

Research Student Handbook 2019/20

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Foreword by the Interim Vice President (Research and Innovation)

It is a great pleasure to welcome you to the vibrant and interactive research community of The Hong Kong Polytechnic University (PolyU) which enjoys an international reputation for the excellence of its research work and for the calibre of its staff.

Whether you are a commencing or continuing postgraduate research degree student this handbook is intended to provide a guide to those undertaking a research degree at PolyU. It contains comprehensive information about the requirements of research degrees at PolyU and sets out the procedures established to guide both students and supervisors. Each research student's work will develop in different ways; but the procedures provide for clear stages towards the completion of the degree and for a structured partnership between research student and supervisor.

At PolyU, the contribution of our postgraduate students to the research effort is considered essential for maintaining our national and international reputation for research excellence. Higher degree research study involves original and critical enquiry that makes a significant contribution to existing knowledge of relevance both nationally and internationally.

As a research student, you will have the opportunity to contribute to the character of our University through the research you undertake, the networks you form and by the feedback you provide to us about your student experience.

However, success in research will ultimately be the reward for your own inventiveness, attention to detail, perseverance and hard work. It is my sincere hope that you will take these responsibilities seriously and assist us to further promote the reputation of our University as an exciting and challenging research environment.

My colleagues and I are looking forward to working with you as you embark or continue on your research studies and on behalf of the University I would like to wish you every success with your research.

Professor Kwok-yin Wong
Interim Vice President
(Research and Innovation)
The Hong Kong Polytechnic University

Acknowledgement

We are grateful to various offices of the University for their contributions, which have helped in the compilation of this Handbook. In particular, permission by the Academic Registry to adapt and use relevant materials from their Student Handbook is acknowledged.

1. Research Degree Programmes

1.1 Introduction

The programme of research is designed in such a way to enable the student to acquire competence in research methods and scholarship and to display sustained independent effort and independent original thought.

The degree of Master of Philosophy (MPhil) or Doctor of Philosophy (PhD) shall be awarded to a student who, on completion of an approved programme of study and research and on fulfilling the coursework requirements for graduation, presents a thesis embodying the results of his/her research and satisfies the examiners in an oral examination (and other examinations if required) in matters relevant to the subject of the thesis.

MPhil and PhD students are required to satisfactorily investigate or evaluate a chosen area, to show understanding of the context and significance of the work, and to present a clear, complete thesis of a quality worthy of publication¹.

PhD students are expected in addition to produce evidence and argument to support an original proposition that results in a significant contribution to knowledge.

1.2 Structure

1.2.1 English Enhancement Subjects for Research Students

All research students admitted from the 2018/19 cohort onwards shall be required to take and pass two English enhancement subjects, namely ELC6001 “Presentation Skills for Research Students” and ELC6002 “Thesis Writing for Research Students” before thesis submission². For exemption, research students need to pass the Research Language Skills Assessment (RLSA)³.

For research students admitted in the 2017/18 cohort or before who have not yet taken and passed the English enhancement subjects, they shall approach the Research Office (RO) for advice and subject enrolment.

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- 1 Publication is broadly defined to include all forms of dissemination of the research findings, subject to peer endorsement or public recognition, in the public domain.
 - 2 For details on enrolment procedures, students are advised to approach the English Language Centre (ELC).
 - 3 With strong justification, the Chief Supervisor could recommend, for special consideration of the Vice President (Research Development), his/her research student for exemption from taking the English enhancement subjects without sitting the Research Language Skills Assessment (RLSA). The Vice President (Research Development)’s decision will be final and not subject to appeal.

1.2.2 Coursework/Credit Requirements

For students admitted from the 2014/15 cohort onwards (i.e. admitted on or after 1 July 2014)

Students are required to complete the coursework/credit requirements before thesis submission. Subjects are chosen by the student, with advice from the Chief Supervisor.

The University coursework/credit requirements are:

Programme	Coursework requirement	Details
MPhil	9 credits	1 credit from HTI6081 ⁴ + 2 credits from attending seminars + 6 credits from other subjects (no more than 3 credits from Guided-study subjects)
3-year full-time/6-year part-time PhD	15 credits	1 credit from HTI6081 + 3 credits from attending seminars + 2 credits from Practicum + 9 credits from other subjects (no more than 6 credits from Guided-study subjects)
4-year full-time/8-year part-time PhD	22 credits	1 credit from HTI6081 + 4 credits from attending seminars + 2 credits from Practicum + 15 credits from other subjects (no more than 9 credits from Guided-study subjects)

The coursework requirements of individual programmes may be different from the University requirements. Students should check with their affiliated department for the individual programme requirements.

Subject to the approval of the Chief Supervisor, research students may enroll in subjects offered by other universities in Hong Kong. They will not be charged any fees in addition to the fees they paid in PolyU.

For students admitted in or before the 2013/14 cohort (i.e. admitted on or before 30 June 2014)

Students are required to complete the coursework/credit requirements before thesis submission. Subjects are chosen by the student, with advice from the Chief Supervisor.

The University coursework/credit requirements are:

Programme	Coursework requirement	Details
MPhil	9 credits	1 credit from HTI6081 ⁵ + 3 standard subjects of which no more than 6 credits from Guided-study subjects
PhD	15 credits	1 credit from HTI6081 + 5 standard subjects with no more than 9 credits from Guided-study subjects)

⁴ HTI6081 is a compulsory one-credit subject entitled *Ethics: Research, Professional and Personal Perspectives*

⁵ Students registered before 2 July 2009 are not required to take and pass this compulsory subject

The coursework requirements of individual programmes may be different from the University requirements. Students should check with their affiliated department for the individual programme requirements.

A student can take level 4, 5 or 6 subjects offered by the University under existing taught programmes, or subjects tailor-made to meet the needs of research students.

Subject to the approval of the Chief Supervisor, research students may enroll in subjects offered by other universities in Hong Kong. They will not be charged any fees in addition to the fees they paid in PolyU.

1.2.3 Thesis Requirements

On completion of an approved programme of study and research, students must submit a thesis and defend it in an oral examination.

MPhil and PhD theses shall consist of the student's own account of his/her investigations and be an integrated and coherent piece of work.

Research students need to complete their coursework with a stipulated qualifying GPA before they can submit the thesis for examination. (See section 7 for details.)

According to the *Regulations and Administrative Procedures for Research Degrees* (Appendix A), the thesis shall be presented in English. An intention to present the thesis in a language other than English will be considered, preferably on admission. Strong justifications on academic grounds must be provided to substantiate that the use of English will adversely affect the clarity of the thesis should another language be used. Applications shall be endorsed by the DRC, approved by the FRC/School Board and copied, for information, to the RC Chairman, who may veto the decision of the FRC/School Board.

