for the duration of your study at CityU. Once you have activated your EID and set up a password, you can login to your e-mail account, Portal and other network facilities of the University immediately.

35.4. E-mail Account

Students will be given an e-mail account in the following format: "EID-c@my.cityu.edu.hk". As e-mail is a more personal and convenient means of communication, SGS uses it as a formal channel with which for disseminating notices and announcements to research students. Students are advised to check their e-mail box regularly.

35.5. CityU Portal

- (a) The Portal provides students with a personalised Web interface to the University's communications and electronic resources. Students can log onto the Portal from the CityU homepage (Quick Links) using their EID.
- (b) The Portal provides access to AIMS, through which students can check such information as registration details, fee payment account balance, class timetables, examination information and coursework results.

35.6. Up-to-date Students' Contact Information and Personal Data

- (a) To facilitate communication between the University and its students, it is important for students to keep the University informed of any changes to their contact information (e.g. telephone number, correspondence address, emergency contact information, etc.). Such changes should be made via Portal as below:
 - Select "Quick Links to Portal" from the CityU homepage
 - Select "Login" and enter your electronic ID and password
 - Select "AIMS"
 - Click on "Personal Information", then "Personal Data for Communication".
- (b) Students who need to update their personal data (e.g. name) should send in writing the updated data, together with any supporting documents (e.g. HKID card, etc.), to SGS for processing.

APPENDICES

Appendix 1a: Regulations for the Research Degrees of Master of Philosophy and Doctor of Philosophy (for students commencing on or before 1 August 2019)

RD1 General

- 1.1 The definitions in the University's Academic Regulations shall apply to these Regulations unless stated otherwise.
- 1.2 These Regulations are approved by the Senate upon the recommendation of the Board of Graduate Studies. The administration of the Regulations is handled by the Chow Yei Ching School of Graduate Studies (SGS).

RD2 Nature of the Degrees

- 2.1 The degree of Master of Philosophy (MPhil) shall be awarded to a candidate who has:
 - 2.1.1 successfully completed prescribed coursework requirements, if any;
 - 2.1.2 presented the results of research in a thesis which gives evidence of a sound understanding of the area of study, its context and applicability and makes a contribution to knowledge; and
 - 2.1.3 satisfied the examiners in an oral examination in the subject area of the thesis, and in such other examinations as may be prescribed.
- 2.2 The degree of Doctor of Philosophy (PhD) shall be awarded to a candidate who has:
 - 2.2.1 successfully completed prescribed coursework requirements, if any;
 - 2.2.2 presented the results of research in a thesis which gives evidence of a sound understanding of the area of study, its context and applicability and makes a substantial original contribution to knowledge in the subject area concerned; and
 - 2.2.3 satisfied the examiners in an oral examination in the subject area of the thesis, and in such other examinations as may be prescribed.

RD3 Admission to Candidature

- 3.1 For admission to MPhil candidature, an applicant shall:
 - 3.1.1 hold a relevant Bachelor's degree with first or second class honours (or equivalent qualification) from a recognised university.
- 3.2 For admission to PhD candidature, an applicant shall:
 - 3.2.1 be a current MPhil student in the University who seeks transfer to PhD candidature; or

- 3.2.2 hold a higher degree by research (or equivalent qualification) from a recognised university; or
- 3.2.3 hold a Master's degree (or equivalent qualification) from a recognised university; or
- 3.2.4 hold a Bachelor's degree with first class honours (or equivalent qualification) from a recognised university.
- 3.3 Equivalent qualifications mentioned above shall include relevant professional qualifications or other scholarly achievements recognised by the University.
- 3.4 In addition to the above, an applicant may be required to demonstrate a sufficient command of the English language in which the programme of study and research shall be pursued, or of the Chinese language, if permission is given to present the thesis in that language.
- 3.5 The University may prescribe other additional entry qualifications, as deemed appropriate.

RD4 Registration

- 4.1 A candidate shall register within a period specified by the University.
- 4.2 A candidate may, as a condition of registration, be required to take a preliminary course of study or an examination, written or oral, either before the date of commencement, or during the period of candidature.
- 4.3 A candidate is not allowed to register simultaneously in another programme of study in the University or in any other institution without the prior permission of SGS.

RD5 Full-time and Part-time Modes of Study

- 5.1 An applicant may be admitted, either as a full-time or a part-time candidate.
- 5.2 A candidate may apply for a change in mode of study. If approved, the candidate's period of study will be adjusted accordingly.

RD6 Duration of Study

- 6.1 The study periods for research degree studies are as follows:

Programme of Study and Study Period	Full-time	Part-time
MPhil	2 years	4 years
PhD (students with a master's degree)	3 years / 4 years	6 years / 8 years
PhD (students with a bachelor's degree)	4 years	8 years

Remarks:

For candidates who possess a master's degree, the programme duration shall be determined by Colleges/Schools/Departments. Colleges/Schools may devise their own policy for recommending 3 years or 4 years PhD study (full-time); 6 years or 8 years PhD study (part-time).

For candidates who possess only a bachelor's degree, they will only be considered for admission to 4 years (full-time) or 8 years (part-time).

- 6.2 The duration of candidature, where permission has been given to transfer from MPhil to PhD candidature, is inclusive of the period of MPhil candidature, but should not be less than nine months after the transfer.
- 6.3 Requests for extension of candidature beyond the stipulated study period shall not normally be entertained except in exceptional circumstances. Should there be divergent views between the department concerned and the C/SGSC about the student's application for extension of study, the Committee on Research Degrees Candidature should make a final decision.

RD7 Leave of Absence and Residence Requirements

- 7.1 Candidates who wish to take a leave of absence for the reasons stated below shall apply in writing, if possible, one month before the intended commencement date of leave.
- 7.2 A leave for interruption of studies for non-academic reasons requires the recommendation of the Head of Department and the College/School. Approval of such requests rests with SGS. The leave period, which will not be counted towards the candidate's period of study, should not normally accumulate to more than 12 months.
- 7.3 Study leave for academic purposes outside Hong Kong requires the recommendation of the Head of Department and the College/School. Approval of such requests rests with SGS. The leave period, which will be counted towards the candidate's period of study, should not accumulate to exceed half of the stipulated study period.
- 7.4 A candidate who is receiving regular supervision in Hong Kong or in a designated location approved by the Board of Graduate Studies is classified as being in residence. The required residence period for research degree studies is equivalent to half of the relevant period of study.

RD8 Structure of the Degrees

- 8.1 The degrees of MPhil and PhD shall consist of coursework and independent research studies culminating in the submission of a thesis.
- 8.2 Candidates are required to fulfil the following minimum coursework requirements during their period of candidature:
 - 8.2.1 MPhil: 7 credit units
PhD: 14 credit units and
 - 8.2.2 for research students who commence their studies on or after 1 June 2008: A compulsory course on teaching and learning (1 credit unit)

8.2.3 Pursuant to RD8.2.1, research students who commence their studies on or after 1 June 2009 should fulfil the stipulated coursework structure as determined by their College, School and Department, with the following minimum core course requirement:

MPhil: at least 2 credit units of core course(s) which shall be research methodology or foundation course(s) at postgraduate level;

PhD: at least 4 credit units of core courses which shall include at least 2 credit units of research methodology or foundation course(s) at postgraduate level.

8.3 Exemption from coursework requirements may be granted only in exceptional circumstances. Such requests require the approval of the College/School upon the recommendation of the Head of Department.

8.4 Credit transfer may be allowed for candidates who possess postgraduate or other qualifications of relevance to their research studies. Such requests require the approval of the College/School upon the recommendation of the Head of Department.

8.5 The “Academic Regulations for Taught Postgraduate Degrees” stipulated by the University with respect to grading of courses, illness or other circumstances related to assessment, review of course grades and repeating course to improve grade shall apply to the coursework assessment of research degree students.

8.6 Except for the thesis component, the “University Assessment Policy and Principles for Taught Programmes” with respect to assessment policy, principles and procedures shall apply to the research degree programmes.

RD9 Qualifying Period

9.1 Candidates are required to submit a qualifying report within the specified qualifying periods as follows:

Full-time: Within 6-12 months from commencement of study

Part-time: Within 9-18 months from commencement of study

9.2 A qualifying report shall include a survey of the relevant literature, an identification of a specific research topic, the research methodology and a discussion on the possible outcome.

9.3 The qualifying report shall be assessed by the respective qualifying panels. Candidates who have been confirmed as qualified for their studies are required to submit a progress report on an annual basis until they complete their theses and other academic requirements.

RD10 Qualifying Panel and Supervision

- 10.1 The College/School shall appoint a qualifying panel for each candidate, upon the recommendation of the Department.
- 10.2 The Panel shall consist of at least three members including the proposed supervisor of the candidate who shall be its chairperson. The supervisor, and at least one of the other members, shall be from the Department concerned.
- 10.3 The Panel shall:
 - 10.3.1 identify and prescribe coursework for the candidate;
 - 10.3.2 assess the qualifying report and monitor the candidate's performance in coursework;
 - 10.3.3 assess the candidate's performance by conducting an interview, oral examination or presentation, as deemed appropriate, for the purpose of confirmation of candidature;
 - 10.3.4 recommend to SGS, after the assessment mentioned above, on the candidate's suitability to continue the study, or to transfer from MPhil to PhD candidature or vice versa;
 - 10.3.5 recommend termination of candidature if the candidate's academic performance is unsatisfactory;
 - 10.3.6 monitor the progress of the candidate through the supervisor for the entire duration of the candidature and report to SGS annually;
 - 10.3.7 certify, before a thesis is submitted for examination, that the candidate has satisfied all coursework requirements.

RD11 Termination of Study

- 11.1 A candidate's failure to observe the University's regulations and guidelines may result in termination of candidature.
- 11.2 Unsatisfactory academic performance may result in termination of a candidate's study.

RD12 Submission of Theses

- 12.1 A candidate shall give three months' notice of intention to submit the thesis. Such notice shall be given together with the proposed title of the thesis, an abstract of the thesis, and the examination fee.
- 12.2 The candidate shall, by the intended submission date, submit a thesis embodying the results of the research undertaken, together with:
 - 12.2.1 a short abstract of some 200-300 words summarising the content of the thesis;

- 12.2.2 a certificate signed by the candidate to the effect that the candidate is the author of the thesis and that it has not been submitted for a higher degree or any other award of this or any other institution;
- 12.2.3 a statement on the extent of the collaboration, if any part of the work has been carried out in collaboration with another person, identifying the parts of the thesis which are not the result of the candidate's own work.
- 12.3 The thesis submitted shall be in the form prescribed in the "Regulations Governing the Format of Theses".
- 12.4 Normally, a thesis is expected to be submitted not earlier than three months for MPhil candidates and six months for PhD candidates before the expiry of the period of study. Early submission of theses before the said date requires special approval of SGS.
- 12.5 Assessment of the quality of thesis shall rest with the Panel of Examiners.

RD13 Content of Theses

- 13.1 A candidate may not submit, as the main content of the thesis, work previously accepted for a degree or other awards of the University or any other institution, but may incorporate such work in the thesis if the work or material which has been so incorporated is specified.
- 13.2 The thesis shall include a detailed statement of the sources of information used in the preparation of the thesis.

RD14 Thesis Examination

- 14.1 The thesis examination will include thesis assessment, an oral examination and such other examinations as may be required by the Panel of Examiners. If the thesis is confirmed to be of the required academic standard by the Panel of Examiners, an oral examination will be arranged. The oral examination is compulsory.
- 14.2 The Panel of Examiners for the thesis shall be appointed by SGS upon the recommendation of the College/School and the Head of Department. It shall consist of:
 - 14.2.1 For MPhil -
 - Panel Chair (who is an Internal Examiner)
 - One External Examiner
 - The supervisor of the candidate
 - 14.2.2 For PhD -
 - Panel Chair (who is an Internal Examiner)
 - Two examiners, of whom at least one must be an external examiner
 - The supervisor of the candidate

RD15 Examination Results

- 15.1 The recommendation of the Panel of Examiners shall be submitted to SGS.
- 15.2 A candidate who has satisfied all the requirements for the degree shall be recommended by the Panel of Examiners for award of the degree.
- 15.3 A candidate who is required to make minor revisions to the thesis, but has satisfied all other requirements, may be recommended for the award of the relevant degree, subject to resubmission of the thesis after making minor revisions, as indicated by the examiners.
- 15.4 A candidate who is not recommended for the award of the relevant degree may be allowed to submit a revised thesis for a second examination.
- 15.5 A PhD candidate may be recommended for the award of an MPhil degree if the thesis is assessed to be below the standard expected of a PhD thesis but is considered to have fulfilled the standard required for an MPhil degree.
- 15.6 A candidate may be deemed to have failed in the examination and shall not be permitted to resubmit the thesis for a second examination.

RD16 Appeal

- 16.1 Candidates may make an appeal in writing to SGS on matters relating to their research degree studies.
- 16.2 An appeal against the thesis examination results should be made in writing to the Dean of Graduate Studies through SGS within one month of notification of the results. The appeal shall be considered only if there has been a material administrative error, or some other material irregularity. The decision of the Dean of Graduate Studies shall be final.

Appendix 1b: Regulations for the Research Degrees of Master of Philosophy and Doctor of Philosophy (for students commencing on or after 1 September 2019)

RD1 General

- 1.1 The definitions in the University's Academic Regulations shall apply to these Regulations unless stated otherwise.
- 1.2 These Regulations are approved by the Senate upon the recommendation of the Board of Graduate Studies. The administration of the Regulations is handled by the Chow Yei Ching School of Graduate Studies (SGS).

RD2 Nature of the Degrees

- 2.1 The degree of Master of Philosophy (MPhil) shall be awarded to a candidate who has:
 - 2.1.1 successfully completed prescribed coursework requirements, if any;
 - 2.1.2 presented the results of research in a thesis which gives evidence of a sound understanding of the area of study, its context and applicability and makes a contribution to knowledge; and
 - 2.1.3 satisfied the examiners in an oral examination in the subject area of the thesis, and in such other examinations as may be prescribed.
- 2.2 The degree of Doctor of Philosophy (PhD) shall be awarded to a candidate who has:
 - 2.2.1 successfully completed prescribed coursework requirements, if any;
 - 2.2.2 presented the results of research in a thesis which gives evidence of a sound understanding of the area of study, its context and applicability and makes a substantial original contribution to knowledge in the subject area concerned; and
 - 2.2.3 satisfied the examiners in an oral examination in the subject area of the thesis, and in such other examinations as may be prescribed.

RD3 Admission to Candidature

- 3.1 For admission to MPhil candidature, an applicant shall:
 - 3.1.1 hold a relevant Bachelor's degree with first or second class honours (or equivalent qualification) from a recognised university.
- 3.2 For admission to PhD candidature, an applicant shall:
 - 3.2.1 be a current MPhil student in the University who seeks transfer to PhD candidature; or

- 3.2.2 hold a higher degree by research (or equivalent qualification) from a recognised university; or
- 3.2.3 hold a Master's degree (or equivalent qualification) from a recognised university; or
- 3.2.4 hold a Bachelor's degree with first class honours (or equivalent qualification) from a recognised university.
- 3.3 Equivalent qualifications mentioned above shall include relevant professional qualifications or other scholarly achievements recognised by the University.
- 3.4 In addition to the above, an applicant may be required to demonstrate a sufficient command of the English language in which the programme of study and research shall be pursued, or of the Chinese language, if permission is given to present the thesis in that language.
- 3.5 The University may prescribe other additional entry qualifications, as deemed appropriate.

RD4 Registration

- 4.1 A candidate shall register within a period specified by the University.
- 4.2 A candidate may, as a condition of registration, be required to take a preliminary course of study or an examination, written or oral, either before the date of commencement, or during the period of candidature.
- 4.3 A candidate is not allowed to register simultaneously in another programme of study in the University or in any other institution without the prior permission of SGS.

RD5 Full-time and Part-time Modes of Study

- 5.1 An applicant may be admitted, either as a full-time or a part-time candidate.
- 5.2 A candidate may apply for a change in mode of study. If approved, the candidate's period of study will be adjusted accordingly.

RD6 Duration of Study

- 6.1 The study periods for research degree studies are as follows:

Programme of Study	Full-time	Part-time
MPhil	2 years	4 years
PhD	4 years	8 years

- 6.2 The duration of candidature, where permission has been given to transfer from MPhil to PhD candidature, is inclusive of the period of MPhil candidature, but should not be less than nine months after the transfer.

- 6.3 Requests for extension of candidature beyond the stipulated study period shall not normally be entertained except in exceptional circumstances. Should there be divergent views between the department concerned and the C/SGSC about the student's application for extension of study, the Committee on Research Degrees Candidature should make a final decision.

RD7 Leave of Absence and Residence Requirements

- 7.1 Candidates who wish to take a leave of absence for the reasons stated below shall apply in writing, if possible, one month before the intended commencement date of leave.
- 7.2 A leave for interruption of studies for non-academic reasons requires the recommendation of the Head of Department and the College/School. Approval of such requests rests with SGS. The leave period, which will not be counted towards the candidate's period of study, should not normally accumulate to more than 12 months.
- 7.3 Study leave for academic purposes outside Hong Kong requires the recommendation of the Head of Department and the College/School. Approval of such requests rests with SGS. The leave period, which will be counted towards the candidate's period of study, should not accumulate to exceed half of the stipulated study period.
- 7.4 A candidate who is receiving regular supervision in Hong Kong or in a designated location approved by the Board of Graduate Studies is classified as being in residence. The required residence period for research degree studies is equivalent to half of the relevant period of study.

RD8 Structure of the Degrees

- 8.1 The degrees of MPhil and PhD shall consist of coursework and independent research studies culminating in the submission of a thesis. Students enrolled in PhD programme are required to take and pass a qualifying examination within the stipulated period in order to confirm the PhD candidacy.
- 8.2 Candidates are required to fulfil the following minimum coursework requirements during their period of candidature:
- 8.2.1 MPhil: 7 credit units
PhD: 14 credit units and
- and
- 8.2.2 for research students who commence their studies on or after 1 June 2008: A compulsory course on teaching and learning (1 credit unit)
- 8.2.3 Pursuant to RD8.2.1, research students should fulfil the stipulated coursework structure as determined by their College, School and Department, with the following minimum core course requirement:

MPhil: at least 2 credit units of research methodology and ethics course at postgraduate level;

PhD: at least 9 credit units of core courses and at least 2 credit units of research methodology and ethics course at postgraduate level.

- 8.3 Core courses requirement aims to equip students with solid training and sufficient knowledge in the specific research discipline.
- 8.4 Exemption from coursework requirements may be granted only in exceptional circumstances. Such requests require the approval of the College/School upon the recommendation of the Head of Department.
- 8.5 Credit transfer may be allowed for candidates who possess postgraduate or other qualifications of relevance to their research studies. Such requests require the approval of the College/School upon the recommendation of the Head of Department.
- 8.6 The “Academic Regulations for Taught Postgraduate Degrees” stipulated by the University with respect to grading of courses, illness or other circumstances related to assessment, review of course grades and repeating course to improve grade shall apply to the coursework assessment of research degree students.
- 8.7 Except for the thesis component, the “University Assessment Policy and Principles for Taught Programmes” with respect to assessment policy, principles and procedures shall apply to the research degree programmes.
- 8.8 PhD students are required to take and pass a qualifying examination within 10-24 months (full-time) or 20-48 months (part-time) after commencement of PhD studies. The qualifying examination aims to test students’ knowledge of major subject area of their research disciplines and assess their readiness to conduct research in their specific research discipline.
- 8.9 The qualifying examination shall consist of written examination. A maximum of two attempts will be allowed. Those who fail the qualifying examination after two attempts will be recommended for termination of study.

RD9 Qualifying and Annual Progress Report

- 9.1 Candidates are required to submit a qualifying report within the specified periods as follows:

Full-time: Within 6-12 months from commencement of study

Part-time: Within 9-18 months from commencement of study

- 9.2 A qualifying report shall include a survey of the relevant literature, an identification of a specific research topic, the research methodology and a discussion on the possible outcome.
- 9.3 The qualifying report shall be assessed by the respective qualifying panels. Assessment will include a compulsory oral examination and other examination as may be required by

the qualifying panel. Candidates who have been confirmed as qualified for their studies are required to submit a progress report on an annual basis until they complete their theses and other academic requirements.

RD10 Qualifying Panel and Supervision

- 10.1 The College/School shall appoint a qualifying panel for each candidate, upon the recommendation of the Department.
- 10.2 The Panel shall consist of at least three members including the proposed supervisor of the candidate who shall be its chairperson. The supervisor, and at least one of the other members, shall be from the Department concerned.
- 10.3 The Panel shall:
 - 10.3.1 identify and prescribe coursework for the candidate;
 - 10.3.2 assess the qualifying report and monitor the candidate's performance in coursework;
 - 10.3.3 assess the candidate's performance by conducting an interview, oral examination or presentation, as deemed appropriate, for the purpose of confirmation of candidature;
 - 10.3.4 recommend to SGS, after the assessment mentioned above, on the candidate's suitability to continue the study, or to transfer from MPhil to PhD candidature or vice versa;
 - 10.3.5 recommend termination of candidature if the candidate's academic performance is unsatisfactory;
 - 10.3.6 monitor the progress of the candidate through the supervisor for the entire duration of the candidature and report to SGS annually;
 - 10.3.7 certify, before a thesis is submitted for examination, that the candidate has satisfied all coursework requirements.

RD11 Termination of Study

- 11.1 A candidate's failure to observe the University's regulations and guidelines may result in termination of candidature.
- 11.2 Unsatisfactory academic performance may result in termination of a candidate's study.
- 11.3 Failure in qualifying examination will result in termination of candidature.

RD12 Submission of Theses

- 12.1 A candidate shall give three months' notice of intention to submit the thesis. Such notice shall be given together with the proposed title of the thesis, an abstract of the thesis, and the examination fee.
- 12.2 The candidate shall, by the intended submission date, submit a thesis embodying the results of the research undertaken, together with:
 - 12.2.1 a short abstract of some 200-300 words summarising the content of the thesis;
 - 12.2.2 a certificate signed by the candidate to the effect that the candidate is the author of the thesis and that it has not been submitted for a higher degree or any other award of this or any other institution;
 - 12.2.3 a statement on the extent of the collaboration, if any part of the work has been carried out in collaboration with another person, identifying the parts of the thesis which are not the result of the candidate's own work.
- 12.3 The thesis submitted shall be in the form prescribed in the "Regulations Governing the Format of Theses".
- 12.4 Normally, a thesis is expected to be submitted not earlier than three months for MPhil candidates and six months for PhD candidates before the expiry of the period of study. Early submission of theses before the said date requires special approval of SGS.
- 12.5 Assessment of the quality of thesis shall rest with the Panel of Examiners.

RD13 Content of Theses

- 13.1 A candidate may not submit, as the main content of the thesis, work previously accepted for a degree or other awards of the University or any other institution, but may incorporate such work in the thesis if the work or material which has been so incorporated is specified.
- 13.2 The thesis shall include a detailed statement of the sources of information used in the preparation of the thesis.

RD14 Thesis Examination

- 13.1 The thesis examination will include thesis assessment, an oral examination and such other examinations as may be required by the Panel of Examiners. If the thesis is confirmed to be of the required academic standard by the Panel of Examiners, an oral examination will be arranged. The oral examination is compulsory.
- 13.2 The Panel of Examiners for the thesis shall be appointed by SGS upon the recommendation of the College/School and the Head of Department. It shall consist of:

- 13.2.1 For MPhil -
 - Panel Chair (who is an Internal Examiner)
 - One External Examiner
 - The supervisor of the candidate
- 13.2.2 For PhD -
 - Panel Chair (who is an Internal Examiner)
 - Two examiners, of whom at least one must be an external examiner
 - The supervisor of the candidate

RD15 Examination Results

- 14.1 The recommendation of the Panel of Examiners shall be submitted to SGS.
- 14.2 A candidate who has satisfied all the requirements for the degree shall be recommended by the Panel of Examiners for award of the degree.
- 14.3 A candidate who is required to make minor revisions to the thesis, but has satisfied all other requirements, may be recommended for the award of the relevant degree, subject to resubmission of the thesis after making minor revisions, as indicated by the examiners.
- 14.4 A candidate who is not recommended for the award of the relevant degree may be allowed to submit a revised thesis for a second examination.
- 14.5 A PhD candidate may be recommended for the award of an MPhil degree if the thesis is assessed to be below the standard expected of a PhD thesis but is considered to have fulfilled the standard required for an MPhil degree.
- 14.6 A candidate may be deemed to have failed in the examination and shall not be permitted to resubmit the thesis for a second examination.

RD16 Appeal

- 16.1 Candidates may make an appeal in writing to SGS on matters relating to their research degree studies.
- 16.2 An appeal against the thesis examination results should be made in writing to the Dean of Graduate Studies through SGS within one month of notification of the results. The appeal shall be considered only if there has been a material administrative error, or some other material irregularity. The decision of the Dean of Graduate Studies shall be final.

Appendix 2: Guidelines Governing the Admission of Research Students Using UGC-related Funds

Introduction

1. This set of guidelines is to govern admission of full-time students whose studentship is financed by UGC-related funds under the “within 40% above the UGC quota” category.
2. UGC-related funds mentioned above include UGC/RGC Block grants, UGC/RGC grants (e.g. GRF, CAV/CRF, AoD matching grants, etc.)

Admission

3. Applications for admission of students supported by UGC-related funds during their entire candidature of study should be processed using the fast-track admission route.
4. Applicants recommended for admission through this route should satisfy the entrance requirements and any other requirement stipulated by the University and the College/School.
5. If a student is admitted through a research project grant, the grant holder should normally be the student’s supervisor. Under special circumstances, the funding support could also be come from co-supervisor and qualifying panel member.

Studentship Award Period and Cessation of Funding

6. The value of the studentship award should normally be the same as that of the postgraduate studentship for UGC-allocated research students. The funding period should normally be two years for an MPhil, three years for a full-time 3-year PhD student, or four years for a direct-entry full-time 4-year PhD student. *(depending on the entry qualifications, normal study period and availability of funds)*
7. The studentship will be renewed annually, subject to the student’s satisfactory performance, and to the availability of funding to continue studentship payments.
8. If the funding ceases during a student’s period of candidature, the supervisor and the Department should devise ways to support the student for the remainder of his or her candidature using UGC-related funds. If no funding is available for this purpose, termination of the student’s candidature may be considered.
9. If a student’s academic performance is judged to be unsatisfactory by the supervisor, the Department and the College, the studentship provision may be discontinued. In such circumstances, the student’s candidature will be terminated simultaneously.

Fees, Financial Awards and Academic-Related Duties

10. Such students should abide by the University’s regulations and guidelines.
11. They should pay the same level of fees as UGC-allocated students.

12. They are eligible to apply for financial award provided by UGC funds, including research tuition scholarships, conference grants and Research Activities Fund, etc.
13. They are encouraged to undertake academic-related duties to enrich their educational experience, as is the case with regular research students.

Appendix 3: Guidelines Governing the Admission of Externally-funded and Self-financing Research Students

Introduction

1. This set of guidelines is to govern the students admitted to research degree studies using “beyond the 40% cap” category:
 - (a) Full-time students whose studentship is financed by external funds;
 - (b) Part-time students whose research expenses are financed by external funds;
 - (c) Full-time/part-time students whose studies are self-financed.
2. External funds mentioned above include non-UGC/RGC grants, departmental non-UGC funds, students funded by ITF funds, teaching company schemes, donations, industrial grants, external grants and scholarships, etc.

Admission

3. Applications for admission of externally-funded/self-financing research students should be processed using the fast-track admission route.
4. Applicants recommended for admission through this route should satisfy the entrance requirements and any other requirement stipulated by the University and the College/School.

Fee Payment

5. Externally-funded/self-financing research students are required to pay the stipulated level of tuition fees (i.e. twice the level of fees set for UGC-funded programmes) during their entire candidature of study. When the UGC fees are revised, the same revisions will be made to the tuition fees for externally-funded/self-financing research students.
6. Apart from tuition fees mentioned above, externally-funded/self-financing students are also required to pay other fees, the same as that of UGC-allocated and UGC-related research students. Payment arrangements adopted for UGC-allocated and UGC-related students will also apply to self-financing students.

Responsibility and Entitlement

7. Such students should abide by the University’s regulations and guidelines. All regulations and procedures related to research degree studies shall apply to externally-funded/self-financing research students unless otherwise specified.
8. They will not be provided with financial support (e.g. studentships, research tuition scholarships, conference grants, research activities funds, etc.) from UGC funds.
9. Externally-funded/Self-financing students are encouraged to undertake academic-related duties to enrich their educational experience, as is the case with UGC-allocated and UGC-related research students.

Appendix 4: Guidelines Governing the Admission of Visiting Research Students

Eligibility

1. Students enrolling in a postgraduate programme in a recognised university may apply for admission as visiting research students to pursue their research studies at the University.

Admission

2. Applicants shall submit an application to the Chow Yei Ching School of Graduate Studies (SGS), together with a recommendation letter from their present university. These applications will be forwarded to the relevant Schools/Departments for approval.

Registration

3. An applicant who has been offered admission shall pay a research component fee and complete the registration procedures in person at SGS within the specified registration period. A visiting student identity card, valid for the period of the student's stay at the University, will be issued upon completion of the registration procedures.
4. Visiting research students who undertake taught courses will be required to pay additional fees calculated on a credit unit basis.
5. Such students will not be registered in a specific programme of study, and their study at the University will not lead to a degree or other awards of the University.

Study Period

6. The minimum study period for visiting research study shall be two months and the maximum study period shall normally be one year. Applications for a study period of more than one year or for subsequent extension of study will be considered on a case-by-case basis.

Supervisory Arrangement

7. Each visiting research student will be attached to a Department, which is responsible for looking after the student's study at the University.
8. Departments shall assign a staff member to be the supervisor of a visiting research student, who will supervise and monitor the student's progress throughout his or her stay at the University.
9. Upon the recommendation of their supervisors, visiting research students may undertake taught courses as regular students do, subject to the approval of the relevant Heads of Department.
10. The coursework assessment results shall be recorded in the academic report issued to visiting research students at the end of their stay at the University. Such students may liaise with their own university regarding credit transfer arrangements.

Responsibility and Entitlement

11. Visiting research students shall observe the rules and regulations prescribed by the University.
12. Visiting research students are eligible to apply for residential accommodation available on campus. They can also gain access to essential library and computing services and facilities as well as sports facilities.
13. Visiting research students are not entitled to any financial assistance/award, such as the Postgraduate Studentship and Research Tuition Scholarship. They are also not eligible for medical and dental benefits. Therefore, students are strongly advised to acquire travel insurance, and any other medical or insurance coverage they consider necessary for their stay in Hong Kong.
14. At the end of their study at the University, visiting research students will be issued an academic report, detailing, amongst other things, their period of stay at the University and the coursework, if any, they have undertaken.

Appendix 5: Guidelines Governing Joint PhD Programmes with Overseas Universities

Definition

1. The “joint PhD programme” refers to the joint offer of a full-time PhD programme between CityU and another university of good standing. It is characterized by a single degree awarded for one PhD thesis recognized by both universities. Upon successful completion of study, the student will receive either a single award certificate jointly issued and signed by CityU and partner university, or two separate award certificates with CityU’s indicating that the PhD degree is awarded for successful completion of the joint programme with the partner university. In either case, the template approved by the University will have to be followed.

Purpose

2. The purposes of introducing the joint PhD programme include, among other things, strengthening our links with the partner institution, capitalising on both institutions’ research facilities and resources, as well as facilitating research collaboration. It can also help enrich the student’s international study experiences.
3. In view of the above, before entering a joint programme agreement with a university, CityU should consider if the above purposes are met. In choosing the collaborating university, academic complementarity should also be taken into account. For details of the criteria for establishing joint PhD programmes with overseas universities, and the related study models and financial arrangements, please refer to the “Guidelines and Strategies for Development of Joint PhD Programmes with Overseas Universities”.

Approval

4. The introduction of a joint PhD programme requires the approval of the Senate following the “Guidelines and Strategies for Development of Joint PhD Programmes with Overseas Universities”.

Student Admission

5. Admission of students to the joint programme should be approved through normal admission procedures. Students admitted should satisfy the minimum entrance requirement and English proficiency requirement specified by both the University and individual Colleges/Schools, if applicable.

Residence Requirement

6. Both outbound CityU and inbound partner university students are required to fulfil the University’s residence requirement (the required residence period is equivalent to half of the period of PhD candidature); that is 1.5 years for 3-year PhD or 2 years for 4-year PhD programme.

Regulation and Academic Requirement

7. Students should observe the University's regulations and guidelines at all times. All regulations and procedures related to PhD students shall apply to students admitted to the joint programme unless otherwise specified.
8. Students should fulfil the normal coursework requirement of 14 credit units. Credit transfer for up to 50% of the programme's required credit units is allowed. Students also need to submit a qualifying report and an annual progress report by the stipulated date. By the end of the study period, students should submit a thesis for assessment.

Supervision

9. A supervisor will be appointed from each of the institutions to supervise the student's study throughout his or her PhD candidature. A joint panel comprising the two supervisors, an additional academic staff member from CityU, and any other members from the partner institution should be formed to oversee the student's study. The two supervisors will co-chair the panel.
10. The joint panel should, among other things:
 - Monitor the student's study progress
 - Assess the qualifying report and the annual progress report
 - Make recommendations concerning the student's suitability to continue with PhD study

Medium of Thesis Presentation and Thesis Assessment

11. The normal medium of thesis presentation is English.
12. A joint examination panel should be formed to assess the thesis and conduct the oral examination. The panel should comprise:
 - Panel Chair (who is also an internal examiner from CityU)
 - Two examiners, of whom at least one must be an external examiner (drawn from institutions separate from the two institutions concerned)
 - The student's supervisor (from CityU)
 - Any other members recommended by the partner university
13. The Panel Chair is responsible for chairing the oral examination as well as assessing the thesis.

Fees, Financial Awards and Student Services

14. Depending on the agreement between CityU and the partner university, two funding models for postgraduate studentship are acceptable for joint PhD programmes with overseas partner universities; namely studentship based on home university or studentship based on study location. Postgraduate studentship and related financial awards will be supported by central funding using non-UGC-funds. Details of these two models are given in the "Guidelines and Strategies for Development of Joint PhD Programmes with Overseas Universities". Academic units should consult the Chow Yei Ching School of Graduate Studies for information.

15. For the case of studentship based on home university, each university is responsible for the studentship of its own student, respectively within the normal study period under the agreed study model, and subject to revision each year.
16. For the case of studentship based on study location, as the definition suggests, the joint PhD student from CityU or partner university will receive a postgraduate studentship offered by CityU or partner university depending on the location of his/her study within the normal study period under the agreed study model, and subject to revision each year.
17. Tuition fee and other relevant fee payment arrangements will be in line with the studentship funding model.
18. Both outbound CityU students and inbound partner university students are not eligible for on-campus accommodation at CityU as they are non-UGC funded students. Students are required to arrange their own accommodation during the course of study.
19. Only joint PhD students from CityU are eligible to apply for research tuition scholarship, conference grant and Research Activities Fund, within the normal study period under the agreed study model, which will be supported by non-UGC funds. The research tuition scholarship, if granted, will be awarded in the form of an exemption from paying CityU tuition fee for one year.
20. Both outbound CityU students and inbound partner university students should arrange their own insurance.
21. Students in the joint PhD programmes will be treated the same as regular research students in terms of student support services provided by the University during the time when they are studying at CityU.

Intellectual Property Rights

22. The intellectual property generated from the student's research should be jointly owned by the two universities. Each party may use such property for research and scholarly purposes.
23. Students should abide by the University's intellectual property policy.
24. To facilitate academic exchange, students will be required to submit both printed and electronic copies of their thesis to CityU; an electronic copy will be uploaded onto online databases for internal and public access.

Exemption from the Guidelines

25. Requests for exemption from any of the guidelines given above should be forwarded to the Chow Yei Ching School of Graduate Studies for consideration.

Appendix 6a: Research Degree Programme Structure of the College of Business

(For students admitted on or after the 1st admission round, 2009)

MPhil Programme

1. Candidates enrolled in the MPhil programme are required to take four courses and complete other relevant coursework, if any, as prescribed by the Qualifying Panels, and write a thesis in Year 2. These four courses are College and University core courses, which are also taken by PhD candidates.