1.2.4 Award of Degree

The PhD or MPhil degree is awarded to a student who completes all stipulated coursework requirements, presents a thesis embodying the results of their research and satisfies the examiners in an oral examination (and other examinations if required) in matters relevant to the subject of the thesis.

2. Access to Information

The main communication channel for disseminating information and notices to students within the University will be through e-mails and the University Portal. It is important for students to regularly check from these sources.

2.1 PolyU E-mail, Website and Portal

A PolyU Connect account based on the student number is provided to students for access to the PolyU Connect system which provides e-mail, communication and collaboration services to users. Important notices and information concerning students' study may be sent to them by lecturers and offices of the University, such as Academic Registry notices on your registration or study related arrangements and Library notices on book loans through PolyU Connect. Therefore, students are advised to check for messages in their PolyU Connect account regularly. The PolyU Connect Email will be available to all alumni of PolyU and they can continue using their email service upon graduation.

At the PolyU Homepage (<http://www.polyu.edu.hk>), the University Portal (<https://my.polyu.edu.hk>) and Portal for Research Postgraduate Students (http://www.polyu.edu.hk/ro/student_portal), students can obtain general information about the University as well as useful information relating to their studies and the facilities available on campus. Therefore, in addition to checking e-mails at the PolyU Connect account, it is necessary for students to check information posted on the University Portal regularly in order not to miss up-to-date information.

All full-time and part-time students are assigned a Network Identity (NetID) to access the University's central IT facilities and services. For the first access, students have to activate their assigned NetID and select their Network Password (NetPassword) online via the link provided in the email sent to them after the completion of the programme registration procedures or by clicking the "New Student" button on the University Portal Login Page (<https://my.polyu.edu.hk>) and then follow the system instructions to complete the registration. The NetID is the same as the Student Number, but with the last alphabetic character in lower case. For example, a student with Student Number "19123456R" will have NetID of "19123456r". With the NetID and NetPassword, students can have free access to the University's central IT facilities and services including eStudent, University Portal, Portal for Research Postgraduate Students, Learning Management System, Academic Computing Services, wired and wireless Internet connection, HelpCentre Online Tracking Service, network storage etc. Since most of student activities at PolyU (e.g. subject registration, web teaching and learning, and personal data amendment) are transacted on web, students must not divulge their NetPassword or any other personal identification numbers (PINs) to anybody.

For security reason, students must also change their account password/PIN regularly. Students will be held responsible for the actions taken using their account password/PIN.

2.2 Documents for Information

This *Research Student Handbook*, which is available from RO's Website, contains essential information concerning general academic matters, general regulations and procedures, services and facilities for students and various communication channels.

2.3 Noticeboards

Various departments will communicate with their students through notices and messages on their departmental noticeboards. It is necessary to read notices put up on the noticeboards of these offices as often as possible, especially on matters concerning class attendance and other important news or announcements.

2.4 Access to Student Support and Services Units

Please refer to [Section 21](#) of this Handbook for a brief introduction of the major offices from which students may obtain helpful support and services during their study at the PolyU.

3. Visa Requirements for Non-local Students

3.1 Definition of Non-local Students

Non-local students are holders of the following documents issued by the Immigration Department of the Hong Kong Special Administrative Region:

- Student visa/entry permit;
- Visa/entry permit under the Immigration Arrangements for Non-local Graduates (IANG);
- Dependent 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.

3.2 Study Visa

Non-local students must hold a valid study visa before they can start their study. The University will sponsor the student to study in Hong Kong until the day he/she ceases to be registered in the research programme. The University will not sponsor the student's spouse or dependents.

3.3 Procedures for Visa Applications

Upon admission, the University will help non-local students to apply for a student visa. As it may take 8 to 10 weeks for the Immigration Department of the Hong Kong Special Administrative Region to process the student visa application, non-local students are strongly advised to submit it as soon as they have received either a conditional or a firm admission offer from the University. Please note that the Immigration Department may not accept student visa applications from certain nationals. Please obtain more information from the Immigration Department's website at <https://www.immd.gov.hk/eng/services/visas/study.html>.

Non-local students will be informed of the details of visa application if they are offered admission to the University's programmes.

The Academic Registry will collect the entry permit labels from the Hong Kong Immigration Department as soon as they are available and mail them to the non-local students.

International Students

As soon as the students receive the entry permit label from the Academic Registry, they may arrange to depart for Hong Kong.

Mainland Students

As soon as the students receive the entry permit label from the Academic Registry, they may approach their Public Security Bureau Office, where their household registration is kept, to apply for a visa.

3.4 Procedures for Visa Extension

For students admitted from the 2018/19 cohort onwards (i.e. admitted on or after 1 September 2018)

Please follow the procedures as described in Chapter 10 of the “Important Notes for Non-local Students of the Student Handbook 2019-20” published by the Academic Registry (AR) at <https://www.polyu.edu.hk/ar/web/en/for-polyu-students/student-handbook/2019-20/en/Ch-10/index.html#B>

For students admitted in or before the 2017/18 cohort (i.e. admitted on or before 30 June 2018)

To apply for an extension of the visa when it is due to expire, non-local research students residing overseas should start the process by completing Form ID91. For details, please visit the website of the Hong Kong Immigration Department at <http://www.immd.gov.hk>.

Non-local research students may approach the Research Office (RO) for a testimonial (Form RC/19) in support of their application for an extension of their visa. The usual processing time for a testimonial is seven working days.

3.5 Termination of Sponsorship of Study Visa for Non-local Students

When the Research Committee (RC) has approved the award cases, the Research Office (RO) will notify the Hong Kong Immigration Department of the list of non-local graduates by submitting a “Notification of Termination of Studies” for each of the non-local graduates within seven days counting from the RC approval date for their award.

Non-local graduates are required to leave Hong Kong within four weeks from the RC approval date for their award. For students admitted in or before the 2017/18 cohort, RO will remind non-local graduates of when they have to leave Hong Kong via email. It is a breach of the Hong Kong immigration laws if non-local graduates fail to leave Hong Kong within the stipulated timeframe. For more details, please refer to the website of the Hong Kong Immigration Department at https://www.immd.gov.hk/eng/services/terminate_employ_study.html.

4. Research Supervision

4.1 Supervisory Arrangements

With a view to providing both departments and newly-admitted research students opportunities to identify the most appropriate supervisors, there are two supervisory arrangements:

- (1) The DRC assigned a Chief Supervisor and approved a student's detailed research proposal before the commencement of study.
- (2) The student is admitted without being assigned a Chief Supervisor and without an approved research project at the point of admission, i.e., on the first day of affiliation with the department. The department is obliged to assign the most suitable staff member(s) as supervisor(s) within four months of admission, and the student and his/her supervisor(s) are required to formulate a research proposal for the DRC's approval within four months of admission.