<u>Year 1</u>	SG8001	Teaching Students: First Steps (1 CU, Semester A or B)
	FB8912	Business Research Methods (3 CU, Semester A)
	FB8905	Project (6 CU, Summer)
<u>Year 2</u>	FB8913	Multi-Disciplinary Research Workshop (3 CU, Semesters A and B)

CU: credit unit

2. The above schedule of courses is catered for full-time candidates. For those pursuing part-time studies and admitted in mid-year, the schedule will need to be adjusted in consultation with their Qualifying Panels. In exceptional circumstances where candidates can demonstrate their scholarly attributes to the satisfaction of their Qualifying Panels, they can be exempted from part or all of the courses subject to approval by the College Graduate Studies Committee.
3. Business Research Methods provides a broad overview of business research methods, enables students to understand the fundamental principles of knowledge creation in business research and builds basic research competence.
4. During the summer preceding Year 2, candidates are required to do a Project which helps them gather momentum in writing the thesis.
5. The Multi-Disciplinary Research Workshop in Year 2 is designed for students to understand, appreciate and resolve research issues in conducting contemporary business research. It aims to expose students to a broad range of research across different business disciplines.
6. Each candidate is required to submit a Qualifying Report within a specified period. Subject to satisfactory performance of the candidate in coursework and in Qualifying Report as assessed by the Qualifying Panel established for the candidate, the candidature will be confirmed. Once having been confirmed the MPhil candidature, the candidate will proceed to write the thesis.

PhD Programme

7. PhD candidates will take the same College and University core courses as MPhil candidates. In addition, they have to take an extra course listed below:

<u>Year 3</u>	FB8914	Doctoral Seminar (3 CU, Semester B)
---------------	--------	-------------------------------------

8. Similarly, the above course schedule is catered for full-time candidates. For those pursuing part-time studies and admitted in mid-year, the schedule will need to be adjusted in consultation with their Qualifying Panels. In addition to the five core courses, PhD candidates also need to complete other relevant coursework, if any, as prescribed by the Qualifying Panels. In exceptional circumstances where candidates can demonstrate their scholarly attributes to the satisfaction of their Qualifying Panels, they can be exempted from part or all of the courses, subject to approval by the College Graduate Studies Committee.
9. Doctoral Seminar is concerned with general and cross-disciplinary business research and is a research seminar for all doctoral students particularly in their 3rd year of study. Students joining this seminar are presumed to have completed significant amount of research at the doctoral level since in each week they will need to present their research to the class for in-depth discussion. A primary objective is to broaden students' perspectives in contemporary business research. It also provides opportunities for students to develop research critique and communication skills in presenting and defending their research in a rigorous and constructive manner to a multi-disciplinary audience.
10. Full-time students have to sit for a Comprehensive Examination normally in the summer of Year 2, while part-timers have it later. Its objective is to test students' knowledge of major subject areas of their research disciplines and their ability to integrate the theories and concepts learned from the taught courses, as well as in analysing cases and solving problems. The minimum duration of the Examination is 6 hours, which takes the form of two 3-hour lots. One of them must be written examination while the other can either be a take-home or oral examination.

Guidelines on Monitoring Study Progress of Students in Taught Courses

11. To monitor the study progress of research degree students in their taught courses, the following guidelines will be adopted by the College as appropriate in addition to those stipulated by the University from time to time:

<u>Cumulative GPA</u>	<u>Recommendation</u>
(a) below 2.8	Warning letter will be issued to the student concerned
(b) below 2.5	Suspension of studentship for a specified period (applicable to full-time students only)

Research Output

12. The College strongly encourages research degree students to provide evidence of scholarly work through publications which have been accepted or published by good quality journals during their candidature.

Appendix 6b: Research Degree Programme Structure of the College of Business

(For students admitted on or after the 1st admission round, 2006 (23 March 2006))

MPhil Programme

1. Candidates enrolled in the MPhil programme are required to take six courses and complete other relevant coursework, if any, as prescribed by the Qualifying Panels, and write a thesis in Year 2. These six courses are College core courses, which are also taken by PhD candidates.

<u>Year 1</u>	FB8910	Teaching Students: First Steps <u>or</u>
	SG8001	Teaching Students: First Steps (1 CU, Semester A)
	FB8900	Business Research Methods I (3 CU, Semester A)
	FB8901	Business Research Methods II (Quantitative Methods) (3 CU, Semester B)
		<u>or</u>
	FB8902	Business Research Methods II (Econometrics) (3 CU, Semester B)
		<u>or</u>
	FB8911	Business Research Methods II (Behavioural) (3 CU, Semester B)
		<u>or</u>
		equivalent quantitative-oriented course at graduate level
		Advanced Studies in Subject Area (2 or 3 CU, either in Semester A or Semester B)
	FB8905	Project (6 CU, Summer)

Year 2 FB8906 Asia-Pacific Research Workshop (4 CU, Semesters A & B)
CU: credit unit

2. The above schedule of courses is catered for full-time candidates. For those pursuing part-time studies and admitted in mid-year, the schedule will need to be adjusted in consultation with their Qualifying Panels. In exceptional circumstances where candidates can demonstrate their scholarly attributes to the satisfaction of their Qualifying Panels, they can be exempted from part or all of the courses subject to approval by the College Graduate Studies Committee.
3. Business Research Methods I gives an introduction of the principles of scientific research, knowledge creation, and the formulation of arguments. After completing this course, candidates will take the second research methods course focusing on quantitative methods, behavioural research methodologies or econometric techniques. Advanced Studies in Subject Area is a graduate level course approved by the College Graduate Studies Committee, which serves to increase candidates' understanding of the subject areas into which they are researching.
4. During the summer preceding Year 2, candidates are required to do a Project which helps them gather momentum in writing the thesis.

5. The Asia-Pacific Research Workshop in Year 2 aims to enable students to understand research issues typically encountered in the Asia-Pacific context. The workshops will address different alternatives and their trade-offs in handling various cross-cultural management issues in academic research.
6. Each candidate is required to submit a Qualifying Report within a specified period. Subject to satisfactory performance of the candidate in coursework and in Qualifying Report as assessed by the Qualifying Panel established for the candidate, the candidature will be confirmed. Once having been confirmed the MPhil candidature, the candidate will proceed to write the thesis.

PhD Programme

7. PhD candidates will take the same College core courses as MPhil candidates. In addition, they have to take the extra courses listed below:

<u>Year 1</u>	Elective (2 or 3 CU, either in Semester A or Semester B)
<u>Year 2</u>	Doctoral Studies in Subject Area (2 or 3 CU, either in Semester A or Semester B)
<u>Year 3</u>	FB8908 Doctoral Seminar I (2 CU, Semester A) FB8909 Doctoral Seminar II (2 CU, Semester B)

8. PhD students admitted with MPhil degree may be exempted from taking two College core courses: Advanced Studies in Subject Area and Elective subject to approval of the College Graduate Studies Committee.
9. Similarly, the above schedule of courses is catered for full-time candidates. For those pursuing part-time studies and admitted in mid-year, the schedule will need to be adjusted in consultation with their Qualifying Panels. In exceptional circumstances where candidates can demonstrate their scholarly attributes to the satisfaction of their Qualifying Panels, they can be exempted from part or all of the courses, subject to approval by the College Graduate Studies Committee.
10. MPhil students who wish to transfer to PhD candidature at a later stage are recommended to take the Elective in their first year studies in order to satisfy the requirements of the PhD programme. Alternatively, they can make up for it in Year 2 after having successfully transferred to PhD candidature.

11. Doctoral Studies in Subject Area is a doctoral level course approved by the College Graduate Studies Committee. It serves to enrich students' knowledge of their research areas. The Doctoral Seminars in Year 3 enable students from various disciplines to share experiences among themselves. Doctoral Seminar I in Semester A is concerned with general and cross-disciplinary business research. Each week, the College's doctoral students across disciplines, staff members and visiting faculty present their current research results. The seminar is intended to broaden students' perspectives in contemporary business research and provide students with the opportunity to develop communication skills in presenting and defending ideas. Doctoral Seminar II in Semester B gives students an in-depth exposure to major issues in related research. It is divided into two specialised groups — behavioural and quantitative. The former focuses on the behavioural research in business strategy and organization while the latter concentrates on the quantitative modelling of business processes.
12. Full-time students have to sit for a Comprehensive Examination normally in the summer of Year 2, while part-timers have it later. Its objective is to test students' knowledge of major subject areas of their research disciplines and their ability to integrate the theories and concepts learned from the taught courses, as well as in analysing cases and solving problems. The minimum duration of the Examination is 6 hours, which takes the form of two 3-hour lots. One of them must be written examination while the other can either be a take-home or oral examination.

Guidelines on Monitoring Study Progress of Students in Taught Courses

13. To monitor the study progress of research degree students in their taught courses, the following guidelines will be adopted by the College as appropriate in addition to those stipulated by the University from time to time:

<u>Cumulative GPA</u>	<u>Recommendation</u>
(a) below 2.8	Warning letter will be issued to the student concerned
(b) below 2.5	Suspension of studentship for a specified period (applicable to full-time students only)

Research Output

14. The College strongly encourages research degree students to provide evidence of scholarly work through publications which have been accepted or published by good quality journals during their candidature.

Appendix 6c: Research Degree Programme Structure of the College of Business

(For students admitted in or after the admission round, 2015. The programme structure is under continuous review and may be subject to change.)

MPhil Programme

1. Candidates enrolled in the MPhil programme are required to take three courses and complete other relevant coursework, if any, as prescribed by the Qualifying Panels, and write a thesis in Year 2. These three courses are College and University core courses, which are also taken by PhD candidates.

<u>Year 1</u>	SG8001	Teaching Students: First Steps (1 CU, Semester A/B)
	FB8912	Business Research Methods (3 CU, Semester A)
	FB8905	Project (6 CU, Summer)

CU: credit unit

2. The above schedule of courses is catered for full-time candidates. For those pursuing part-time studies and admitted in mid-year, the schedule will need to be adjusted in consultation with their Qualifying Panels. In exceptional circumstances where candidates can demonstrate their scholarly attributes to the satisfaction of their Qualifying Panels, they can be exempted from part or all of the courses subject to approval by the College Graduate Studies Committee following guidelines stipulated by the University.
3. Business Research Methods provides a broad overview of business research methods, enables students to understand the fundamental principles of knowledge creation in business research and builds basic research competence.
4. During the summer preceding Year 2, candidates are required to do a Project which helps them gather momentum in writing the thesis.
5. Credit transfer and coursework exemption may **not** be possible under the current University's requirement of taking at least 7 CUs for MPhil.
6. Each candidate is required to submit a Qualifying Report within a specified period. Subject to satisfactory performance of the candidate in coursework and in Qualifying Report as assessed by the Qualifying Panel established for the candidate, the candidature will be confirmed. Once having been confirmed the MPhil candidature, the candidate will proceed to write the thesis.

PhD Programme

7. PhD candidates will take the same College and University core courses as MPhil candidates. In addition, they have to take two extra courses listed below:

<u>Year 2</u>		Elective on Advanced Studies (3 CU, Semester A/B)
<u>Year 3</u>	FB8914	Doctoral Seminar (3 CU, Semester A/B)

8. Similarly, the above course schedule is catered for full-time candidates. For those pursuing part-time studies and admitted in mid-year, the schedule will need to be adjusted in consultation with their Qualifying Panels. In addition to the five core courses, PhD candidates also need to complete other relevant coursework, if any, as prescribed by the Qualifying Panels. In exceptional circumstances where candidates can demonstrate their scholarly attributes to the satisfaction of their Qualifying Panels, they can be exempted from part or all of the courses, subject to approval by the College Graduate Studies Committee following guidelines stipulated by the University.
9. Elective on Advanced Studies is a course or a list of courses at postgraduate level (i.e. P5 courses or above) to be decided by respective departments for their PhD students to fulfill the requirement.
10. Doctoral Seminar is concerned with general and cross-disciplinary business research and is a research seminar for all doctoral students particularly in their 3rd year of study. Students joining this seminar are presumed to have completed significant amount of research at the doctoral level since they will need to present their research to the class for in-depth discussion. A primary objective is to broaden students' perspectives in contemporary business research. It also provides opportunities for students to acquire practical skills in managing their academic career.
11. Full-time students have to sit for a Comprehensive Examination administered by individual departments normally in the summer of Year 2, while part-timers have it later. Its objective is to test students' knowledge of major subject areas of their research disciplines and their ability to integrate the theories and concepts learned from the taught courses, as well as in analysing cases and solving problems. The minimum duration of the Examination is 6 hours, which takes the form of two 3-hour lots. One of them must be written examination while the other can either be a take-home or oral examination.

Guidelines on Monitoring Study Progress of Students in Taught Courses

12. To monitor the study progress of research degree students in their taught courses, the following guidelines will be adopted by the College as appropriate in addition to those stipulated by the University from time to time:

<u>Cumulative GPA</u>	<u>Recommendation</u>
(a) below 2.8	Warning letter will be issued to the student concerned
(b) below 2.5	Suspension of studentship for a specified period (applicable to full-time students only)

Research Output

13. The College strongly encourages research degree students to provide evidence of scholarly work through publications which have been accepted or published by good quality journals during their candidature.

Appendix 6d: Research Degree Programme Structure of the College of Business

[For students admitted in or after the admission round, 2016. The programme structure is under continuous review and may be subject to change.]

MPhil Programme

1. MPhil candidates are required to take following courses; complete other relevant coursework, if any, as prescribed by their home departments and Qualifying Panels; and write a thesis.

Year 1 SG8001 Teaching Students: First Steps (1 CU, Semester A/B), and Course(s) from home department of at least 4 credit units which shall include at least 2 credit units of research methodology or foundation course at postgraduate (R8) level

Year 2 Course(s) outside home department but within CB of at least 3 credit units at postgraduate (R8) level

CU: credit unit

2. Each candidate is required to submit a Qualifying Report within a specified period. Subject to satisfactory performance of the candidate in coursework and in Qualifying Report as assessed by the Qualifying Panel established for the candidate, the candidature will be confirmed. Once having been confirmed the MPhil candidature, the candidate will proceed to write the thesis.

PhD Programme

3. PhD candidates are required to take following courses; complete other relevant coursework, if any, as prescribed by their home departments and Qualifying Panels; and write a thesis:

Year 1 SG8001 Teaching Students: First Steps (1 CU, Semester A/B), and Course(s) from home department of at least 4 credit units which shall include at least 2 credit units of research methodology or foundation course at postgraduate (R8) level

Year 2 FB8905 Project (Thesis Proposal Defence) (6 CU, Summer Year 2 to Semester A Year 3), and Course(s) outside home department but within CB of at least 3 credit units at postgraduate (R8) level

Year 3 FB8914 Doctoral Seminar (3 CU, Semester A)

CU: credit unit

4. Full-time students have to sit for a common written Qualifying Examination administered by individual departments normally in the summer of Year 1. Its objective is to test students' knowledge of major subject areas of their research disciplines and their ability to integrate the theories and concepts learned from the taught courses, as well as in analysing and solving problems. Students who fail in the departmental common written qualifying examination are

allowed to have at most one more attempt at the discretion of individual departments but all students must pass the examination the latest by 31 August of their second year of study. Those who cannot pass the examination by the corresponding deadline will be recommended for termination of study following the procedures stipulated by the University.

5. Full-time students must complete the thesis proposal defence (FB8905 Project) conducted by a panel set up by their home department the latest by 31 December of their third year of study. Students who fail in the defence are allowed to have at most one more attempt at the discretion of the panel. If a second attempt is allowed, students must pass the defence the latest by 30 June of their third year of study. Those who cannot pass the thesis proposal defence will be recommended for termination of study following the procedures stipulated by the University.
6. Doctoral Seminar is concerned with general and cross-disciplinary business research and is a research seminar for all doctoral students particularly in their third year of study. Students joining this seminar are presumed to have completed significant amount of research at the doctoral level since they will need to present their research to the class for in-depth discussion. A primary objective is to broaden students' perspectives in contemporary business research. It also provides opportunities for students to acquire practical skills in managing their academic career.
7. The above course/examination schedule is catered for full-time candidates. For those pursuing part-time studies and admitted in mid-year, the schedule will need to be adjusted in consultation with their Qualifying Panels and individual home departments.

Guidelines on Monitoring Study Progress of Students in Taught Courses

8. To monitor the study progress of research degree students in their taught courses, the following guidelines will be adopted by the College as appropriate in addition to those stipulated by the University from time to time:

<u>Cumulative GPA</u>	<u>Recommendation</u>
-----------------------	-----------------------

(a) below 2.8	Warning letter will be issued to the student concerned
---------------	--

(b) below 2.5	Suspension of studentship for a specified period (applicable to full-time students only)
---------------	--

Research Output

9. The College strongly encourages research degree students to provide evidence of scholarly work through publications which have been accepted or published by good quality journals during their candidature.

Appendix 7: Guidelines Governing the Cross-Institutional Course Enrolment Scheme

Purpose

1. An agreement has been made among eight local institutions to allow their research students to enrol in courses offered by participating institutions. This provision will help enlarge the pool of courses for selection and allows students to gain access to other institutions' expertise.

General Principles

2. Students who wish to apply for courses offered by the local institutions should submit an application to the host institution via their home institution at least one month before the course starts. The application should be accompanied by the endorsement of their home institution.
3. Acceptance of the student is at the discretion of the host institution, taking into account its quota availability and other relevant factors.
4. Students admitted to a course will be officially registered as a visiting student at the host institution and are required to participate fully in the course, which includes completion of coursework and examinations, if applicable.
5. Grades will be given to students at the end of a course, and an academic transcript will be sent to the home institution. To comply with the requirement of the Personal Data (Privacy) Ordinance, the consent of students for the release of their course results to their home institution will be sought during the course application stage.
6. The decision as to how the grades should be used is at the sole discretion of the home institution.
7. Waiver of fees will be granted to such students.

Incoming Students

8. The Chow Yei Ching School of Graduate Studies will forward applications for course enrolment from other institutions' students for approval by the department offering the course and inform students of the application results accordingly.
9. If admitted to a course, such students will be formally registered with CityU as "UGC-Visiting Students".
10. They will not be registered in a specific programme of study or attached to a specific academic department. Their study at CityU will not lead to a degree or other awards from CityU.
11. Requests for withdrawal from a course should be submitted by the University's course add/drop deadline. Late applications will not normally be entertained.

12. Such students should observe the rules and regulations prescribed by CityU.
13. No student ID card will be issued to these students. They can use their HKID card for identification purposes.
14. Such students are not entitled to any financial awards or assistance offered by CityU.
15. Such students can access the library and borrow books using the JULAC card. All regulations governing JULAC card holders will apply to these students, who are only entitled to use those library facilities available to JULAC card holders.
16. Apart from the library, they are not entitled to use other University's facilities and services, including computing, sports, medical and dental. Despite the above, they can still make special requests to access the University's computing facilities and services via the Chow Yei Ching School of Graduate Studies if so required by the courses they are taking.
17. Upon completion of a course, such students and their home institution will be informed by the Chow Yei Ching School of Graduate Studies of the course result accordingly.
18. Such students can apply for an academic transcript summarising the results of all the courses taken at the University. A fee will be charged in this regard.

Outgoing CityU Students

19. CityU students who wish to apply for courses offered by another local institution should complete an application form and forward the form to the Chow Yei Ching School of Graduate Studies, with the endorsement of their supervisor and Department Head/School Dean, for onward transmission to the host institution for consideration.
20. During their study at another institution, CityU students should continue to observe the University's rules and regulations.
21. All the credits gained can be counted as fulfilling the University's coursework requirements for research degree studies, unless otherwise specified by the department or school.

Appendix 8: Guidelines for the Appointment of Supervisors and Qualifying Panels

Qualifying Panel

1. A qualifying panel shall be established for each research student upon his or her admission to a research degree programme. The panel should consist of at least three members including the student's supervisor, who shall be its chairperson. The Supervisor, and at least one of the other panel members, shall be from the student's department.
2. Supervisors should be full-time regular academic staff of the University at the Assistant Professor level or above. A person who is studying in a research degree programme is not eligible to act as a supervisor or co-supervisor.
3. MPhil supervisors should normally possess a PhD or a Master's degree by research and have considerable experience in leading research and supervising research students.
4. PhD supervisors should normally possess a PhD degree and have a strong publication record. They should also have considerable experience in successfully supervising MPhil/PhD students through to completion.
5. If an appointed research supervisor does not have formal or successful supervisory experience, he/she may serve as a Supervisor with the assistance of a senior faculty member to serve as a member of the Qualifying Panel who will have a dual mentoring role in overseeing the student's research progress as well as in mentoring the supervisor.
6. Under the abovesaid mentoring arrangement, the senior faculty should be at the grade of Associate Professor or above, and he/she must possess formal and successful research supervision experience. He/she will be responsible for coaching the research supervisor in research supervision and providing academic guidance and advice to student.

Co-Supervisor

7. In addition to the qualifying panel, a Co-supervisor may be appointed to jointly supervise a student, and provide guidance in his/her area of expertise, if the Department considers it appropriate and if the Supervisor concerned is under the mentoring arrangement as mentioned in clause 5. If the Supervisor foresees that he/she will reach the University's normal retirement age of 65 during a student's normal period of candidature of study, a Co-supervisor must be appointed to the student concerned at the time of admission and be endorsed by the Department. Under such circumstance, the Co-supervisor and the Department will have the obligation to provide sufficient studentship funding to support the remainder of the student's candidature, if required. He or she will be a co-opted member of the qualifying panel. The requirements for supervisors mentioned in clause 2 above also apply to Co-supervisors. However, the Supervisor remains responsible for ensuring that the student meets all administrative and academic requirements of his/her studies. The Co-supervisor will assume the role of Supervisor when the retiring faculty leaves the University.
8. Under special circumstances, term staff (e.g. visiting staff, adjunct professors, honorary members, etc.) may be considered for appointment as Co-supervisors.

External Co-Supervisor

9. In exceptional circumstances, an external academic, who has special expertise helpful to the student's studies, may be appointed as an External Co-supervisor, if the Department considers it appropriate. The Department may recommend appointment of an outgoing supervisor as an External Co-supervisor to assist in the supervision of his or her former student.
10. A person who is studying in a research degree programme is not eligible to act as an External Co-supervisor.

Approval of Appointments

11. The appointment of qualifying panels and co-supervisors should be approved by School Dean/ Department Head, and reported to the Chow Yei Ching School of Graduate Studies.
12. Any changes to the qualifying panel membership and the supervisory arrangements should be approved by the School Dean/ Department Head and reported to the Chow Yei Ching School of Graduate Studies. Also, any changes to the status of the Co-supervisors which make them ineligible to act in that capacity should be reported to the School immediately.
13. As good practice, College/School/Department may assign mentors for junior faculty or co-supervisors when necessary. Department shall also actively collect feedback from research students through different channels including student surveys and regular student consultative measures.

Continuity of Supervision

14. If a Supervisor is leaving the University, the Department should nominate a replacement Supervisor as soon as possible to ensure a smooth transition of supervision.
15. If a Supervisor is on long leave (e.g. sabbatical leave), the Department should consider appointing a staff member to be an Acting Supervisor during the former's leave of absence. If there is already an existing Co-supervisor, under the above circumstances, he or she should act in the place of the Supervisor to provide continuity of advice and guidance to the student.

Appendix 9: Research Degree Supervision: A Code of Practice

Introduction

1. This Code of Practice for research degree supervision sets out what the University regards as the responsibilities of supervisors, qualifying panel members and those of research students, and provides a basic framework within which research degree candidature will be pursued.
2. The University considers that the ultimate responsibility for the supervision of research students rests with the supervisor, who is the formal point of contact between the student and the University. The other members of the qualifying panel and co-supervisors, if any, are to assist the supervisor in providing effective supervision to students.

Responsibilities of the Supervisor

3. The responsibilities of the supervisor include the following:
 - (a) identify and prescribe coursework or recommend credit transfer/coursework exemption for the student through the qualifying panel;
 - (b) assess the results of performance in the prescribed coursework, together with the student's qualifying report, and recommend to the Chow Yei Ching School of Graduate Studies (SGS) through the qualifying panel, the Head of Department and the College/School Graduate Studies Committee on the student's suitability to continue the study or to transfer from MPhil to PhD candidature or vice versa, if applicable;
 - (c) report annually in writing to SGS through the qualifying panel, the Head of Department and the College/School Graduate Studies Committee on the student's work during the previous year, and recommend whether the student should be permitted to continue the study. If at any time the supervisor is of the opinion that the student is unlikely to achieve the degree for which he or she is registered, the supervisor should report this through the Head of Department to SGS immediately, without waiting for the annual recommendation on continuation of candidature;
 - (d) give guidance to research students with respect to the nature of research and the standard expected, the planning of the research programme, literature and sources, attendance at taught classes, and requisite techniques which need to be acquired (including arranging for instruction where necessary);
 - (e) maintain regular contact with the student at agreed intervals;
 - (f) be accessible to the student at other appropriate and reasonable times for consultation and advice;
 - (g) give detailed advice on the necessary completion dates of successive stages of the work so that the thesis may be completed within the scheduled time;
 - (h) request written work as appropriate, and return such work with constructive criticism and in reasonable time;

- (i) arrange, as appropriate, for the student to give graduate seminars or the like, and guide the student in the preparation of the oral examination;
- (j) supervise and assist the student in making revisions to the thesis after the oral examination; and
- (k) generally oversee the student's progress while upholding the academic standard and with the interest of student in mind.

Responsibilities of Co-supervisor

4. The responsibilities of the Co-supervisor include the following:

- (a) work with the supervisor in overseeing the student's study progress;
- (b) serve in place of the supervisor when s/he is on leave;
- (c) provide academic guidance and advice to student;
- (d) maintain regular contact with both supervisor and student at agreed intervals to know the progress of the student; and
- (e) evaluate the qualifying / annual progress annual report submitted by the student and give feedback to student;

Responsibilities of the Qualifying Panel Members

5. The responsibilities of the qualifying panel members include the following:

- (a) assist the supervisor in providing academic guidance and advice to the student;
- (b) assist the supervisor in monitoring the student's study progress;
- (c) assist the supervisor in examining the student's performance through assessment of qualifying and annual progress reports and other forms of examinations as prescribed by the qualifying panel; and
- (d) assist the supervisor in overseeing the overall standard of the student's research work.

Responsibilities of the Student

6. The responsibilities of the student include the following:

- (a) discuss with the supervisor or the qualifying panel the type of guidance he or she finds most helpful, and agree on a schedule of meetings;
- (b) take the initiative in raising problems or difficulties with the supervisor;
- (c) maintain the progress of the work in accordance with the stages agreed with the supervisor, including in particular the presentation of written material, as required, in

- sufficient time to allow for comment and discussion before proceeding to the next stage;
- (d) ensure that the prescribed coursework, if any, is satisfactorily completed;
 - (e) provide, on time, formal reports on study progress to the qualifying panel through the supervisor according to the required time intervals;
 - (f) ensure that the thesis is completed within the period stipulated by the University for assessment; and
 - (g) conform with the Code of Practice for Research, and observe honesty in the conduct and reporting of research.

Relationship between the Supervisor and the Student

- 7. The relationship between the supervisor and the student will follow accepted norms conducive to academic and professional development as a result of each party fulfilling the responsibilities imposed on him or her.
- 8. If an effective working relationship does not develop and the student and/or the supervisor believes that, for this reason, the work is not proceeding satisfactorily, either person may make a representation to the Head of Department. The Head should consider the matter carefully and, if appropriate, recommend a replacement supervisor to SGS via the College/School Graduate Studies Committee.

Publications

- 9. Care should be taken to ensure that the contribution of the student is recognised and properly acknowledged in any publication arising from the student's research work.

Written Material

- 10. At the time of presentation of the thesis, the student should certify that the thesis embodies the results of the study and research he or she has conducted and has been composed by the student. The supervisor should ensure that, structurally and grammatically, the thesis presented is of an acceptable standard. The supervisor will properly comment at regular intervals, as indicated in this Code, on the student's written submissions and offer advice and guidance on their improvement; but the supervisor will operate within the general principle that the final written thesis must be the student's own work.

Appendix 10: Guidelines on Administration of Qualifying Examination for PhD Students (applicable to the 2019/20 intake and thereafter)

The PhD qualifying examination is mandatory for all full-time and part-time PhD students, including those under joint PhD programmes, who commenced study in 2019/20 and thereafter. The requirements of PhD qualifying examinations are as follows:

1. The PhD qualifying examination is an additional requirement on top of the existing Qualifying Report and Annual Progress Report assessment.
2. For students under regular PhD programmes, they are required to pass the qualifying examination within 10-24 months (full-time) or 20-48 months (part-time) after commencement of their PhD studies.
3. A maximum of two attempts will be allowed. Those students who cannot pass the examination by the deadline will result in termination of PhD study.

Format of Examination

4. The PhD qualifying examination shall consist of written examination only.
5. A common written qualifying examination paper be applicable to all PhD students of the same academic unit, and the examination paper for students under joint PhD programme be the same as the one for regular students for the sake of fairness and quality assurance consideration. Considering that students within the same academic unit will have different research disciplines, academic units may either design one set of written examination paper providing choices of questions covering different areas/fields, or several sets of qualifying examination papers each covering a specific area/field.
6. Individual academic units may determine the format and content of the examination paper. Schools/Departments may engage academic advisors to review the examination paper to ensure the standard is comparable with their counterparts in the international arena, if necessary.
7. Individual Schools/Departments will have discretion to determine the number of qualifying examination(s) to be offered in an academic year.
8. Schools/Departments should notify SGS immediately list of students who have passed PhD qualifying examination for record purpose.
9. Under exceptional circumstances, supervisors with justifications may recommend their students to take the qualifying examination offered by another School/Department, instead of that of students' home department. It requires endorsement from all relevant parties (including Dean/Head of student's home school/department and qualifying examination offering unit, as well as respective C/SGSCs) for approval by Committee on Research Degrees Candidature.

Exit Channel

10. At the discretion of individual academic units, PhD students who are terminated due to failure of the qualifying examination may seek transfer to a self-financing MPhil programme with or without supervisor's studentship support using non-UGC funds. The study period for the MPhil programme is two years full-time. The previous period of study in the PhD programme will be counted towards the candidature of the MPhil programme and credit transfer is determined by individual academic units.

Review and Appeal

11. The prevailing regulations and appeal procedures for review of course grade will be applicable to the review of the result of the qualifying examination. However, there will be no appeal against the decision to terminate PhD candidature after students fail two attempts at the qualifying examination.

Arrangements for QE for students under the Mainland Collaboration Schemes and Joint PhD Programme with Overseas Universities

12. PhD qualifying examination is a mandatory requirement for new students under Joint PhD programmes (i.e. 2019/20 intake cohort and thereafter). The written qualifying examination paper should be the same as that for regular PhD students due to fairness and quality assurance considerations.
13. Given that joint PhD programmes with mainland universities and overseas universities are operating under different study models, there will be slight variation in the examination timelines and exit channel, as below:

Timeline for Passing the QE

- (a) For students under the joint PhD programmes and the successive master and doctoral degree programme, in view of the study arrangements set by the CityU research supervisors, flexibility should be given, so that such students can fulfil the requirement on passing the QE at an earlier stage, and put stronger focus on fulfilling the coursework requirements and carrying out research works during study at CityU Hong Kong campus.
- (b) Students under the joint PhD programme, successive master and doctoral degree programme, and collaborative PhD programme will have to pass the Qualifying Examination ***from the 10th to the 36th month upon official registration as a student at CityU, or to the end of normal study period, whichever is earlier, regardless of the study locations.***

Exclusion on Exit Channel

- (c) Exit channel for PhD students who fail the Qualifying Examination to transfer to MPhil programme is not applicable to students under the Mainland Collaboration Schemes

and joint PhD programme with overseas universities. If a student fails in the second attempt, he/she will be terminated from the joint PhD programme. Yet, these students can continue his/her PhD study at the partner university.

14. Notwithstanding the proposed timeline for passing the QE and the exclusion on exit channel presented above, these students are subject to the same rules and regulations regarding the Qualifying Examination Requirement for PhD students, such as advanced studentship rate, and format of examination.

Location of Qualifying Examination

15. The location of the QE can be in CityU HK campus or in one of the University's designated study locations in China (currently either Suzhou or Shenzhen).

Mutual Recognition and Comparability of QE for students under Joint PhD Programmes with Overseas Universities

16. Students under Joint PhD Programmes with overseas universities will be required to pass CityU's QE if the partner universities do not have any qualifying examination requirement.
17. If partner universities also have their own qualifying examination requirement, student will only be required to pass the qualifying examination of their home universities.
18. In case the format or standard of a partner university's qualifying examination is deemed not comparable to that of CityU, the relevant CityU academic unit will be delegated the authority to negotiate with the partner university's academic unit whether the students passing their home university's qualifying examination can be recognized as fulfilling CityU's qualifying examination requirement. Individual College/School may stipulate stringent requirement.

Appendix 11: Appointment and Duties of the Panel of Examiners for Research Degree and Professional Doctorate Programmes

Panel of Examiners

1. Upon the recommendations of the Department and the College/School, the Committee on Research Degrees Candidature shall appoint a Panel of Examiners to examine candidates who have expressed the intention of presenting a thesis.
2. The Panel shall consist of:
 - (a) a Chairperson at Associate Professor grade or above. The appointee is also an internal examiner who has considerable research supervision and examining experience;
 - (b) at least one external examiner;
 - (c) one additional internal/external examiner for a PhD/Professional Doctorate examination panel; and
 - (d) the supervisor of the candidate.
3. The internal and external examiners should normally be at the grade of Associate Professor or above, and have appropriate expertise related to the subject area of the candidate's thesis. Appointment of examiners of a lower rank should be supported with justifications. External examiner(s) should be of high academic standing and with considerable experience in tertiary teaching. In special circumstances, external examiners may be appointed on the basis of relevant professional standing and experience.
4. If more than one external examiner is appointed to serve on the same examination panel, the external examiners should be from different institutions.
5. Members of the Qualifying Panel can also be appointed as internal examiners provided that they meet the requirements as stated in item 3 above.
6. Individuals studying a higher degree should not be appointed as examiners.
7. With consent from the current supervisor and approval of College/School, former supervisor in the capacity of external co-supervisor may be officially nominated to the Panel of Examiners in place of the current supervisor. Under this circumstance, the current supervisor will become an observer and be required to attend throughout the entire oral examination. The current supervisor is required to continue to supervise the student in revising the thesis after the oral examination until completion of study.

Duties of the Chairperson

8. The Chairperson, who is an internal examiner, must be present throughout the oral examination and ensure that:

- (a) the examination is conducted in accordance with the regulations and requirements of the University, and in a fair and unprejudiced manner;
 - (b) the questions addressed to the candidate are fair and clearly expressed;
 - (c) the examiners are all given sufficient opportunity to ask questions and the candidate is given sufficient opportunity to respond to the questions;
 - (d) the recommendations of the individual examiners are carefully considered, such that an overall recommendation may be arrived at in a fair and unprejudiced manner;
 - (e) the recommendation of the Panel of Examiners reflects the majority view of the examiners;
 - (f) the recommendation of the Panel of Examiners conforms to the guidelines of the University that govern thesis examinations; and
 - (g) a report on the Panel's recommendation and the conduct of the examination is submitted to the Chow Yei Ching School of Graduate Studies after the examination.
9. If the Chairperson observes any irregularities during the conduct of the examination, he/she should report to the Dean of Graduate Studies immediately after the examination.

Duties of the Examiners

(Applies to the supervisor, and the internal and external examiners unless stated otherwise.)

Theses Assessment

10. Except for the supervisors, all the examiners shall examine the thesis prior to the oral examination and submit an assessment report to the Chow Yei Ching School of Graduate Studies, recommending that:
- (a) the thesis forms an adequate basis for an oral examination (and other examinations as required); or
 - (b) the thesis should be revised and submitted for re-examination before the oral examination (and other examinations as required); or
 - (c) the thesis is deemed unsatisfactory and no resubmission is permitted.
11. If the examiners cannot reach a unanimous recommendation on the thesis, the Committee on Research Degrees Candidature should make a final decision, upon the recommendations of the Department and the College/School.

Oral Examination

12. The examiners must be present throughout the oral examination, and should prepare questions and discussion materials to be asked in the oral examination.