Stipends are drawn, if applicable, upon admission, which will also mark the beginning of the normal period of study.

Usually three months after admitting the student, the academic department will invite the student to submit the requisite information on the supervisor(s) and research proposal using Form RC/49 and Form RDC/1A. Upon receipt of the information, the academic department will issue another letter to confirm the particulars of the student's supervision arrangement and programme of study.

4.2 Supervision Guidelines

The Guidelines (see [Appendix D](#)) aim to provide a clear statement of the roles and responsibilities of the various parties involved in research supervision.

5. Confirmation of Registration

A successful applicant is provisionally registered as a full-time or part-time research degree student. Within the first half of the normal period of study, a research student is required to have his/her registration confirmed, subject to a formal assessment. If the progress of the research study is satisfactory, the student's registration in the PhD or MPhil programme is confirmed. Registered MPhil students can apply for transfer to PhD programmes during the process.

However, students who failed to complete their confirmation of registration within the first half of their normal period of study will be considered as not progressing satisfactorily, and may be de-registered from their study.

For details of regulations governing the confirmation of registration, please refer to the following:

Section 6 of Appendix A2	for regular RPg students admitted between 2014/15 and 2016/17 cohorts (i.e. admitted between 1 July 2014 and 30 June 2017)
Section 6 of Appendix A3	for regular RPg students admitted from the 2017/18 cohort onwards (i.e. admitted on or after 1 July 2017)
Section R3 of Appendix C2(i)	for joint PhD students admitted between 2014/15 and 2016/17 cohorts (i.e. admitted between 1 July 2014 and 30 June 2017)
Section R3 of Appendix C3(i)	for joint PhD students admitted from the 2017/18 cohort onwards (i.e. admitted on or after 1 July 2017)

Applications for confirmation of registration should be made using Form RC/39A. Students must read the notes on page 1 of Form RC/39A before completing the form.

5.1 Periods of Study

The following table shows the normal and maximum periods of study for various research degree programmes.

Degree	Study Mode	Normal Study Period	Maximum Study Period
PhD	Full-time	3 years	5 years
		4 years*	6 years*
	Part-time	6 years	7 years
		8 years*	9 years*
MPhil	Full-time	2 years	3 years
	Part-time	4 years	5 years

Note:

* for PhD students admitted on the basis of a Bachelor's degree

6. Subject Registration and Related Matters

6.1 Subject Registration

At the admission stage, the prospective Chief Supervisor will discuss with the prospective research student the coursework subjects that he/she should take in order to support his/her research studies. The proposed coursework study programme and any application for credit transfer should be submitted in Forms RC/26 and RC/33 respectively. The coursework study programme is regarded as a tentative programme, which may subsequently be changed, subject to the approval of the Chief Supervisor.

Before the start of each semester, AR (for students admitted from the 2018/19 cohort onwards) and RO (for students admitted in or before the 2017/18 cohort) will check if any scheduled classes have been cancelled and approach the Chief Supervisor for updates of the coursework requirement records of the affected students. Research students will register for subjects at the same time as other students.

The names of research students will be included in the class register of the subject and only these students will be allowed to take the subject examination.

6.2 Credit Transfer

6.2.1 Transfer of Credits from Recognised Previous Studies at Postgraduate Level

For regular RPg students admitted from the 2018/19 cohort onwards (i.e. admitted after 1 September 2018)

- Applications should be made using Form RC/33. Students must read the notes to students on the last page of Form RC/33.
- Applications for the transfer of credits from recognised previous studies will be endorsed by the DRC with justifications and approved by the HoD/DoS.
- Credits which have already been used to contribute to an award should not be transferred to contribute to another award with the following exception:
 - All returning students will be allowed to apply to transfer one credit from their previous studies in HT16081 Ethics: Research, Professional & Personal Perspectives;
 - 3-year full-time (or 6-year part-time) PhD students will be allowed to apply to transfer one credit from their previous attendance in seminars.
- Only credits earned at the postgraduate level will be acceptable for transfer.
- The validity period for such credit transfer for research degree programmes is defined to be 8 years from the year of attainment at the time of admission. The maximum number of credits transferrable is:
 - No more than 50% of the credit requirement of the programme disregarding whether the credits were earned within or outside PolyU.
- Credits transferred from previous study outside the University will not be included in the calculation of the qualifying GPA.

For Joint PhD students admitted from the 2018/19 cohort onwards (i.e. admitted after 1 September 2018)

- Applications should be made using Form RC/33 and will be endorsed by the DRC with justifications and approved by the HoD/DoS. Students must read the notes to students on the last page of Form RC/33.
- Credits which have already been used to contribute to an award should not be transferred to contribute to another award with the following exception:
 - All returning students will be allowed to apply to transfer one credit from their previous studies in HT16081 Ethics: Research, Professional & Personal Perspectives and PhD students with

Master's entry will be allowed to apply to transfer one credit from their previous attendance in seminars.

- Only credits gained from subjects at postgraduate level will be acceptable for transfer.
- The validity period for such credit transfer for research degree programmes is defined to be 8 years from the year of attainment at the time of admission.
- The maximum number of credits transferrable taken at postgraduate level outside the Partner Institution is
 - No more than 50% of the credit requirement of the programme.
- There is no limit on the number of credits to be approved for transfer if the credits are taken at postgraduate level from the Partner Institution.
- Credits transferred from previous study outside PolyU and the Partner Institution will not be included in the calculation of the qualifying GPA.

For regular RPg students admitted between the 2014/15 and 2017/18 cohorts (i.e. admitted between 1 July 2014 and 30 June 2018)

- Applications should be made using Form RC/33. Students must read the notes to students on the last page of Form RC/33.
- Applications for the transfer of credits from recognised previous studies will be endorsed by the DRC with justifications and approved by the HoD/DoS.
- Credits which have already been used to contribute to an award should not be transferred to contribute to another award with the following exception:
 - All returning students will be allowed to apply to transfer one credit from their previous studies in HT16081 Ethics: Research, Professional & Personal Perspectives;
 - 3-year full-time (or 6-year part-time) PhD students will be allowed to apply to transfer one credit from their previous attendance in seminars.
- Only credits earned at the postgraduate level will be acceptable for transfer.
- The validity period for the transfer of credits for research degree programmes is defined to be five years from the year of attainment at the time of admission. That is, a student will be permitted to transfer credits if he/she has obtained the credits within 5 years prior to registration.
- The maximum number of credits transferrable is:
 - 2-year full-time/4-year part-time MPhil: 6 credits
 - 3-year full-time/6-year part-time PhD: 9 credits
 - 4-year full-time/8-year part-time PhD: 14 credits
- Credits transferred from previous study outside the University will not be included in the calculation of the qualifying GPA.