13. Notwithstanding paragraph 12 above, for an overseas external examiner, the oral examination can be conducted by tele-conferencing. If the external examiner is not available to participate in the examination via tele-conferencing, the Department and the College/School should appoint an additional examiner who can attend the examination. The additional member (either internal or external depending on the Department's/ College's/School's recommendation) will be treated as a full examiner, and be invited to raise questions and make recommendations on behalf of the absent overseas external examiner.
14. As a result of the examination of the thesis and the performance of the candidate in the oral examination, the examiners must be satisfied that:
- (a) the candidate has clearly demonstrated the ability and skills needed to conduct a major intellectual study, and has independently arrived at a successful conclusion;
 - (b) the thesis represents the candidate's own significant and original contribution to the subject;
 - (c) the candidate, both verbally and in writing, is able to present his/her thesis clearly, systematically, and coherently; and
 - (d) the candidate has convincingly and lucidly defended his/her thesis.
15. Following the oral examination, the examiners shall present a combined recommendation, on the basis of the evidence arising from the oral examination, via the Chairperson, to the Chow Yei Ching School of Graduate Studies. If there is disagreement among the panel members, individual recommendations should be presented to the Chow Yei Ching School of Graduate Studies for consideration.

Appendix 12: Guidelines for Thesis Examination for Research Degree and Professional Doctorate Programmes

General

1. The thesis examination includes thesis assessment, an oral examination and any other assessment arrangements that may be required by the Panel of Examiners.
2. The oral examination shall be conducted by a Panel of Examiners consisting of a Chairperson (who is an internal examiner), an external examiner, an additional internal/external examiner (for PhD and Professional Doctorate Panel), and the supervisor of the candidate.
3. The principle of independent examining with no bias or favour should be upheld at all times.

Submission of Theses for Examination

4. The submitted thesis will require the endorsement of the Supervisor and the Department Head/School Dean before being forwarded to the examiners for assessment. If the thesis is confirmed to be of the required academic standard by the Panel of Examiners, an oral examination will be arranged.

Theses Assessment

5. Except for the supervisors, all the examiners shall examine the thesis prior to the oral examination and submit an assessment report to the Chow Yei Ching School of Graduate Studies (SGS), recommending that:
 - (a) the thesis forms an adequate basis for an oral examination (and other examinations as required); or
 - (b) the thesis should be revised and submitted for re-examination before the oral examination (and other examinations as required); or
 - (c) the thesis is deemed unsatisfactory and no resubmission is permitted.
6. The identity of the examiners will not be released before the oral examination. If students wish to seek clarification on the comments made by an examiner prior to the oral examination, the appropriate channel is to go through the Supervisor.
7. If the examiners cannot reach a unanimous recommendation on the thesis, the Committee on Research Degrees Candidature should make a final decision, upon the recommendations of the Department and the College/School. If there are divergent views between Department and College/School concerned, additional examiner(s) may be appointed, if deemed appropriate.

Oral Examination

8. The oral examination is compulsory. It shall normally take place in Hong Kong and be conducted in English.
9. Candidates who have not fulfilled the coursework or any other academic requirement stipulated by the University will not be allowed to undertake the oral examination.

Proposed Schedule of the Examination

10. The following schedule is intended to serve as a reference only and individual Panels are welcome to alter it in any way which they think will better serve the purpose of the examination:
 - (a) meeting of the Panel of Examiners
(Upon the recommendation of the examiners, the Chairperson will determine, among other things, the manner in which the oral examination is to be conducted.)
 - (b) presentation by the candidate
 - (c) question session
 - (d) concluding meeting of the Panel of Examiners
(The examiners will formulate their opinions on the thesis and the oral examination, and make a recommendation on the award of the degree, or otherwise.)

Recommendations

11. The oral examination shall normally result in one of the following recommendations:
 - (a) award of the relevant degree with no conditions
 - (b) award of the relevant degree subject to revisions (see paragraph 12)
 - (c) recommending a lower level of award, if applicable (see paragraph 13)
 - (d) submission of a revised thesis for re-examination
 - (e) failure in the examination resulting in termination of study.
12. Regarding 11(b) above, the deadline for completing the revisions should normally be within one month of the date of the oral examination. The revisions should be forwarded to the supervisor (or another party as decided by the Panel) and the Department Head/School Dean for endorsement.
13. Regarding 11(c) above, PhD candidates may be recommended for an MPhil award if the thesis is assessed to be below the standard expected of a PhD, but is considered to have fulfilled the standard required for an MPhil degree.

14. If the examiners can reach a unanimous decision, the Chairperson shall submit a report on the Panel's recommendation, duly signed by the examiners, to the Chow Yei Ching School of Graduate Studies (SGS). The report will be forwarded to the Department and the College/School for endorsement.
15. If a unanimous recommendation cannot be reached, the Chairperson and the examiners should submit individual reports to SGS. An additional external examiner may then be appointed and be required to make a report and recommendation to SGS. On the basis of the reports of the Panel and the additional external examiner, the Committee on Research Degrees Candidature will make a final decision based upon the advice of the Department and the College/School.

Submission of Revised Theses for Re-examination

16. If a candidate is required to submit a revised thesis for re-examination, the Panel should set a deadline for re-submission not exceeding 12 months from the date of the oral examination. After re-examining the revised thesis, the examiners should make a recommendation to SGS. If the examiners are satisfied with the revised thesis, they may recommend that a second oral examination be waived.
17. If a second examination is required, the membership of the Panel of Examiners should be the same as for the first examination, unless otherwise recommended by the College/School or SGS.
18. A candidate who has failed in the second examination will not be permitted to present himself or herself for re-examination on a further occasion. His or her study will be terminated.

Appeal

19. Students may make an appeal in writing to SGS on matters relating to their studies.
20. An appeal against the examination results should be made in writing to the Dean of Graduate Studies through SGS within one month of the notification of the results. The appeal will be considered only if there has been a material administrative error, or some other material irregularity. The decision of the Dean of Graduate Studies will be final.

Appendix 13: Regulations Governing the Format of Theses

1. Applicability

- 1.1 Research degree and professional doctorate students who have successfully completed their thesis examination are required to submit to the University an electronic copy of their thesis in accordance with the University's stipulated requirements. The electronic copy will be uploaded onto the University's specified online platform for both internal and public access.
- 1.2 The submission of the electronic copy of the thesis forms part of the graduation requirement. The required formats for the electronic copy are given below.

2. Format of the Thesis

- 2.1 The thesis should be presented in a legible form.
- 2.2 The lower-case x-height of characters should not be significantly larger or smaller than 2mm. Double or one-and-a-half spacing should be used, except for indented quotations or footnotes where single spacing may be used.
- 2.3 Margins should not be less than 20mm. Exceptionally, margins of a different size may be used when the nature of the thesis requires it.
- 2.4 Pages should be numbered through the thesis in Arabic numerals at the bottom center, including appendices but excluding the table of contents and other material preceding the beginning of the general text which may be numbered with lower case Roman numerals.
- 2.5 The thesis should contain the following parts in the order shown:
 - (a) Title page, containing the following information in both Chinese and English:
 - the thesis title
 - the full name of the candidate
 - the degree for which the thesis is submitted
 - the name of the University
 - the month and year of the College's/School's endorsement in recommending the award
 - (b) The abstract of contents
 - (c) Information on Qualifying Panel and Examination Panel
 - (d) Acknowledgment, if any
 - (e) The table of contents and, where appropriate, a list of plates, tables, figures, symbols or other abbreviations
 - (f) The general text
 - (g) Bibliography

- (h) Appendices and other addenda, if any.
- 2.6 Whenever practicable, diagrams, maps, illustrations, computer printouts, published papers and tables should be included in the thesis adjacent to the corresponding text.
- 2.7 Notwithstanding the provisions of clause 2.5 of these Regulations, a candidate should present a thesis in an unbound (or electronic) form prior to examination in such a way that could be forwarded to the examiners. It should be the responsibility of the candidate to ensure that the thesis is complied with the Regulations after the examination, and prior to lodgment. No award shall be made until these arrangements have been completed.

3. Submission of the Electronic Thesis

- 3.1 Students are required to submit their theses in an electronic format in accordance with the specifications given in the Library's Webpage.
- 3.2 It is the responsibility of the student to ensure that an acceptable copy of his/her thesis in an electronic format is uploaded to the University's specified online platform.
- 3.3 Students who wish to use newer technologies for their theses, such as digital multimedia, hyper linking, etc. should check early in their thesis production, on the viability of software involved vis-à-vis, library preservation, and incorporation of such theses in the Library's online database.

4. Waivers

Where a candidate would meet with serious difficulty in complying with the provisions of these Regulations, he or she may apply to SGS for a particular Regulation(s) to be waived.

5. Further Advice

Candidates requiring further advice on the interpretation of these regulations should consult SGS.

Appendix 14: Sample of the Front Cover/Spine/Title Page of a Thesis

Sample: Front Cover of a Thesis

50mm from the top of the page

45mm from the left margin

A DISCUSSION ON HIGHER
EDUCATION DEVELOPMENT
IN HONG KONG

45mm from the right margin

Font: Times New Roman
Size: 20

CHAN TAI MAN

Font: Times New Roman
Size: 16
Name should be identical to the one printed on the student ID card

or
DOCTOR OF PHILOSOPHY
as appropriate

MASTER OF PHILOSOPHY

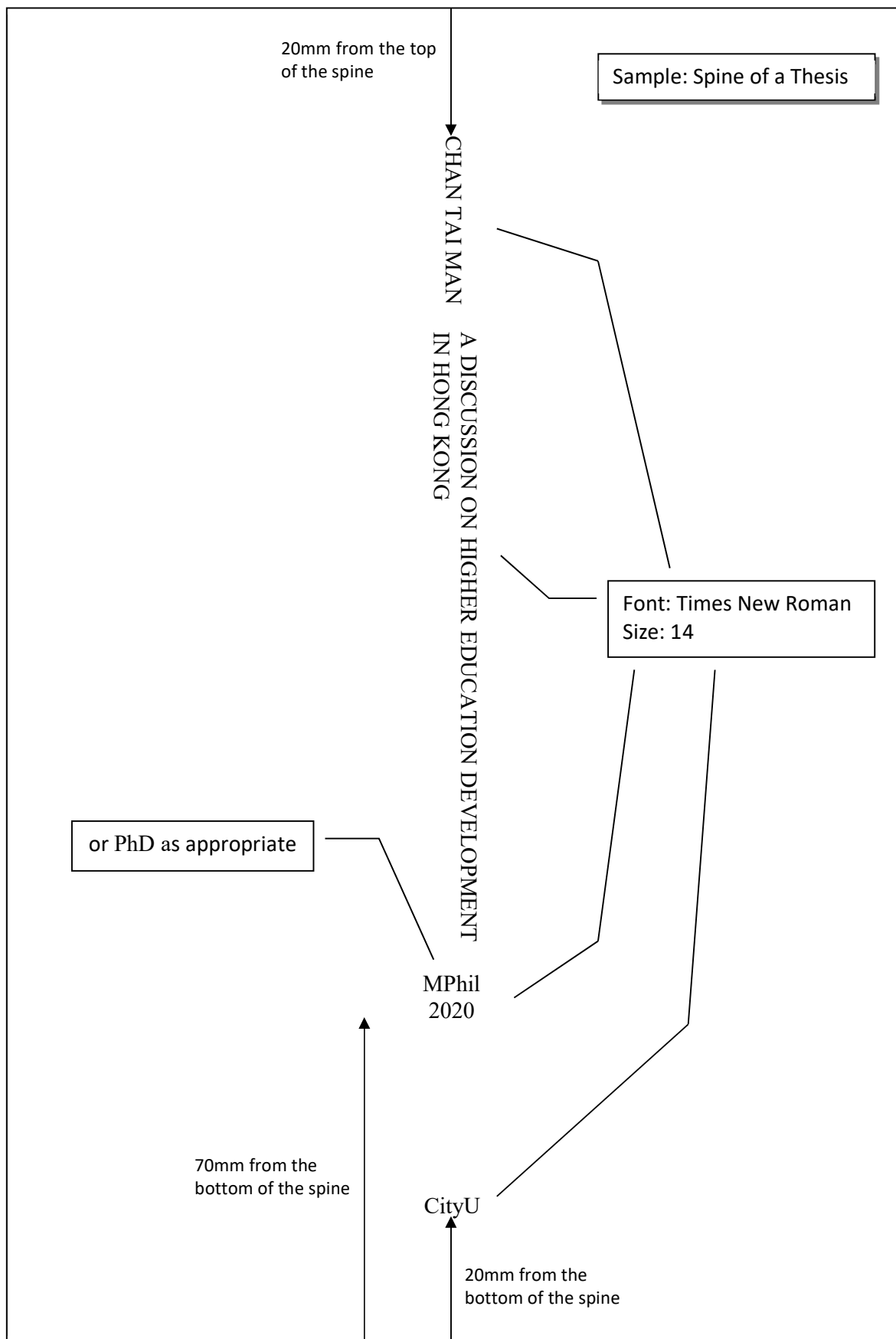
CITY UNIVERSITY OF HONG KONG

JULY 2020

Font: Times New Roman
Size: 12

50mm from the bottom of the page

Month & year of the College's / School's endorsement on the oral examination decision and the completion of revisions, if so required.



Sample: Title Page of a Thesis

50mm from the
top of the page

CITY UNIVERSITY OF HONG KONG
香港城市大學

45mm from the
left margin

45mm from the
right margin

A Discussion on Higher Education
Development in Hong Kong
論香港高等教育的發展

Font: Times New Roman
Size: 18

字體: 細明體
大小: 18

Submitted to
Department of Public Policy
公共政策學系
in Partial Fulfillment of the Requirements
for the Degree of Master of Philosophy
哲學碩士學位

by

Chan Tai Man
陳大文

or
Doctor of Philosophy
as appropriate
或哲學博士學位

July 2020
二零二零年七月

Font: Times New Roman
Size: 12

字體: 細明體
大小: 12

***Chinese and English
names should be
identical to the one
printed on the student
ID card.***

50mm from the
bottom of the page

Sample: Title Page of a Thesis
under a joint PhD Programme

50mm from the
top of the page

CITY UNIVERSITY OF HONG KONG
香港城市大學

45mm from the
left margin

45mm from the
right margin

A Discussion on Higher Education
Development in Hong Kong
論香港高等教育的發展

Font: Times New Roman
Size: 18
字體: 細明體
大小: 18

Submitted to
Department of Public Policy
公共政策學系
in Partial Fulfillment of the Requirements
for the Degree of Doctor of Philosophy
哲學博士學位
awarded by City University of Hong Kong
for successful completion of the joint programme with
<<name of the partner university>>*

by

Chan Tai Man
陳大文

July 2020
二零二零年七月

50mm from the
bottom of the page

Font: Times New Roman
Size: 12
字體: 細明體
大小: 12

***Chinese and English
names should be
identical to the one
printed on the student
ID card.***

* Name of the partner university only. There is no need to show the country name.

Appendix 15: Guidelines for the Imposition of a Restriction on Access to a Thesis

Purpose of Academic Research

1. The main purpose of academic research is to make original contributions to knowledge. The success in achieving this purpose is dependent on a number of factors. One such factor is the research environment in an institution. If the research environment is vibrant and there is an open, honest and enthusiastic exchange of scholarly information and ideas and sharing of research results, coupled with strong infrastructural support, productivity in terms of original contributions to knowledge is likely to be high. Furthermore, since it is the University's vision to become a leading university in the region, it is important to publish research results arising from research activities and programmes in the University as soon as possible.

Deposition of a Thesis

2. Research degree and professional doctorate students who have successfully completed their thesis examination are required to submit to the University an electronic copy of their theses in accordance with the University's stipulated requirements. The electronic copy will be uploaded onto the University's specified online platform for both internal and public access.

Restriction on Access to a Thesis

3. In view of paragraph 1 above, at the time of writing the thesis, students should ensure that the thesis does not contain material which would lead to a request to the Chow Yei Ching School of Graduate Studies for the imposition of a restriction on access to the thesis. Supervisors will also have the responsibility to guide their students accordingly.
4. Students who still feel that there should be a restriction on access to their theses for a defined period, may apply to the Chow Yei Ching School of Graduate Studies through their supervisors who should provide the justification in support of their recommendation. Such applications will be considered only in very exceptional cases on the basis of strong, supporting reasons. Reasons supporting an application might be as follows:
 - (a) a student who is the author of a thesis is applying for a patent arising from the contents of the thesis;
 - (b) the contents of the thesis are commercially very sensitive;
 - (c) the thesis contains sensitive material, disclosure of which is not in the public interest;
 - (d) the contents of the thesis could harm the reputation of the author;
 - (e) the thesis could identify and jeopardise the reputation or welfare of an individual or individuals; or
 - (f) the research leading to the thesis was sponsored by an organisation with which either the University or the student (with the prior written consent of the University) has entered into an agreement not to disclose the results of the research for commercial reasons.

Period of Restriction

5. A student may apply for the imposition of a period of restriction of up to two years from the date of its accession in the Library in the first instance. The period of restriction may be extended for a further period of one year. The total maximum period of restriction should not be more than three years. During the approved period of restriction, the thesis may not be consulted by others without the author's written permission.

6. Access to the full text of the thesis in question will be blocked for the restriction period. However, the abstract of the thesis will be made available for online access immediately upon receipt of the copy.

Application Procedure

7. Students who wish to apply for an imposition of restriction on access to their theses should write formally with the support of the supervisor to the Chow Yei Ching School of Graduate Studies. Such an application must provide the following information:
 - (a) Reason(s) for a restriction on access to the thesis;
 - (b) Documentary proof, if any, in support of the request for restriction;
 - (c) Thesis title;
 - (d) Intended period of restriction.
8. The Chow Yei Ching School of Graduate Studies will seek recommendations from the student's supervisor and the Head of Department concerned before considering the application for a restriction. If a student's request to restrict access to the thesis is unsuccessful, the thesis will be made available for consultation immediately from the date of its accession by the Library.

Appendix 16: Guidelines for the Outstanding Research Thesis Awards

Purpose

1. The purpose of the award is to recognise and reward research students who have produced a thesis of outstanding quality and achievement in their relevant research area.

Eligibility

2. Research students whose theses have satisfied the following criteria will be considered for the award:
 - (a) recommended by all the internal and external examiners for consideration of the outstanding research thesis award; and
 - (b) obtained rating “1” (Excellent – top 2%) or “2” (Top 5%) on their quality ¹ from all of the examiners.

Approval and Award

3. The Chow Yei Ching School of Graduate Studies will identify those theses that have satisfied the criteria given above and forward the recommended cases to the relevant School/Department, which will be invited to confirm their suitability for the award.
4. Upon receipt of the confirmation from the School/Department, the students concerned will be granted the award.
5. Each awardee will receive an award certificate and a prize of HK\$3000.

¹ Examiners will be requested to indicate in the thesis assessment report, according to the following award criteria, their recommendation regarding whether the relevant thesis should be considered for the outstanding research thesis award, and if so, the rating of the thesis's quality using a five-point scale (1 for excellent, 3 for good and 5 for adequate):

- (a) quality and originality of the research;
- (b) clarity, accuracy and presentation of the thesis.

Appendix 17: Regulations Governing Outstanding Academic Performance Award for Research Degree Students

Purpose of the Award

1. The purpose of the Outstanding Academic Performance Award for Research Degree Students is to recognize students with outstanding academic performance in their research studies.

Number of Awards

2. The maximum number of students receiving the Awards should not exceed 25% of the total number of research students (by head counts) who are within their (normal) study period.

Eligibility

3. All research degree students who have completed at least twelve calendar months of study counting from the commencement date of study up to the starting date of the award period (excluding period of study interruption, if any) and are within their (normal) study period are eligible to apply for the award.

Criteria for Award

4. The criteria indicated below are the normal thresholds and the actual award will be determined on the basis of the competition in each application round in terms of the academic merit of applicants:
 - (a) (i) obtain a minimum cumulative GPA of 3.50, with no failures, in all the prescribed courses completed at the time of application; or (ii) have an outstanding publication record with a cumulative GPA of 3.00 or above, with no failures, in all the prescribed courses completed at the time of application;
 - (b) have good study progress as reported by the Qualifying Panel;
 - (c) year 3 students or above must have at least one good quality paper published or accepted for publication whilst studying at the University.

Awards

5. The Award will be in the form of a certificate. In addition, students who receive the award will also be given a cash prize of HK\$1,000, subject to the availability of funding. Students will be presented a certificate of award issued by the Chow Yei Ching School of Graduate Studies in an annual award presentation ceremony.

Appendix 18: Regulations Governing Postgraduate Studentships

Purpose of the Award

1. The Postgraduate Studentship is granted to selected full-time research students on the basis of academic merit. The award is to cover part of the students' expenses during their study period.

Eligibility

2. Full-time research students who have obtained at least a bachelor's degree with second upper class honours (or equivalent) or a good master's degree before admission are eligible to apply for Postgraduate Studentships.
3. Exemption from clause 2 above may be considered if the student has a good publication record. Such applications should be accompanied by recommendations from the Department and the College/School and final approval rests with the Chow Yei Ching School of Graduate Studies.
4. Students who are in receipt of Government grants and loans or other awards are also eligible to apply. Decisions on allowing such students to hold the Postgraduate Studentship concurrently with other awards will be made on a case-by-case basis.

Duration of the Award

5. MPhil students will normally be granted studentships for a maximum of two years and PhD students a maximum of three years (irrespective of their entry qualifications), and the studentship award period should not exceed students' stipulated study period. The commencement of the award shall normally align with a student's commencement date of study.
6. For Studentship recipients who have transferred from MPhil to PhD, the previous award period shall be counted towards the new award period provided that the students are still eligible for the Studentship. For students who have changed their mode of study from part-time to full-time, their Studentship award period, if applicable, will be calculated on a pro rata basis, taking into account the duration of their part-time study and their new period of candidature.
7. Requests for extension of the award period shall normally not be entertained.

Studentship Renewal and Periodic Checking

8. The Postgraduate Studentship is normally granted on a yearly basis and is subject to renewal. To be eligible for consideration of a renewal of their studentship, students should attain in their coursework prescribed by the Qualifying Panel a minimum cumulative GPA of 2.50. Students' performance in any teaching and/or research support duties, as assigned by the Department, will also be taken into account when being considered for studentship renewal. Individual College/School/Department may stipulate a higher requirement.

9. Checking on a semester/term basis will be performed and those studentship recipients identified as failing to fulfil the above requirement [i.e. a minimum cumulative GPA of 2.50] will have their studentship discontinued.

Conditions

10. Studentship recipients are normally required to undertake not more than 10 hours per week on average of teaching and/or research support duties, as assigned by the School/Department. The working hours shall include preparation time and the actual working hours.
11. The teaching and/or research support duties to be undertaken by students shall include, but not be limited to, assistance in teaching Gateway Education (GE) courses, Discovery-enriched Curriculum (DEC)-related activities, research-oriented courses, assistance in laboratory course sessions, conducting tutorials, assistance in examinations-related activities, supervisor's project-related duties/field work, etc.
12. To prepare students to perform the teaching assignments, all students are required to take the "Teaching Students: First Steps (SG8001)" course. Only those students who have obtained a "Pass" in SG8001 course will be eligible to deliver face-to-face teaching.
13. Studentship recipients are required to perform their duties up to the required standard. Students' performance in teaching will be evaluated primarily through the University's Teaching and Learning Questionnaire (TLQ) (preferably attaining TLQ scores of 5.0 or above), and feedback from Course Leader(s) of the course(s) concerned and/or their research supervisors. Other duties, such as participating in the design and implementation of DEC-related projects will be assessed through feedback forms, or any other means, as appropriate.
14. Students' studentship awards will be placed on probation in the following semester in the event that they:
 - (a) failed in the first attempt in "English for the Medium of Instruction" course; or
 - (b) obtained a "Fail" grade in SG8001 in the first attempt, and are therefore not permitted to teach; or
 - (c) failed to perform the assigned TA duties and/or teaching and/or research-related duties satisfactorily as evaluated by the School/Department concerned.
15. During the probationary period, students will continue to receive a studentship and they are expected to successfully complete the "English for the Medium of Instruction" course, or SG8001 course, or to perform TA duties up to the required standard. Students will be required to exit from the TA Scheme and have their studentship reduced by 25% in the following semester(s) in the event that they:
 - (a) failed in the second attempt in "English for the Medium of Instruction" course, and are not qualified to take SG8001; or
 - (b) obtained a "Fail" grade in SG8001 in the second attempt, and are therefore not permitted to teach; or
 - (c) failed consistently to perform their TA duties satisfactorily during the probationary period.
16. Studentship recipients are not employees of the University.

17. Studentship recipients shall not engage in any paid employment without the prior endorsement of their supervisor and approval of the School/Department. Students who are in breach of this regulation may be required to reimburse the dollar amount of the award to the University.

Value of the Award

18. The value of the Postgraduate Studentship shall be determined by the University from time to time. Awardees will be paid in monthly instalments.

Discontinuation/Suspension of the Award

19. A student's award shall be discontinued in the event of one of the following:

- (a) taking up paid employment without the prior approval of the School/Department;
- (b) unsatisfactory progress of study as reported by the School/Department;
- (c) unsatisfactory performance in School/Department assigned duties;
- (d) completion of the examination requirements (including submission of electronic theses);
- (e) termination of candidature;
- (f) withdrawal from study.

20. The award will be suspended in the event of the following:

- (a) during a student's period of interruption of study;
- (b) for students who fail to settle the required fees by the stipulated deadline.

Appendix 19: Regulations Governing College/School/Department Based Postgraduate Studentships

Purpose of the Award

1. The College/School/Department Based Postgraduate Studentships are established to support self-financing students in undertaking full-time MPhil/PhD studies using College/School/Department's non-UGC reserve.
2. The Postgraduate Studentship is granted to selected full-time research students on the basis of academic merit. The award is to cover part of the students' expenses during their study period.

Eligibility

3. Full-time research students who have obtained at least a bachelor's degree with second upper class honours (or equivalent) or a good master's degree before admission are eligible to apply for the studentship.
4. Exemption from clause 3 above may be considered if the student has a good publication record. Such applications should be accompanied by recommendations from the Department and the College/School and final approval rests with the Chow Yei Ching School of Graduate Studies.
5. Students who are in receipt of Government grants and loans or other awards are also eligible to apply. Decisions on allowing such students to hold the studentship concurrently with other awards will be made on a case-by-case basis.

Value of the Award

6. There are two different studentship rates, namely Basic Rate and Advance Rate. Basic Rate will normally apply to all eligible full-time research students. Advance Rate will be awarded to those PhD students who have passed the qualifying examination.
7. The value of the Postgraduate Studentship award should normally be the same as that of the Postgraduate Studentship for UGC-allocated and UGC-related research students. Awardees will be paid in monthly instalments.

Duration of the Award

8. MPhil students will normally be granted studentships for a maximum of two years and PhD students a maximum of three years or four years (depending on the entry qualifications, normal study period, and availability of funds), and the studentship award period should not exceed students' stipulated study period. The commencement of the award shall normally align with a student's commencement date of study.
9. For Studentship recipients who have transferred from MPhil to PhD or vice versa, the previous award period shall be counted towards the new award period provided that the students are still eligible for the Studentship. For students who have changed their mode of study from part-time to full-time, their Studentship award period, if applicable, will be

calculated on a pro rata basis, taking into account the duration of their part-time study and their new period of candidature.

10. Requests for extension of the award period shall normally not be entertained.

Studentship Renewal and Periodic Checking

11. The Postgraduate Studentship is normally granted on a yearly basis and is subject to renewal. To be eligible for consideration of a renewal of their studentship, students should attain in their coursework prescribed by the Qualifying Panel a minimum cumulative GPA of 2.50. Students' performance in any teaching and/or research support duties, as assigned by the Department, will also be taken into account when being considered for studentship renewal. Individual College/School/Department may stipulate a higher requirement.
12. Checking on a semester/term basis will be performed and those studentship recipients identified as failing to fulfil the above requirement [i.e. a minimum cumulative GPA of 2.50] will have their studentship discontinued.

Conditions

13. Studentship recipients are normally required to undertake not more than 10 hours per week on average of teaching and/or research support duties, as assigned by the School/Department. The working hours shall include preparation time and the actual working hours. Individual colleges/schools/departments may require less hours per week based on their disciplines' needs.
14. Studentship recipients are not employees of the University.
15. Studentship recipients shall not engage in any paid employment without the prior endorsement of their supervisor and Department and approval of the C/SGSC Chairs. Students who are in breach of this regulation may be required to reimburse the dollar amount of the award to the University.

Discontinuation/Suspension of the Award

16. A student's award shall be discontinued in the event of one of the following:
 - (a) taking up paid employment without the prior approval of the C/SGSC Chairs;
 - (b) unsatisfactory progress of study as reported by the Department;
 - (c) unsatisfactory performance in academic-related duties as reported by the Department;
 - (d) completion of the examination requirements (including submission of bound theses);
 - (e) termination of candidature;
 - (f) withdrawal from study.
17. The award will be suspended in the event of the following:
 - (a) during a student's period of interruption of study;
 - (b) for students who fail to settle the required fees by the stipulated deadline.

Appendix 20: Regulations Governing Research Tuition Scholarships

Purpose

1. The purpose of the Research Tuition Scholarship is to recognize and reward students with outstanding academic performance. It is a meritorious award and is granted on a strictly competitive basis.

Number of Awards

2. The maximum number of students receiving scholarships should be maintained at around 20% of the total number of UGC-funded research students (by head count) who are within their study period.

Value of the Scholarship

3. The Scholarship is in the form of an exemption for students from paying tuition fees. If granted a Scholarship, full-time students will be exempted from paying one year's fees. The equivalent exemption for part-time students will be two years' fees. This is not a cash award and cannot be held concurrently with other awards covering tuition fees.

Criteria for Awards

4. The criteria indicated below are the normal thresholds and the actual award will be determined on the basis of the competition in each application round in terms of the academic merit of applicants.

New Students

5. Consideration of applications from new students is mainly based on their entry qualifications. Those with (a) a bachelor's first class honours (or equivalent qualifications) or (b) a good postgraduate degree and publication record will be considered for the award.

Current Students

6. Current students applying for the award (including renewal) should satisfy the following minimum criteria:
 - (a) (i) obtain a minimum cumulative GPA of 3.50, with no failures, in all the prescribed courses completed at the time of application; or (ii) have an outstanding publication record with a cumulative GPA of 3.00 or above, with no failures, in all the prescribed courses completed at the time of application;
 - (b) have good study progress as reported by the Qualifying Panel and satisfactorily carried out any assigned departmental duties as certified by the Head of Department;
 - (c) year 3 students or above must have at least one good quality paper published or accepted for publication whilst studying at the University.

Duration of the Award and Periodic Checking

7. Individual colleges/schools/departments may stipulate other additional assessment criteria, such as contribution to departmental duties, teaching performance, etc., as appropriate, to the award criteria for Research Tuition Scholarships.
8. The award is tenable until the end of a student's study period. It is granted on a yearly basis for full-time students and on a biennial basis for part-time students, and renewal is subject to competition and the continuing outstanding performance of the student.
9. Checking on a semester/term basis will be performed and those scholarship recipients identified as having a cumulative GPA below 3.00 or with failure grades will have their scholarship discontinued.

Withdrawal/Suspension of the Award

10. The Chow Yei Ching School of Graduate Studies reserves the right to withdraw or suspend the award if the student's overall performance is found to be unsatisfactory.

Appendix 21: Guidelines for the Award of Conference Grants

Purpose

1. The Conference Grant is intended to subsidise research students to participate in academic conferences in order to help widen their academic exposure and strengthen their research writing and presentation skills.

Eligibility

2. Research students applying for a grant should normally satisfy all of the following criteria:
 - (a) being a UGC-allocated or UGC-related research student;
 - (b) have completed at least twelve calendar months of study counting from the commencement date of study up to the starting date of the award period (excluding period of study interruption, if any);
 - (c) have not received a Conference Grant before (see also paragraph 3 below);
 - (d) will present a paper or poster at the conference.
3. It is the intention that a student should be given one Conference Grant during the course of his or her candidature. Nevertheless, a student who has previously been awarded a grant may still apply, and the application will be considered if the conference is highly relevant to the student's study and funds are available.

Value

4. The maximum value of a grant is HK\$10,000.
5. The grant is intended to cover the following items:
 - (a) 90% of the cost of one return passage by the most economical means available;
 - (b) subsistence allowance (HK\$300 per night subject to a maximum amount of HK\$1,000);
 - (c) 90% of the conference registration fee.
6. Items 5(a) and 5(b) do not apply to local conferences.

Conditions

7. Students are required to present a seminar in the Department, preferably before attending the conference, or, if that is not possible, soon after returning from the conference. The topic for the seminar could be the same as the topic of the paper to be presented at the conference for which the grant is made.
8. The award of the grant is conditional upon the student continuing to be a registered student at the University at the time the conference is held.

9. The grant approved only applies to the specific conference and cannot be used for other purposes.

Conference Report and Claims for Reimbursement

10. After the conference, students should submit a conference report (Form SGS13R), together with the following documents, to the Chow Yei Ching School of Graduate Studies within two months from the end date of the conference:
 - (a) original copy of relevant receipts;
 - (b) a copy of the conference paper.
11. Financial support is granted on a reimbursement basis upon receipt of the documents specified above.

Application Procedures

12. Applications should be made on Form SGS13, which is obtainable from the Chow Yei Ching School of Graduate Studies or can be downloaded from the School's Website (<http://www.cityu.edu.hk/sgs/>). Completed forms should be returned to the School via the supervisor and Department Head/School Dean.

Appendix 22: Guidelines for the Research Activities Fund

Purpose of the Fund

1. The Research Activities Fund supports research students undertaking research related activities outside Hong Kong, which are beneficial and related to their MPhil/PhD studies. To encourage overseas academic exchange, funding priority will be given to students visiting overseas institutions for research related work or research collaboration with overseas institutions.
2. For attending academic conferences, research students should apply for a “Conference Grant”, instead of this Research Activities Fund.

Eligibility

3. UGC-allocated and UGC-related research students who will undertake research related activities outside Hong Kong for no less than one month are eligible to apply for the research activities fund. Those who have already been given such funding in the preceding 12 months will not normally be considered.

Consideration of Applications

4. Interested students should submit an application form (SGS14), with the endorsement of their supervisor and Department Head/School Dean, to the Chow Yei Ching School of Graduate Studies (SGS) for its consideration. SGS will consider the application based on, but not limited to, the following:
 - (a) The research activity's relevance to the student's research degree studies
 - (b) Achievement of academic exchange through the activity
 - (c) Recommendation from the supervisor and Department Head/School Dean
 - (d) Availability of funding support from other source(s)
5. Final approval of application rests with SGS.

Funding Provision

6. If an application is approved, the amount of funding support will be calculated on the basis of the number of months for the leave period taken by the student for research related activities outside Hong Kong. A monthly allowance of HK\$5,000 will be given. Normally, the maximum cumulative amount of funding provision during the entire candidature of study is HK\$30,000. If the leave period is not on a full month basis, funding will be provided on a pro-rata arrangement. (For example, if a student will be away for 1½ months, he will be given a total of HK\$7,500.)
7. Students should submit a report on the visit to SGS, via their supervisor and Department Head/School Dean, within two months after the visit. Funding support is granted on a reimbursement basis after the visit, subject to the students' submission of a report found to

be satisfactory by both the supervisor and Department Head/School Dean, and the approval of SGS.

8. The award is conditional upon the student continuing to be a registered student at the University following his or her visit outside Hong Kong.

Appendix 23: Guidelines for the Conference and Research Related Travel Allowance of Hong Kong PhD Fellowship Scheme (applicable to students who are Hong Kong PhD Fellowship recipients only)

Background

1. According to the “Terms and Conditions” of Hong Kong PhD Fellowship Scheme (HKPFS), each awardee will be given a conference and research related travel allowance (hereafter referred as “travel allowance”) of HK\$13,300 per year for a period up to three years. The eligibility and disbursement of the research related travel allowance are subject to the prevailing practice and policy of the institution concerned.
2. Each HKPFS recipient is eligible to use conference and research related travel allowance of HK\$13,300 every year. The unused amount may be carried forward to the later years of study.
3. HKPFS recipients are encouraged to maximize the use of the travel allowance in attending overseas conference and to undertake research related activities outside Hong Kong during their study at the University and observe the following guidelines for use of the travel allowance in attending conference/undertaking research related activities.

For Attendance in Academic Conference

Eligibility

4. HKPFS recipients applying for financial support for attending conference should normally satisfy all of the following criteria:
 - (a) be within their stipulated study period at the time of conference held; and
 - (b) will present a paper or poster at the conference.