For Joint PhD students admitted between the 2014/15 and 2017/18 cohort (i.e. admitted between 1 July 2014 and 30 June 2018)

- Applications should be made using Form RC/33 and will be endorsed by the DRC with justifications and approved by the HoD/DoS. Students must read the notes to students on the last page of Form RC/33.
- Credits which have already been used to contribute to an award should not be transferred to contribute to another award with the following exception:
 - All returning students will be allowed to apply to transfer one credit from their previous studies in HT16081 Ethics: Research, Professional & Personal Perspectives and PhD students with Master's entry will be allowed to apply to transfer one credit from their previous attendance in seminars.
- Only credits earned at the postgraduate level will be acceptable for transfer.

- The validity period for the transfer of credits for research degree programmes is defined to be 5 years from the year of attainment at the time of admission.
- The maximum number of credits transferrable taken at postgraduate level outside the Partner Institution is 9 credits.
- There is no limit on the number of credits to be approved for transfer if the credits are taken at postgraduate level from the Partner Institution.
- Credits transferred from previous study outside PolyU and the Partner Institution will not be included in the calculation of the qualifying GPA.

For regular RPg students admitted in or before the 2013/14 cohort (i.e. admitted on or before 30 June 2014)

- Applications should be made using Form RC/33. Students must read the notes to students on the last page of Form RC/33.
- Applications for the transfer of credits from recognised previous studies will be endorsed by the DRC with justifications and approved by the HoD/DoS.
- Students may be given credits for recognised previous studies. If the credits to be transferred from previous studies have been gained from outside the University, they will not be included in the calculation of the qualifying GPA.
- Only credits earned at the postgraduate level will be acceptable for transfer.
- The validity period for the transfer of credits for research degree programmes is defined to be 5 years from the year of attainment at the time of admission. That is, a student will be permitted to transfer credits if he/she has obtained the credits within 5 years prior to registration.
- Approval will normally be given for the transfer of a maximum of 9 credits out of the 15 required for a PhD student (or 18 for students of the Faculty of Business enrolled between 1 September 2003 and 1 July 2009; or 19 for those enrolled on or after 2 July 2009), and a maximum of 6 out of the 9 (or 12 for students of the Faculty of Business enrolled between 1 September 2003 and 1 July 2009; or 13 for those enrolled on or after 2 July 2009) required for an MPhil student.

For Joint PhD students admitted in or before the 2013/14 cohort (i.e. admitted on 30 June 2014 or before)

- Students may be given credits for recognised previous studies.
- Only credits earned at the postgraduate level will be acceptable for transfer.
- The validity period for the transfer of credits for research degree programmes is defined to be 5 years from the year of attainment at the time of admission.
- Credits transferred from previous study outside PolyU and the Partner Institution will not be included in the calculation of the qualifying GPA.
- Students must complete/transfer at least 6 credits with a letter grade. These credits include those taken at PolyU before admission to the Joint PhD Programmes Leading to Dual Awards and those taken after admission within or outside PolyU with prior approval of the PolyU Chief Supervisor.

6.2.2 Transfer of Credits Taken at Postgraduate Level Outside PolyU after Admission

Applications should be made using Form RC/48.

The transfer of grades will be in accordance with the conversion table detailed below and the grade obtained will be included in the calculation of the qualifying GPA.

Grade Obtained Outside PolyU after Admission	Grade Transferred to PolyU	Grade Point	Interpretation
A+	A+	4.5	Exceptionally Outstanding
A	A	4	Outstanding
A-	A	4	Outstanding
B+	B+	3.5	Very good
B	B	3	Good
B-	B	3	Good
C+	C+	2.5	Wholly satisfactory
C	C	2	Satisfactory
C-	C	2	Satisfactory
D+	D+	1.5	Barely satisfactory
D	D	1	Barely adequate
D-	D	1	Barely adequate
E	F	0	Inadequate
F	F	0	Inadequate

6.3 Subject Exemption

A student may be exempted from taking a compulsory subject if he/she has successfully completed a similar subject previously in another programme or already has the associated knowledge/skills via work experience, etc. Subject exemption is decided by the DRC but students can also apply for it. If a student is exempted from taking a compulsory subject, the credits associated with the exempted subject will not count towards the credit requirements. It will therefore be necessary for the student to take another subject, to be approved by the Chief Supervisor, in order to satisfy the credit requirements.

6.4 Adding/Dropping Subjects

For students admitted from the 2018/19 cohort onwards (i.e. admitted on or after 3 September 2018)

Research students will register for subjects, perform add/drop changes via the Subject Registration Function at the [eStudent](#) platform at the same time as other students.

Whether a student can add a subject will depend on the availability of vacancies in the subject and the approval of the Chief Supervisor. Similarly, a student can drop a subject if it is approved by the Chief Supervisor. The student will effect the subject registration/deletion.

After the add/drop period, further enrolment in subjects will normally not be entertained. Exceptional cases with good justification and to which the subject lecturer agrees will require the DRC's approval up to the end of the 4th week after the commencement of the semester.

For students admitted in or before the 2017/18 cohort (i.e. admitted on or before 30 June 2018)

After students have completed subject registration, if they wish to make any changes to the subject in which they have enrolled, they may do so during the add/drop period, i.e., the week before and the week after the commencement of a semester, according to the procedures specified by RO.

Whether a student can add a subject will depend on the availability of vacancies in the subject and the approval of the Chief Supervisor. Similarly, a student can drop a subject if it is approved by the Chief Supervisor.

After the add/drop period, further enrolment in subjects will normally not be entertained. Exceptional cases with good justification and to which the subject lecturer agrees will require the DRC's approval up to the end of the 4th week after the commencement of the semester.

6.5 Retaking Subjects

After the announcement of the semester examination results, students may check whether they have failed any subject via [eStudent](#) (for students admitted from the 2018/19 cohort onwards) or the [Research Student Portal](#) (for students admitted in or before the 2017/18 cohort).

Information for students admitted from the 2014/15 cohort onwards (i.e. admitted after 1 July 2014)

Students may retake any subject for the purpose of improving their grade without having to seek approval, but they must retake a compulsory subject which they have failed, i.e. obtained an F grade. Students wishing to retake passed subjects will be accorded a lower priority than those who are required to retake (due to failure in a compulsory subject) and can only do so if places are available.

The number of retakes of a subject is not restricted. Only the grade obtained in the final attempt of retaking (even if the retake grade is lower than the original grade for originally passed subject) will be included in the calculation of the Qualifying GPA. If students have passed a subject but failed after retake, credits accumulated for passing the subject in a previous attempt will remain valid for satisfying the credit requirement for award. (The grades obtained in previous attempts will only be reflected in transcript of studies.)

In cases where a student takes another subject to replace a failed elective subject, the fail grade will be taken into account in the calculation of the GPA, despite the passing of the replacement subject.

The time for registering a semester one failed subject will probably be during the add/drop period of semester two. The registration of a semester two failed subject will be within the subject registration period for semester one of the following academic year.

Information for students admitted in or before the 2013/14 cohort (i.e. admitted on or before 30 June 2014)

Students may retake only those subjects in which they have obtained a grade "C+" or below. They may retake a subject once only.

On meeting these two conditions, students may retake a subject without the formal approval of the Chief Supervisor.

If a student retakes a subject, the credits associated with the subject will be counted only once towards the credit requirements. Moreover, the better grade obtained and the associated credits will be used to calculate the qualifying GPA, if applicable.

The time for registering a semester one failed subject will probably be during the add/drop period of semester two. The registration of a semester two failed subject will be within the subject registration period for semester one of the following academic year.

6.6 Withdrawal from Subjects

During the add/drop period, research students will perform add/drop changes via the Subject Registration Function at [eStudent](#) (for students admitted from the 2018/19 cohort onwards) or via the [Research Student Portal](#) (For students admitted in or before the 2017/18 cohort).

Dropping of subjects after the add/drop period is normally not allowed. If a student has a genuine need to drop a subject after the add/drop period, it will be handled as withdrawal of subject. The student should submit an application for withdrawal of subject (Form RC/36) to the Chief Supervisor and the relevant Subject Lecturer for approval. The withdrawn subject will be reported in the Assessment Result Notification and Transcript of Studies although it will not be counted in the calculation of QGPA.

Application for withdrawal of subject will not be entertained after the commencement of the examination period.

A handling fee of HK\$110 per subject will be charged for approved cases. If the handling fee concerned is outstanding by the payment due date, the approval given will be declared void and the student is required to attend classes in this subject and sit for any relevant examination as appropriate.

6.7 Nullification of Registration

Should a student fail to settle his/her fees as required (including tuition fees) by the payment due date, or should the fee payment be rejected, his/her registration on the programme will be declared null and void. Only under exceptional circumstances will the student be allowed to have his/her registration status reinstated. For approved cases, a reinstatement fee of HK\$400 will be charged (see also subsection 17.5). For rejected payment cases, a handling fee of HK\$110 will be charged if the student is able to rectify the payment before the last day for payment.

7. Coursework Assessment and Examination

7.1 Examination Periods and Notification of Results

Examinations are normally held at the end of the semester. Please refer to the Academic Calendar in Appendix C for the examination periods. The examination timetable of individual students will be accessible via [eStudent](#) (for students admitted from the 2018/19 cohort onwards) or the [Research Student Portal](#) (for students admitted in or before the 2017/18 cohort) about six weeks before the examination period. If any examination that a student should take is not included in the examination timetable, the student should contact their respective department immediately to rectify his/her records.

After the finalisation of the examination results by the authorities, students can check their results via [eStudent](#) (for students admitted from the 2018/19 cohort onwards) or the [Research Student Portal](#) (for students admitted in or before the 2017/18 cohort).

7.2 Calculation of Qualifying GPA

A student may take subjects graded as "pass" or "fail", instead of a letter grade, during his/her research studies at PolyU. However, an MPhil student must at least complete three credits with a letter grade and a PhD student must at least complete six credits to allow for a meaningful calculation of the qualifying Grade Point Average (GPA).

All MPhil students need to complete their coursework with a qualifying GPA of 2.75 or above, and all PhD students need to complete their coursework with a qualifying GPA of 3.0 or above before submission of their thesis for examination.

The numerical grade point assigned to each letter grade is as follows:

Grade	Grade Point
A+	4.5
A	4
B+	3.5
B	3
C+	2.5
C	2
D+	1.5
D	1
F (subject failure grade)	0

For students admitted from the 2014/15 cohort onwards (i.e. admitted on or after 1 July 2014)

The qualifying GPA is the result of the accumulated value of the subject grade point multiplied by the subject credit value divided by the total credit value for those subjects. It is capped at 4.0 and is computed as follows:

$$\text{Qualifying GPA} = \frac{\sum \text{Subject Grade Point} \times \text{Subject Credit Value}}{\sum \text{Subject Credit Value}}$$

Where

- a. credits earned from all compulsory subjects, except those assessed with a “Pass” or “Fail” grade (such as Practicum and Seminars), will be included in the calculation of Qualifying GPA;
- b. the best grade points will be chosen for the calculation of the Qualifying GPA for credits earned for elective subjects;
- c. the following subjects will be excluded from the calculation of Qualifying GPA:
 - exempted subjects
 - ungraded subjects
 - incomplete subjects
 - subjects for which credit transfer has been approved, but without any grade assigned
 - subjects from which a student has been allowed to withdraw (i.e., those with the grade “W”).

Students may take more subjects than required in order to improve their qualifying GPA or in order to strengthen their knowledge.

Subjects taken after thesis submission will not contribute to the qualifying GPA.

As mentioned in subsection 6.5 above, students may retake any subject for the purpose of improving their grade. The number of retakes of a subject is not restricted. Only the grade obtained in the final attempt of retaking (even if the retake grade is lower than the original grade for originally passed subject) will be included in the calculation of the Qualifying GPA. If students have passed a subject but failed after retake, credits accumulated for passing the subject in a previous attempt will remain valid for satisfying the credit requirement for award. (The grades obtained in previous attempts will only be reflected in transcript of studies.) In cases where a student takes another subject to replace a failed elective subject, the fail grade will be taken into account in the calculation of the GPA, despite the passing of the replacement subject.

For students admitted in or before the 2013/14 cohort (i.e. admitted on or before 30 June 2014)

The qualifying GPA is computed as follows:

$$\text{Qualifying GPA} = \frac{\sum \text{Subject Grade Point} \times \text{Subject Credit Value}}{\sum \text{Subject Credit Value}}$$

Where

- a. the qualifying GPA is the result of the accumulated value of the subject grade point multiplied by the subject credit value divided by the total credit value for those subjects.
- b. For MPhil study only the best 9 credits will count towards the calculation, and for PhD study only the best 15 credits will count towards the calculation.

(For students of the Faculty of Business enrolled between 1 September 2003 and 1 July 2009:

For MPhil study only the best 12 credits will count towards the calculation, and for PhD study only the best 18 credits will count towards the calculation.

For students of the Faculty of Business enrolled on or after 2 July 2009:

For MPhil study only the best 13 credits will count towards the calculation, and for PhD study only the best 19 credits will count towards the calculation.)

No credit will be earned if a subject is failed.

Students are allowed to take more subjects than required in order to improve their qualifying GPA to reach the required level.

Subjects taken after thesis submission will not contribute to the qualifying GPA.

As mentioned in subsection 6.5 above, if a student retakes a subject, the credits associated with the subject will be counted only once towards the credit requirements and the calculation of the qualifying GPA if applicable.