Funding Provision

5. The travel allowance for attending conference shall cover:
 - (a) 100% of the cost of one return passage by the most direct and economical means available;
 - (b) subsistence allowance of HK\$1,000 per night on reimbursement basis during the conference period; and
 - (c) 100% of conference registration fee.
6. Items 5(a) and 5(b) do not apply to local conferences.
7. The maximum value is up to the available balance of travel allowance.
8. If the travel allowance is not enough to cover the total expense of the conference, students may apply for SGS’s Conference Grant, and the total approved amount up to the maximum value of HK\$10,000 will be calculated according to prevailing funding provision and conditions of SGS’s Conference Grant as stipulated in “Guidelines for the Award of Conference Grants”. The funding in support of the conference will come from two sources:

- (i) firstly from the available balance of travel allowance of the student concerned, and (ii) secondly from SGS's Conference Grant.

Conditions

9. Students are required to present a seminar in the Department, preferably before attending the conference, or, if that is not possible, soon after returning from the conference. The topic for the seminar could be the same as the topic of the paper to be presented at the conference for which the grant is made.
10. The approval on the use of the travel allowance is conditional upon the student continuing to be a registered student at the University at the time the conference is held.
11. The travel allowance approved only applies to the specific conference and cannot be used for other purposes.

For Undertaking Research-related Activities Outside of Hong Kong

Eligibility and Funding Provision

12. HKPFS recipients who have been approved to take study leave and to undertake research related activities outside Hong Kong using SGS's Research Activities Fund are allowed to apply for the travel allowance to support 100% of the cost of one return passage by the most direct and economical means available for the same activity, up to the maximum available balance of travel allowance, whichever is lower.

Reimbursement Arrangement

13. Payment of the travel allowance will be made on reimbursement basis. Unspent balance will be carried forward to the next year of study until the end of candidature. Students are required to submit the following documents to the Chow Yei Ching School of Graduate Studies within two months after the conference/activity:
 - (a) Original receipts of disbursed items; and
 - (b) A written report as specified below:
 - (i) Conference Report (SGS13R) (*for conference attendance*); or
 - (ii) Research Activities Fund Report (SGS14R) (*for research related activities*).

Application Procedures

14. Applications should be made on the following form(s), which is obtainable from the Chow Yei Ching School of Graduate Studies or can be downloaded from the School's website (<http://www.cityu.edu.hk/sgs/>):
 - (a) Application for Use of Conference and Research Related Travel Allowance (HKPFS08); and
 - (b) Application for Research Activities Funds (SGS14).

Appendix 24: Regulations Governing Chow Yei Ching School of Graduate Studies Scholarships

Purpose

1. The purpose of Chow Yei Ching School of Graduate Studies Scholarships is to recognize and reward students with outstanding academic performance. It is a meritorious award and is granted on a strictly competitive basis.

Number of Awards

2. There will be around 20 awards to be given out each year, subject to the availability of funding.

Eligibility of the Scholarship

3. All UGC-allocated and UGC-related research degree students who (i) are within their normal/stipulated period of study; and (ii) have undertaken their current MPhil/PhD studies for at least twelve calendar months of study counting from the commencement date of study up to the starting date of the award period (excluding period of study interruption, if any) are eligible to apply for the Scholarship.

Value of the Scholarship

4. The Scholarship is a one-off cash award and the value of the award is HK\$60,000. Scholarship holders are not allowed to hold the Research Tuition Scholarship concurrently.

Criteria for Awards

5. The criteria indicated below are the normal thresholds and the actual award will be determined on a competitive basis in terms of the academic merit of nominees:
 - (a) (i) obtain a minimum cumulative GPA of 3.50, with no failures, in all the prescribed courses completed at the time of application; or (ii) have an outstanding publication record with a cumulative GPA of 3.00 or above, with no failures, in all the prescribed courses completed at the time of application;
 - (b) have good study progress as reported by the Qualifying Panel and satisfactorily carried out any assigned departmental duties as certified by the Head of Department;
 - (c) year 3 students or above must have at least one good quality paper published or accepted for publication whilst studying at the University.

Conditions of Award

6. The award of the Scholarship is conditional upon the student continuing to be a registered research student at the University during the award year. A scholarship recipient will be required to refund the Scholarship in full in the case that he/she ceases his/her student status at the University within the award year.

Appendix 25: Regulations Governing Chow Yei Ching School of Graduate Studies Entrance Scholarships

Purpose

1. The purpose of Chow Yei Ching School of Graduate Studies Entrance Scholarships is to encourage outstanding international students to undertake MPhil or PhD studies at the University with a view to promoting academic exchange and enhancing the international mix of the University's student population.

Number of Awards

2. There will be around 20 awards to be given out each year, subject to the availability of funding.

Eligibility of the Scholarship

3. Outstanding full-time UGC-allocated and UGC-related MPhil and PhD students like awardees of Hong Kong PhD Fellowship Scheme.

Value of the Scholarship

4. The Scholarship is to cover students' tuition and on-campus hostel accommodation fees in their first year of research studies. If granted a Scholarship, the student's full-time tuition and hostel accommodation fees in the first year of study will be off-set by the award. This award cannot be held concurrently with other awards covering tuition fees and accommodation expenses.

Nomination and Selection Criteria of the Scholarship

5. Newly admitted international students will be considered for the Scholarship upon the recommendation of their Department and College/School. The final approval rests with the Dean of Graduate Studies.
6. Recommendations should be made based on:
 - (a) whether the student could enhance the University's international mix and cultural diversity; and
 - (b) the student's entry qualifications. Those with (i) a bachelor's first class honours (or equivalent qualifications) or (ii) a good postgraduate degree and publication record will be considered for the award.

Appendix 26: Guidelines for the Chow Yei Ching School of Graduate Studies Outstanding Doctoral Research Award

Purpose

1. The establishment of the award is to recognize exceptional work done by PhD graduates and to encourage the highest levels of research and writing.

Number of Award

2. A maximum of one award for each category will be presented each year. Each awardee will receive an award certificate and a one-off cash prize of HK\$20,000.
Categories to group the nominations:

Category A – Science, Engineering and Technology

Category B – Humanities, Social Sciences and Business Studies

Eligibility

3. The candidate must have been awarded the Outstanding Research Thesis Award¹.
4. To be eligible for consideration of the award, the candidate must have been conferred a PhD degree in the same Congregation year in accordance with the designated Graduation Dates² as approved by Senate.

Application Procedures

5. Eligible candidates will be invited to submit applications with all required documentation using “Application for the Chow Yei Ching School of Graduate Studies Outstanding Doctoral Research Award” (SGS48 Form).

Shortlisted Process

6. College/School will forward to SGS a list of recommended candidate(s) who will be ranked in order of priority and provide detailed justifications in support of the application(s), for consideration by a University’s Review Committee.

¹ Students satisfying the following criteria will be eligible for the consideration of the Outstanding Research Thesis Award:

- (a) recommended by all the internal and external examiners for consideration of the Outstanding Research Thesis Award based on (i) quality and originality of the research; and (ii) clarity, accuracy and presentation of the thesis; and
- (b) obtained rating “1” (excellent; Top 2%) or “2” (Top 5%) on their quality from all of the thesis examiners.

² The Senate has designated three graduation dates every year (in February, July and October) following the end of a Semester/Term when students of all levels of study are considered to have formally graduated from the University.

Selection Process and Criteria

7. Applications will be assessed by a University Review Committee consisting of the Dean of Graduate Studies (Chair), Associate Dean of SGS and one member of the Committee on Research Degrees Candidature nominated by the Dean of Graduate Studies. The Committee will consider both the methodological and substantive aspects of the research achievement, based on the following factors:
 - Research work (thesis and publications) during the candidature period
 - The importance/impact of the research output
 - The originality/creativity of the research work
 - The quality of the scholarship
 - Candidate's contribution to the publication/patent
 - Ranking of publication reflecting the importance and impact of the journal
8. A formal award presentation will be arranged on an annual basis.

Appendix 27: Guidelines for the Outstanding Teaching Awards for Teaching Assistants

Objectives

1. The objective of the Outstanding Teaching Awards (OTA) for Teaching Assistants (TAs) is to recognize and reward PhD students who have performed outstanding face-to-face teaching under the TA Scheme.

Eligibility and Threshold Criteria

2. To be eligible for consideration of the Award, the TAs must have taken up face-to-face teaching in at least three course sessions and satisfied the following criteria:
 - (a) obtained an overall rating of “Outstanding” in teaching performance in the course sessions concerned as ranked by all course teaching supervisors on “Individual Supplementary Form on Evaluation of Teaching Assistant (TA) Assignment”; and
 - (b) obtained a minimum TLQ score of 5.5 out of 7.0 in the course sessions concerned.
3. Each eligible student will only be given the Award once during their entire candidature of study.

Approval and Award

4. The Chow Yei Ching School of Graduate Studies will identify those TAs who have satisfied the criteria give above ¹ and forward the cases to the relevant School/Department. The School/Department will consider the eligible candidates and nominate those students who have performed outstanding teaching for the Award.
5. Upon approval of School/Department, the TAs concerned will be granted the OTA.
6. The Award will be in the form of a certificate.
7. OTA will be awarded annually and the Award will be presented during the Orientation for Research Degree Students.

¹ Based on the data collected via the on-line system for TA performance evaluation.

Appendix 28: Regulations Governing Institutional Research Tuition Scholarships

Purpose

1. The purpose of the Institutional Research Tuition Scholarship is to recognize and reward students with outstanding academic performance. It is a meritorious award and is granted on a strictly competitive basis.

Source of Funding

2. University's non-UGC funds.

Eligibility

3. Institutional-funded students will be eligible to apply for consideration of the Scholarship.

Value of the Scholarship

4. The value of the scholarship shall be equivalent to one year's tuition fee level of full-time UGC funded programme set by the government. This is not a cash award and cannot be held concurrently with other awards covering tuition fees (except Institutional Research Tuition Grant).

Criteria for Awards

5. The criteria indicated below are the normal thresholds for the award/continuation of scholarship.

New Students

6. Consideration of new students is mainly based on their entry qualifications at the time of admission. No separate application is required.

Current students

7. Current students should satisfy the following minimum criteria:
 - (a) (i) obtain a minimum cumulative GPA of 3.50, with no failures, in all the prescribed courses completed at the time of application; or (ii) have an outstanding publication record with a cumulative GPA of 3.00 or above, with no failures, in all the prescribed courses completed at the time of application; or (iii) have other exceptional qualifications;
 - (b) have good study progress as reported by the Qualifying Panel and satisfactorily carried out any assigned departmental duties as certified by the Head of Department;
 - (c) year 3 students or above must have at least one good quality paper published or accepted for publication whilst studying at the University.
8. Individual colleges/schools/departments may stipulate other additional assessment criteria, such as contribution to departmental duties, teaching performance, etc., as appropriate, to the award criteria for Research Tuition Scholarships.

Duration of the Award and Periodic Checking

9. The Scholarship is granted on a yearly basis and is tenable until the end of a student's normal study period. Consideration of the Scholarship is subject to availability of funds and his/her satisfying the minimum criteria for awards.
10. Checking on a semester/term basis will be performed and those scholarship recipients identified as having a cumulative GPA below 3.00 will have their scholarship discontinued.

Withdrawal/Suspension of the Award

11. The Chow Yei Ching School of Graduate Studies reserves the right to withdraw or suspend the award if the student's overall performance is found to be unsatisfactory.

Appendix 29: Guidelines for PhD programme offered by City University of Hong Kong (in collaboration with partner universities in Mainland China)

Purpose

1. The purpose of these guidelines is to provide information specific to students admitted to PhD programme of the University, which is offered in collaboration with partner universities in Mainland China. Students shall follow the University's regulations and guidelines for research degree programmes, except those mentioned in this set of guidelines.

Source of Funding

2. University's non-UGC funds.

Confirmation of Offer

3. Admitted students should submit the final transcript to SGS to confirm the offer upon completion of all courses during application stage and before study in Hong Kong.

Residence Requirement and Study Leave

4. A student who is receiving regular supervision in Hong Kong or in a designated location approved by the University is classified as being in residence. The required residence period for research degree studies is equivalent to half of the relevant (normal) period of study. To fulfil the requirement, physical residence is required. During the residence period, students are required to study at the University's Hong Kong campus in full-time mode of study.
5. Under the premise that the residence requirement is fulfilled, students will be eligible to apply for study leave during their study in the University's Hong Kong campus.
6. Below is the summary for various partner universities.

Partner university	Normal Study Period	Minimum Residence Requirement in CityU Hong Kong campus	Maximum Allowable Period of Study Leave
University of Science and Technology of China (USTC)	36 months	18 months	6 months
Southern University of Science and Technology (SUSTech)	48 months	24 months	Not applicable

Submission of Reports

7. Students are required to submit a qualifying report within 12 months from the commencement of study at the University's Hong Kong campus.

Financial and Merit Awards

8. Students are eligible to apply for the following financial awards offered by the Chow Yei Ching School of Graduate Studies during study at the University's Hong Kong campus, subject to funding arrangements of the University.
 - (a) Postgraduate studentship
 - (b) Conference grant
 - (c) Research Activities Fund (applicable to students with Study Leave)
 - (d) Institutional Research Tuition Scholarships
 - (e) Outstanding Academic Performance Award
 - (f) Outstanding Research Thesis Awards Scheme
 - (g) Chow Yei Ching School of Graduate Studies Outstanding Doctoral Research Award

Appendix 30: Student Complaints Procedure

Scope

1. This Procedure applies to Complaints made by current undergraduate and postgraduate students*. Previously enrolled Students may lodge a Complaint under this Procedure provided that the event resulting in the Complaint occurred while they were enrolled.
2. This Procedure may not be used to challenge the professional academic judgment of examiners on the performance of Students; or for any of the following, for which separate procedures exist:
 - To request a review of any decision of an Assessment Panel or Examination Board.
 - To challenge the decisions made by any committee or panel at local or university level on a matter related to student discipline and/or sexual harassment.
 - To make a complaint against the President.
 - To make a complaint in relation to the conduct of any Student of the University.
3. This Procedure forms part of the Rules & Regulations of the University which a Student has, by accepting a place to study at the University and signing/making the Declaration upon Enrolment on admission to the University, agreed to fully observe. For the avoidance of doubt, in case where a Complaint is being made under this Procedure by a previously enrolled Student, such previously enrolled Student shall be deemed, for all intent and purposes, to have agreed to and accepted all the terms and conditions set out herein.
4. All Students have an obligation to inform themselves of the Rules & Regulations affecting them, including this Procedure.
5. A violation of the terms and conditions of this Procedure by a Student shall constitute and be deemed to be a breach of the University's Rules & Regulations and may result in disciplinary action being taken against the Student.

* Students of the Community College of City University and the School of Continuing and Professional Education are not covered by this Procedure.

Definitions

6. "Complaint" is defined, in this Procedure, as any type of problem, concern or grievance about the University or the University environment, which has an adverse impact on the Complainant's educational experience, and that is not covered by other University procedures, policies or codes of conduct, including those that deal specifically with the matters referred to in paragraph 2 above.
7. Definitions of respective terms adopted/ addressed in this Procedure could be found in Reference 1 of the Procedure.

Principles

8. CityU undertakes to provide a high quality education experience to Students, fully supported by a range of academic and administrative services and facilities. The University recognises that things may go wrong occasionally. Should this happen, it is fully recognised that Students should be able to express their dissatisfaction but in a responsible and proper manner.
9. Students should feel that they can make a Complaint which will be treated seriously, expeditiously and sensitively.
10. The Complainant must be able to demonstrate that the Complaint is based on evidence which the Complainant honestly and reasonably believes to be true or substantially true.
11. In making his/her Complaint, a Student shall identify himself/herself properly. Complaints lodged anonymously will not normally be investigated. However, in exceptional circumstances, the Vice-President (Student Affairs) may decide that an investigation is warranted even though it is made anonymously.
12. Complaints will be handled with regard for procedural fairness, confidentiality and privacy, including the use and storage of any information, data and records related to the Complaint.
13. Students are expected to participate in the Investigation and the Complaint resolution process under this Procedure in good faith.
14. All Investigations and/or Complaints will be dealt with constructively and, where a Complaint is upheld, the University will take reasonable steps or measures to prevent similar situations from occurring again in the future.
15. All information received as a result of an Investigation or a Complaint under this Procedure will remain confidential to those involved in the process. However, it should be noted that the Respondent will be informed of details of the subject matter of the Complaint and be afforded an opportunity to answer and reply to the Complaint.
16. The University may consider invoking the disciplinary procedures under the Code of Student Conduct and Disciplinary Procedure ("the Student Code") against a Complainant in cases where the Complaint is found to be malicious, frivolous or vexatious or where a Student has violated any of the terms and conditions of this Procedure.
17. At any stage of the Investigation or the informal or formal Complaint resolution process, the Complainant may decide to withdraw the Complaint. In most instances, the University will then deem the Complaint resolved and the Investigation closed. However, in certain circumstances, the Vice-President (Student Affairs) may deem the Complaint serious enough to warrant an internal investigation to continue even though it may have been withdrawn.

Timescales

18. In the case of a Complaint being made by a current Student, the Complaint must be made within a reasonable time of the incident giving rise to the Complaint and, in any event, no later than three months after the incident.
19. In the case of a Complaint being made by a previously enrolled Student, the event giving rise to such Complaint must have occurred while that Student was enrolled and the Complaint must be made no later than three months after the event.
20. Any Complaints made outside the time limits set out in paragraphs 18 and 19 above will not be entertained.
21. The Complaint procedure is divided into four stages:
 - Informal Complaint Process
 - Formal Complaint Process
 - Appeal Process
 - Recordkeeping and Reporting Process

Informal Complaint Process

22. Many Complaints can be handled through the informal process. This process should normally be used in the first instance. The Complainant should raise the Complaint initially with the most appropriate person in the relevant department/office/unit. For example, if the Complaint concerns the service quality provided by an office/unit of the University, then the Complainant should discuss the matter with an appropriate member of staff from that office/unit directly. If the Complaint concerns the content of a course, then the Complainant should discuss the matter with the relevant course leader, the programme leader or the Head of department concerned.
23. If attempts at informal resolution are not successful to the Complainant's satisfaction, the Complainant may initiate the formal complaint process.
24. The relevant department/office/unit should keep a full set of records of the Complaints received or handled.