7.3 Assessment Regulations

The grades obtained by research students on coursework subjects will be considered and endorsed by the Subject Assessment Review Panel (SARP) of the department offering the subject. The grades obtained by research students on Guided-study subjects will be considered and endorsed by the relevant DRC based on the assessment reports (Form RC/27).

7.4 Late Assessment

If a student has been absent from an examination because of illness, injury or other unforeseeable reasons, he/she may apply for a late assessment. Permission is subject to the approval of the SARP. Application in writing should be made to the Head of Department offering the subject within five days of the date of the examination, to be accompanied by any supporting documents such as a medical certificate.

In case the student is permitted to take a late assessment, that examination or other forms of assessment as decided by the SARP will be regarded as a first assessment and the actual grade attained will be awarded.

The student is required to settle a late assessment fee (chargeable at HK\$245 per subject) before taking/completing the late assessment. If he/she fails to settle the fee, the result of the late assessment will be invalidated.

8. Monitoring Progress

For students admitted from the 2018/19 cohort onwards (i.e. admitted on or after 1 September 2018)

All students will be assessed by their academic department by the end of each Semester. DRC is required to indicate in the Student Record System if an RPg student will be allowed to proceed on with their study by end of each Semester.

For students admitted in or before the 2017/18 cohort (i.e. admitted on or before 30 June 2018)

All PhD students, except for the following categories, must submit an annual progress report on their research study.

- PhD students who are yet to confirm their registration; or
- PhD students who have confirmed their registration since 1 January of each year; or
- PhD students who have transferred their study from MPhil since 1 January of each year; or
- PhD students who have submitted Form RDC/2B to indicate their intention to take the thesis examination; or
- PhD students who have submitted their thesis to the RO.

No report is required for MPhil students.

If a PhD student fails to submit his/her progress report by the stipulated deadline, the full DRC shall consider whether the student should be de-registered as a result of unsatisfactory progress.

The monitoring exercise, which is co-ordinated by the RO, will usually be held in May/June of each year. Details will be announced at the appropriate time.

9. Residence Requirements

	Regular RPg students
Admitted from the 2016/17 cohort onwards (i.e. admitted on or after 1 July 2016)	<p>Residence provides students with an opportunity to become immersed in the intellectual environment of the University. Also included in the residence are periods during which students' research requires off-campus field or non-PolyU laboratory work.</p> <p>Despite of the mode of study, the residence requirement for an MPhil degree is two regular semesters; and that for a PhD degree is three regular semesters if a relevant research Master's degree is earned prior to entering the programme, but four regular semesters if it is not.</p> <p>All research postgraduate students must fulfil the residence requirement before thesis submission.</p> <p>In addition to the residence requirement, full-time research postgraduate students are required to be on campus full-time and consequently in such geographical proximity as to be able to participate fully in University activities associated with the programme.</p> <p>Where a student needs to conduct his/her research outside Hong Kong, adequate supervision arrangements must be proposed by the Chief Supervisor and approved by the DRC for study periods spent outside Hong Kong.</p>
Admitted in the 2015/16 cohort or before (i.e. admitted on or before 30 June 2016)	All research students must spend at least 12 months (in aggregate) of their studies at the PolyU.

	Joint PhD students – Incoming	Joint PhD students - Outgoing
Admitted from the 2018/19 cohort onwards (i.e. admitted on or after 1 September 2018)	Incoming students shall spend at least 3 consecutive semesters including 1 summer term in PolyU to complete the required coursework and the research work.	<p>Outgoing students shall spend at least 2 or 3 consecutive semesters including 1 summer term of their studies at the partner institution, in accordance with the residence requirement stipulated in the agreement between PolyU and the partner institution.</p> <p>As the outgoing students are also registered at PolyU, they shall also observe the residence requirement in PolyU. They shall spend at least three regular semesters at PolyU if a relevant research Master's degree is earned prior to entering the programme, and four regular semesters if it is not.</p>

	Joint PhD students – Incoming	Joint PhD students - Outgoing
Admitted between the 2014/15 and 2017/18 cohorts (i.e. admitted between 1 July 2014 and 30 June 2018)	Incoming students shall spend at least 12 or 18 months (in blocks of at least 6 months) in PolyU in accordance with the residence requirement stipulated in the agreement between PolyU and the partner institution.	Outgoing students shall spend at least 12 months (in blocks of at least 6 months) of their studies at the partner institution. Outgoing students admitted to PolyU before 1 July 2016 shall spend no less than 12 months (aggregate) in PolyU. For outgoing students admitted to PolyU on or after 1 July 2016, they shall spend at least three regular semesters at PolyU if a relevant research Master's degree is earned prior to entering the programme, and four regular semesters if it is not.
Admitted in or before the 2013/14 cohort (i.e. admitted on or before 30 June 2014)	All incoming students shall spend at least 12 or 18 months (aggregate) in PolyU in accordance with the residence requirement stipulated in the agreement between PolyU and the partner institution.	

10. Research Degree Examination

Research students must submit a thesis to the University when their study is completed (which must be before the end of their maximum period of study). The thesis should summarise the findings of the student's original and independent research, and is submitted for the award of a University research degree. For details of the examination, please refer to the following:

Section R13 of Appendix A1(i)	for students admitted in or before the 2013/14 cohort (i.e. admitted on or before 30 June 2014)
Section 20 of Appendix A2	for students admitted between 2014/15 and 2016/17 cohorts (i.e. admitted between 1 July 2014 and 30 June 2017)
Section 20 of Appendix A3	for students admitted from the 2017/18 cohort onwards (i.e. admitted on or after 1 July 2017)
Section R13 of Appendix C1(i)	for joint PhD students admitted before 2014/15 cohort (i.e. admitted before 1 July 2014)
Section R13 of Appendix C2(i)	for joint PhD students admitted between 2014/15 and 2016/17 cohorts (i.e. admitted between 1 July 2014 and 30 June 2017)
Section R13 of Appendix C3(i)	for joint PhD students admitted from the 2017/18 cohort onwards (i.e. admitted on or after 1 July 2017)

As mentioned in section 9 above, all students must satisfy the residence requirement before they are allowed to submit their thesis.

10.1 Submission of Thesis

A student and the supervisor(s) concerned will complete and submit Form RDC/2B, "Notice of Intention to Take Thesis Examination", to the office concerned* when the thesis is ready or nearly ready for examination. It is advisable that Form RDC/2B be submitted well in advance of, and preferably four months before, the submission of the thesis so that a BoE can be set up in time by the University Research Committee (RC).

The setting up of the BoE involves the appointment of the Chairman of the BoE by the HoD/DoS. The external examiners are nominated by the Chairman of the BoE and approved by the Chairman of the FRC/School Board. External examiners are normally given two weeks to reply to our invitation. In the event that they do not accept the invitation, a replacement external examiner will be invited.