Formal Complaint Process

25. Formal Complaints should be made in writing to the Office of the Vice-President (Student Affairs). The following information must be provided when a Complainant wishes to make a formal complaint:
 - a clear written statement of the nature of the Complaint;
 - an explanation of the steps that have been taken to try to resolve the Complaint informally and why the responses are not considered satisfactory;
 - evidence and/or relevant materials to support or justify the Complaint.
26. The Vice-President (Student Affairs) or his/her nominee shall consider the matter at the earliest practicable opportunity and may undertake an initial investigation. He/she shall normally respond to the Complainant with one of the following decisions within 15 days of receipt of the Complaint:

- Dismissal of the Complaint as unfounded; or
 - Determination that the Complaint is trivial and that no further action be taken; or
 - Determination that the Complaint is malicious; frivolous or vexatious; or
 - Proposal of an informal resolution to the Complainant; or
 - Determination that the matter be further investigated by the Student Complaints Panel ("SCP").
27. If the complaint is referred to the SCP for formal investigation, the SCP will be established within 15 days. The SCP shall include:
- Vice-President (Student Affairs), or nominee, as the Chair;
 - Members:
 - (a) Three members nominated by the Chair of the SCP from amongst the following categories of staff members:
 - One faculty member from each College/School, nominated by the Dean
 - Two staff members appointed by the Senate
 - Director of Student Development Services
 - (b) EITHER one postgraduate student nominated by the CityU Postgraduate Association in the case of a Complaint relating to a postgraduate student OR one undergraduate student nominated by the Students' Union, in the case of a Complaint relating to an undergraduate student;
 - The Secretary shall be an administrative staff member of the University appointed by the Vice-President (Student Affairs).
- No individual who was involved with a case during the informal process should be a member of the SCP for that case.
28. The Complainant/Respondent will be informed in writing of the membership of the SCP.
29. The SCP will initially carry out a review of the Complaint, based upon the key documents generated at the informal stage and further information which the Complaint/Respondent wishes to add. The SCP may ask the complainant for further information, if required.
30. Both the Complainant and Respondent are entitled to be accompanied by a staff or student member of the University, who is not involved in the case and is not to act as a witness, to attend any interviews or meetings convened by the SCP. In this instance they must advise the Panel Secretary of the attendance of a companion in writing at least 3 days before the meeting, and must provide the name and status of the companion.
31. The SCP shall complete its investigation, hearing and proceedings in a timely manner and normally within 30 days (if practicable) of receipt of the referred case. On completion of its investigation, the SCP's report containing its findings of fact and its recommendations shall be released to both the Complainant and the Respondent on a confidential basis.
32. If the Complainant / Respondent is not satisfied with the outcome of this formal process, he/she may consider to submit an appeal.
33. Every effort will be made by the Vice-President (Student Affairs) or the SCP to adhere to the time schedules set out in this formal process but there may be occasions however when this is not possible or impracticable. In such event, the Complainant and/or the Respondent shall be notified and kept informed of the progress by the Vice-President (Student Affairs) or the SCP.

Appeal Process

34. If the Complainant/Respondent is not satisfied with the outcome after the conclusion of the formal process, he/she may submit an appeal in writing to the President within 10 days of receipt of notification of outcome under the formal process. In the appeal, the appellant should state the grounds for appeal, which are limited to the following:
- (i) procedural irregularities in the investigation during the formal process;
 - (ii) fresh evidence which for good reasons had not been presented previously in the formal process.
35. The President or his nominee ("the Nominee") shall consider the matter at the earliest practicable opportunity. He/she shall normally respond to the appellant with one of the following decisions within 15 days of receipt of the appeal:
- Dismissal of the appeal as unfounded; or
 - Proposal of a resolution to the appellant; or
 - Convene a Complaints Appeal Panel ("CAP") to consider the appeal.
36. Should the President or the Nominee elect either to dismiss the appeal, or to propose a resolution to the appellant without recourse to a CAP, then his/her decision shall be final.
37. When the Nominee decided to convene a CAP to consider the appeal, the CAP will be established within 15 days. The CAP shall include:
- President or the Nominee as the Chair;
 - Members:
 - (a) One member nominated by the Chair of the CAP from amongst the following categories of staff members:
 - One faculty member from each College/School, nominated by the Dean
 - One staff member appointed by the Senate
 - (b) EITHER one postgraduate student nominated by the CityU Postgraduate Association in the case of a Complaint relating to a postgraduate student OR one undergraduate student nominated by the Students' Union, in the case of a Complaint relating to an undergraduate student;
 - Administrative staff member appointed by the Vice-President (Student Affairs) as Secretary.
- No individual who was involved with the case during either the informal or the formal process should be a member of the CAP for that case.
38. The appellant/respondent in the appeal process will be informed in writing of the membership of the CAP.
39. The CAP will carry out a review of the Complaint, based upon the key documents generated at the informal and formal stages, the evidence supporting grounds for appeal, and any further information which the appellant/respondent in the appeal process wishes to add. The CAP may ask for further information from both the complainants and the respondent, if required.
40. The CAP shall complete its investigation, hearing and proceedings as quickly as possible and normally within 30 days of receipt of the referred case. On completion of its investigation,

the CAP's report containing its findings of fact and its recommendations shall be released to both the appellant and the Respondent in the appeal process on a confidential basis.

41. The CAP may decide:
 - to confirm the decision previously made by the SCP, and thus conclude the consideration of the Complaint under this Procedure; or
 - to propose an alternative resolution to the appellant/ Respondent in the appeal process.
42. The decision of the CAP is final.
43. Every effort will be made by the President or the Nominee or the CAP (as the case may be) to adhere to the time schedules set out under this appeal process but there may be occasions, however, when this is not possible or practicable. In such event, the appellant and/or the respondent in the appeal process shall be notified and kept informed of the progress by the President or the Nominee or the CAP (as the case may be).

Recordkeeping and Reporting

44. The Office of the Vice-President (Student Affairs) will report annually to the Quality Assurance Committee (QAC) on all formal Complaints raised during the year, including those which have been dismissed. These reports form part of the University's quality assurance process and may be made available to other Committees or officers for reference, such as the Senate, the Management Board or the Council.

Privacy/Confidentiality

45. All parties involved in a Complaint and/or an Investigation are required to act in accordance with the privacy/confidentiality measures listed in Reference 2 of the Procedure.
46. Any violation of privacy and/or confidentiality set out in this Procedure and/or any contravention of the relevant data protection principles (DPPs) by a Student will be treated very seriously and subject those involved in such violation to disciplinary actions being taken against them under the Student Code.

Reference 1 for Appendix 30

Definitions of respective terms adopted/addressed in the Procedure

1. "CityU" or "University" means the "City University of Hong Kong".
2. "The Procedure" or "This Procedure" means the Student Complaints Procedures of CityU.
3. "Student" means an undergraduate (including the Government-funded Associate Degree), taught postgraduate, research postgraduate or professional doctorate student of the University, and includes previously enrolled Students.
4. A Student who makes a Complaint will be referred to as "the Complainant" throughout this document/ Procedure.

5. Individual(s)/ College(s)/ School(s)/ service department(s)/ office(s)/ unit(s) who/which are the subject/target of a Complaint will be referred to as "the Respondent" throughout this document/ Procedure.
6. "Investigation" means an investigation of a Complaint.
7. For the purposes of this procedure, a "day" refers to working day. Working days are defined as Mondays to Fridays, and do not include Saturdays, Sundays and/or public holidays.
8. "Rules & Regulations" mean the rules and regulations of the University as may be amended from time to time appearing at the University's websites.

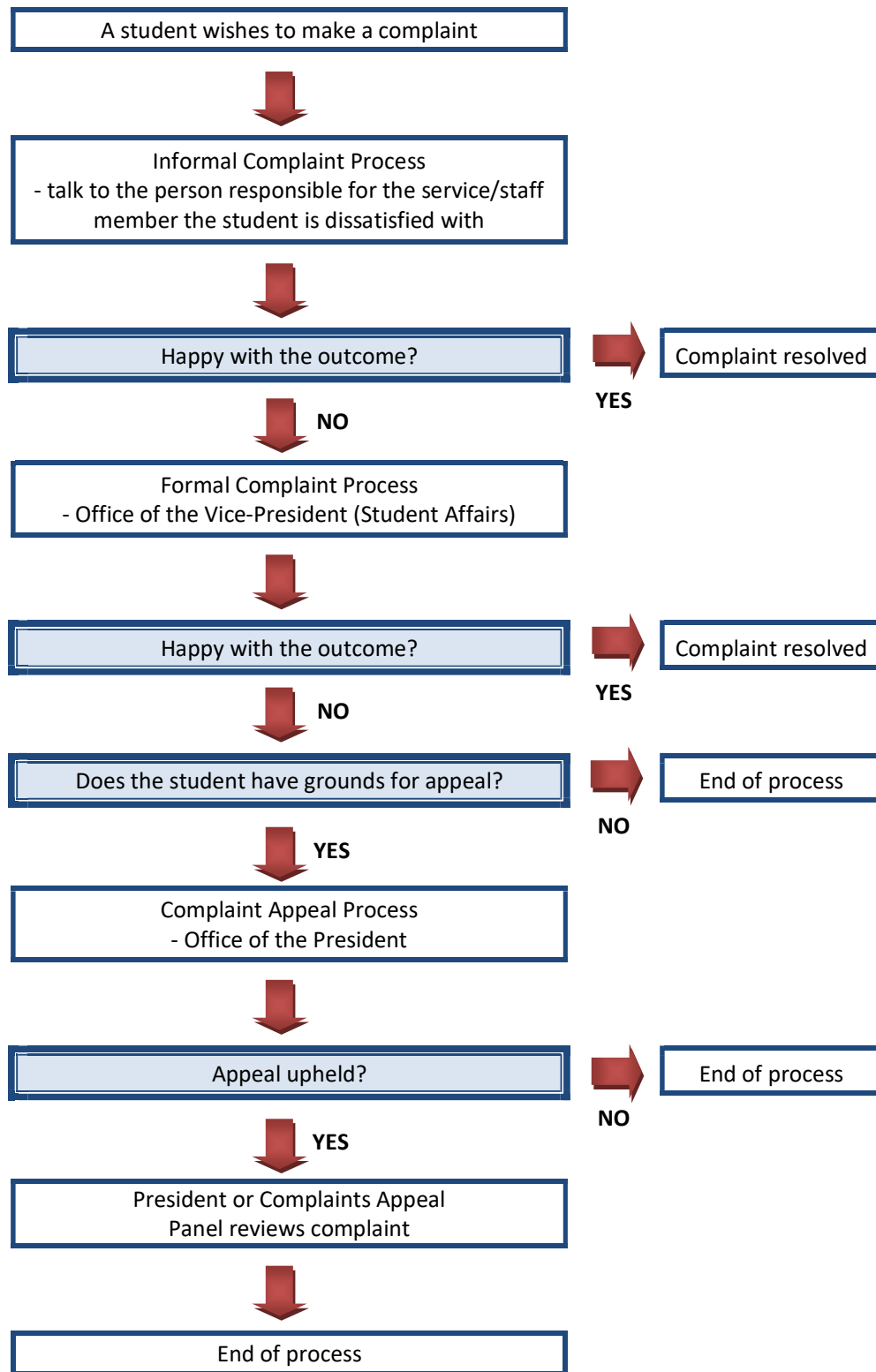
Reference 2 for Appendix 30

Privacy/Confidentiality measures adopted in the Procedure

1. All parties involved in a Complaint and/or an Investigation are required to maintain confidentiality. Other than in the following specified circumstances, any and all Complaints and any and all written records, correspondence, data, information, reports or findings or recommendations that may be made in furtherance of and/or generated by a Complaint and/or an Investigation (including email correspondence between a Student and the University and/or the Vice-President (Student Affairs) and/or the President and/or the SCP and/or the CAP made during the process of a Complaint) (hereinafter collectively referred to as "the Documents/Records") shall be and remain at all times confidential (including even after the conclusion/resolution of the Complaint/ Investigation) and shall not be disclosed to any third party not involved in the resolution process of the Complaint under this Procedure.
2. Again, other than in the following specified circumstances, anything said or discussed at any interview(s) and/or meeting(s) conducted as a result of a Complaint and/or an Investigation ("the Discussions") shall also be and remain at all times confidential (including even after the conclusion/resolution of a Complaint/Investigation) and shall not be disclosed to any third party not involved in the resolution process of the Complaint under this Procedure.
3. The specified circumstances referred to in paragraphs 1 and 2 above are confined to the following:-
 - 3.1 the making/filing of any reports or complaints to a regulatory body or the police;
 - 3.2 any private discussions that the Complainant and/or the Respondent may have with his/her respective immediate family member(s);
 - 3.3 where disclosure to third parties are required under legal proceedings or other action which requires disclosure to be made by way of a subpoena or similar court order.
4. Furthermore, Student(s) who invoke or take part in this Procedure is/are expected to respect and honour the system, procedures and regulations set out herein, including the appeal process and the decision of the President or the Nominee or the CAP (as the case may be) being final, and shall not resort to other illegal or improper means to voice/express their/his/her dissatisfaction with the outcome of a Complaint or an Investigation, including but not limited to the publishing or posting of any of the Discussions and/or the Documents/Records and/or any matters arising therefrom on the Democracy Wall of the University.

5. It is recognized that in certain cases, a Complaint and/or an Investigation may be directed against or concerns an individual where some or all of the Documents/Records will contain personal particulars or personal data of the subject under Complaint or Investigation. In such cases, it is expected that all persons involved in the Investigation and the resolution process of the Complaint, including the Complainant and the Respondent, who are 'data users' within the meaning of the Personal Data (Privacy) Ordinance, Cap. 486 of the laws of Hong Kong SAR ("the Privacy Ordinance"), will respect the personal and privacy rights of others and will adhere to and fully respect the relevant data protection principles ("DPPs") set out under the Privacy Ordinance as regards collection, use, storage and security of personal data including (a) that personal data shall not be collected unless the data are collected for a lawful purpose directly related to a function or activity of the data user, (b) that personal data shall not be used for any purpose other than the purpose for which the data were to be used at the time of collection, and (c) that all practicable steps should be taken to ensure that personal data held by a data user are protected against unauthorized or accidental access (for further details, please refer to the Privacy Ordinance and the Schedules thereto).

Student Complaints Procedure Flowchart



Appendix 31: Forms Relating to Research Degree Studies

For Use by Students

Form No.	Subject
#	Application for Vacation Leave (applicable to full-time research students only)
#	Change of Contact Information and Personal Data form
SGS02	Application for Change in Study Mode
SGS03	Application for an Extension of the Study Period
SGS04	Application for Transfer from MPhil to PhD Candidature
SGS05	Leave for Interruption of Studies
SGS06	Study Leave
SGS07#	Notification on Resumption of Studies/Return from Study Leave or from Study outside Hong Kong
SGS08#	Withdrawal Notification
SGS09	Notice of Submission of Thesis for Examination Arrangements
SGS09A	Certifying Form for Submission of Thesis for Examination
SGS09B	Statement on the Extent of Research Collaboration
SGS09R	Certifying Form for Re-submission of Thesis for Re-assessment
SGS10#	Application for Academic Transcripts/Testimonials/Certified True Copies
SGS11	Application for Outstanding Academic Performance Award for Research Degree Students/Research Tuition Scholarship (<i>for Current Students</i>)
SGS13	Application for a Conference Grant
SGS13R	Conference Report
SGS14	Application for Research Activities Funds and Study Leave
SGS14R	Research Activities Funds Report
SGS16A	Coursework Plan Form for Research Studies
SGS16B	Change in Coursework Plan for Research Students
SGS16C	Application for Credit Transfer/Coursework Exemption for Research Students
SGS17	Application for Continuation of Study outside Hong Kong in a Part-time Mode
SGS19	Application for Undertaking Paid Employment (<i>for Studentship Recipients</i>)
SGS21	Application for Leave Due to Health Reasons
SGS35	Assessment on Qualifying Report of Research Degree Candidature
SGS36	Assessment on Annual Progress Report for Research Degree Candidature
SGS47	Application for Replacement of Student Identity Card for Research Degree and Professional Doctorate Students
--	Questionnaire for Students with Disabilities (for research degree and professional students)
--	Sample Authorization Letter/Name or Thesis Title Amendment Form
HKPFS01	Annual Report Form A & B (for Hong Kong PhD Fellowship recipients only)
HKPFS02	Application Form for Extended Non-Academic Leave (for Hong Kong PhD Fellowship recipients only)
HKPFS03	Change Request Form (for Hong Kong PhD Fellowship recipients only)
HKPFS08	Application for Use of Conference and Research Related Travel Allowance (for Hong Kong PhD Fellowship recipients only)

All forms for students can be downloaded from <http://www.cityu.edu.hk/sqs/rpq/student>.

On-line forms are available.

For Use by Supervisors/Qualifying Panel Members/Schools/Departments/Colleges

Form No.	Subject
SGS09C	Nomination for an Additional/Replacement Examiner
SGS16	Changes to the List of Approved Courses for Research Degree Students
SGS38	Recommendation for Termination of Candidature
SGS39	Report on Students' Withdrawal from Studies
SGS40	Nomination for the Chow Yei Ching School of Graduate Studies Scholarship
SGS80	Application Form for Outstanding Supervisor Award
CIR-RPG	Curriculum Information Record for a Research Degree Programme
SYL	Course Syllabus Template / Explanatory Notes
--	Framework for Regular Full-time MPhil/PhD Students to Undertake Internship at CityU Shenzhen Research Institute (CityUSRI)
--	Framework for PhD Students under Mainland Collaboration Schemes to undertake internship at CityU Shenzhen Research Institute (CityUSRI)
--	Intern Recruitment Form
--	学生实习合同
--	HRM05 知识产权及保密协议(模版)
--	香港城市大学深圳研究院实习流程审批指引图
--	Endorsement Form of Dongguan PhD Project

All forms for staff can be downloaded from <http://www.cityu.edu.hk/sqs/staff/>.

**Chow Yei Ching School of Graduate Studies
(Research Degree and Professional Doctorate Programmes)**

City University of Hong Kong
Tat Chee Avenue
Kowloon
Hong Kong

Enquiries

Tel: 3442-9076

Fax: 3442-0332

E-mail: sg@cityu.edu.hk

Website: www.cityu.edu.hk/sgs/