Submission of Initial Thesis

- Students should send their thesis (in PDF format) and the completed Form RC/18 (in PDF format) to the designated email account of the Research Office (RO) or the General Office of Department, the email should be copied to the Chief Supervisor and DRC Chair.
 - For students admitted in or before the 2017/18 cohort: ro.thesis@polyu.edu.hk
 - For students admitted from the 2018/19 cohort onwards: Please check with the General Office of your Department

* The "office concerned" refers to:

For students admitted in or before the 2017/18 cohort: Research Office (RO)

For students admitted from the 2018/19 cohort onwards: General Office of Department

2. Students should submit their thesis during counter opening hours, i.e. 9:00 a.m. to 5:20 p.m., from Monday to Friday. Thesis submitted after the specified opening hours will be regarded as submission on the next working day. The office concerned* has the final discretion to determine the actual submission date of your thesis.
3. If the file size of the thesis exceeds 18 MB (i.e. the maximum allowable size of each attachment in PolyU email system), the student should contact the administrative staff in the office concerned* to make a special arrangement for him/her to submit his/her thesis and the completed Form RC/18.
4. If any BoE member prefers a hard copy of thesis for review/comment, the request will be passed to the respective D/SRC Secretary for follow-up.

Submission of Initial Thesis without the approval of the Chief Supervisor

1. Students should send their thesis (in Word or PDF format) and the completed Form RC/62 (in PDF format) to the designated email account of the Research Office (RO) or the General Office of Department, the email should be copied to the Chief Supervisor and DRC Chair.
 - For students admitted in or before the 2017/18 cohort: ro.thesis@polyu.edu.hk
 - For students admitted from the 2018/19 cohort onwards: Please check with the General Office of your Department
2. Students should submit their thesis during counter opening hours, i.e. 9:00 a.m. to 5:20 p.m., from Monday to Friday. Thesis submitted after the specified opening hours will be regarded as submission on the next working day. The office concerned* has the final discretion to determine the actual submission date of your thesis.
3. If the file size of the thesis exceeds 18 MB (i.e. the maximum allowable size of each attachment in PolyU email system), the student should contact the administrative staff in the office concerned* to make a special arrangement for him/her to submit his/her thesis and the completed Form RC/62.
4. If any BoE member prefers a hard copy of thesis for review/comment, the request will be passed to the respective D/SRC Secretary for follow-up.
5. Under normal circumstances, the Chief Supervisor would be required to submit a report on the thesis within two weeks.
6. As soon as the Chief Supervisor's report is received, the Chairman of the BoE will be asked to confirm within two weeks whether, on a prima facie basis, the thesis can be sent to the external examiners for consideration.
7. If the thesis is found to be acceptable by the BoE Chair, the office concerned* will send the electronic thesis to the external examiner via email. External examiners shall be asked to read the thesis and submit a report on the thesis within six weeks. The office concerned* will send details of the examination arrangements to all parties concerned.
8. The above arrangements are some suggested steps for handling the submission of initial thesis without the approval of the Chief Supervisor.

10.2 Delay in Submitting Additional Copies of a Thesis for Assessment by the Board of Examiners (BoE)

If no additional copies are submitted to the office concerned* two weeks after receiving the BoE Chair's confirmation that no (further) amendments to the thesis are required, the office concerned* will ask for

* The "office concerned" refers to:

For students admitted in or before the 2017/18 cohort: Research Office (RO)

For students admitted from the 2018/19 cohort onwards: General Office of Department

the BoE Chair's copy and send it to the Printing Office to get the additional copies printed. The student will be required to reimburse the office concerned* the printing cost, worked out according to the market rate, as well as to pay a handling fee of HK\$500. Failing this, the academic award parchment will not be released until after the student has settled the required costs.

10.3 Failure to Submit a Thesis for Assessment by the End of the Normal Period of Study

If a student is unable to complete his/her study within the normal study period, he/she shall notify the DRC Chair via the Chief Supervisor in writing before the normal study period expires, indicating the reasons and the expected completion date, which should fall within the maximum study period. The DRC Chair shall act on the Chief Supervisor's recommendations to approve or disapprove the student's request for continuing his/her study beyond the normal study period (but within the maximum study period), and inform the office concerned* of his/her decision.

Any research student who fails to submit his/her thesis to the office concerned* by the end of the normal period of study is required to pay a continuation fee regardless of whether or not he/she is receiving a monthly stipend.

10.4 Examination of Thesis

The BoE consists of a Chairman, who must be from a broadly related discipline whose main duties are (1) to uphold the integrity of the exam process and (2) act as a gatekeeper to ensure quality of the thesis, the Chief Supervisor and two external examiners. The Chairman of the BoE will read the thesis submitted and, if deemed appropriate, will advise the office concerned* to send the thesis to the external examiners for review. When favourable comments are received from all examiners, an oral examination will be arranged.

10.5 Oral Examination

The oral examination, which usually lasts for two to three hours, is conducted by the BoE. Both external examiners must attend the viva and at least one of them shall attend the viva in person. The other external examiner may attend either in person or through video-link.

Only PolyU academic and research staff, research students and invited departmental guests of the host Department concerned will be allowed to attend vivas.

The thesis examination comprises the following parts where the sequence is to be determined by individual BoE:

- a closed session in which the BoE holds a preliminary discussion in the student's absence
- a full oral presentation by the student to the BoE and others in attendance
- an open question period, involving the members of the BoE and others in attendance. Questions from the floor must be addressed through the Chair of the BoE, who will exercise discretion on the appropriateness of a question to be put forward to the examinee
- a session[#] involving further discussion between the student and the BoE

- a closed session, in which the BoE assesses the thesis and the student's performance in the student's absence
- a closed session, in which the BoE informs the student of the BoE's recommendations

A thesis that is of a confidential nature (such as those that contain proprietary data) may be defended in a closed oral examination subject to approval. The Chief Supervisor should inform the office concerned* of such circumstances and ensure that the request for a closed oral examination has been approved by their DRC before reaching the office concerned*. For example, those theses that involve external funding support for undertaking the research topic are likely to be of a confidential nature.

After the viva, the student must follow up on the recommendations made by the BoE. The BoE will then recommend that the RC ratify the research degree award upon receipt of confirmation regarding the follow-up action done by the student.

10.6 Submission of Approved Thesis

When a student has satisfied all of the requirements for the award, he must submit a duly signed Declaration of Ownership of work (Form RC/56) to prove that the final version of the thesis has been sent for plagiarism check. RO will then present the recommendation of the Board of Examiners (BoE), together with their Report on Output arising from Research Studies at PolyU (Form RC/7), to the Research Committee (RC), who will consider and ratify the recommendation of the BoE, as appropriate. Once the recommendation is ratified, the student must prepare electronic copies of the final version of the thesis to be sent to the University Library and other parties concerned. The electronic copy thesis should be sent to the recipient(s) of below:

Faculty	Dept	Recipient(s) of the electronic copy thesis
FAST	ABCT	One copy to be sent to the Library, one for the HoD and one for each supervisor
	AMA	
	AP	
	ITC	
FB	AF	
	LMS	
	MM	
FH	CBS	
	CC	
	ENGL	
FCE	BRE	
	BSE	
	CEE	
	LSGI	
FENG	BME	

Whether this session is open or closed will depend on the policy adopted by the Faculty/School with which the candidate is affiliated.

* The "office concerned" refers to:

For students admitted in or before the 2017/18 cohort: Research Office (RO)

For students admitted from the 2018/19 cohort onwards: General Office of Department

Faculty	Dept	Recipient(s) of the electronic copy thesis
	COMP	One copy to be sent to the Library, one for the HoD, one for the Department and one for each supervisor
	EE	One copy to be sent to the Library, one for the HoD and one for each supervisor
	EIE	
	ISE	
	ME	One copy to be sent to the Library
FHSS	APSS	One copy to be sent to the Library, one for the HoD and one for each supervisor
	HTI	One copy to be sent to the Library
	RS	One copy to be sent to the Library, one for the HoD and one for each supervisor
	SN	
	SO	
SD		
SHTM		One copy to be sent to the Library

The electronic copy to be sent to the Library is intended for permanent preservation, and for processing to make it accessible in the PolyU Electronic Theses Database and publicly available in the PolyU's institutional repository for worldwide retrieval, and publicly available in the PolyU's institutional repository for worldwide retrieval. Specification on submission of the approved thesis is provided in Appendix D.

After award ratification by the Research Committee (RC), the office concerned* will send the electronic copy of the final thesis to the Library and the above recipient(s) for record.

10.7 Confidentiality of Thesis

If a thesis is to remain confidential for a period of time after completion of the work, an application shall be submitted to the DRC by any interested party before submission of the thesis for examination. A thesis may be kept confidential normally for a maximum of two years.

* The "office concerned" refers to:

For students admitted in or before the 2017/18 cohort: Research Office (RO)

For students admitted from the 2018/19 cohort onwards: General Office of Department

11. Awarding of Academic Degrees

11.1 Approval of Award and Expiry of Student Status

The BoEs' recommendations for the awarding of research degrees will be ratified, as deemed appropriate, by the RC. (A schedule of the RC's meetings is posted on RO Website.) Student status ceases when the awarding of a research degree is ratified by the RC. The student identity card, which is the property of the University, must be returned to the University upon the expiry of student status.

11.2 Congregation

Research students whose degrees are ratified by the RC and who have submitted the approved thesis to RO (see section 10.6 above and Appendix D for details) will be invited to attend a Congregation during which the research degree awards will be presented.

11.3 Award Parchment

Students whose awards are approved by the RC at its meetings between 16 March and 30 September will obtain the award parchments after the Main Session of the Congregation. The date of conferment to be printed on the award parchments for this group of students will be 30 September of the year concerned.

Students whose awards are approved by the RC at its meetings between 1 October and 15 March will obtain the award parchments in late March/April. The date of conferment to be printed on the award parchments for this group of students will be 15 March of the year concerned.

Students unable to come in person to collect the parchment may authorise another person in writing to collect it on their behalf. A copy of the student's Hong Kong Identity card (or passport for those who do not possess a Hong Kong Identity card) and student identity card must be attached to the letter of authorisation. The copy of the card/passport will be destroyed afterwards.

The University is not responsible for the safe custody of any uncollected parchments after the collection period. It is therefore the student's responsibility to collect the parchment according to the stipulated schedule.

The University will under no circumstances issue any duplicates or replacements of the academic award parchments.

12. Research Studentship

12.1 Purpose of the Studentship

The Studentship is a scholarship awarded to full-time research students with an aim to allow them to fully focus on their studies. It is awarded on the basis of academic merit. Since the awardee is a full-time student and is not an employee of the University, the award will not be subject to taxation.

12.2 Eligibility

The Studentship will be awarded by the respective DRC to eligible students. An eligible student will normally be one who (i) holds a Bachelor's degree with second-class honours or above from this University or another qualification of equivalent standard, as determined by the DRC; and (ii) is a full-time student for the degree of MPhil or PhD.

12.3 General Terms and Conditions

Each studentship awardee will be required to sign a detailed terms and conditions for his/her studentship. Below are the general terms and conditions for reference:

- 12.3.1 The amount of the award shall initially be fixed at a rate applicable to the year of admission, and will be subject to review and adjustment. The taking up of the award implies acceptance by the awardee of any adjustments to the amount of the award approved by the University during the period of the Studentship.
- 12.3.2 The Studentship will be paid to the awardee on a monthly basis.
- 12.3.3 The Studentship will normally be awarded on an academic year basis. Nevertheless, it can be terminated at any time if the awardee's registration as an MPhil/PhD candidate is terminated either by the University or by the awardee. The provision of the Studentship is not guaranteed and is also subject to the awardee making satisfactory progress in his/her study and availability of funding.
- 12.3.4 The awardee is expected to devote full-time effort to his/her programme of study on campus. He/She is not permitted to take up any employment with the University or with any other employers, or engage in any other activities that make him/her unable to devote full-time effort to his/her programme of study unless special approval is granted, upon the recommendation of the Chief Supervisor, by the RC via the relevant DRC and Faculty Research Committee/School Board. Applications should be made using Form RC/61. Should the awardee be found to be undertaking/have undertaken an employment without prior approval of the University, his/her studentship will be suspended immediately.
- 12.3.5 The awardee will receive certain training as assigned by the Head of Department/Dean of School in consultation with the Supervisor(s) in his/her department for up to six hours per week. The nature of the training will be related to teaching and research, and be relevant to his/her formal programme of study.

12.3.6 The University reserves the right to revise the amount of the award and the above conditions for the award of a Studentship.

12.3.7 Stipend will be paid to a student until the end of his/her normal study period or until the date of approval for his/her award by The Research Committee (RC) within the normal study period, whichever is the earlier.

12.4 Extension of Studentship

12.4.1 Extension of Studentship within the Normal Period of Study

For each studentship awardee, the DRC will determine a period for which a Studentship that is awarded Normally, the period for Studentship will not exceed the normal period of study.

If a student cannot complete his/her study by the end of the period during which the stipend is provided, the DRC may extend the Studentship if this is justified.

12.4.2 Extension of Studentship beyond the Normal Period of Study

Under exceptional circumstances, e.g., when the completion of study of the student being caused by factors beyond the control of the student and/or the Chief Supervisor or when new developments in the research will help improve the quality/outcome of the research study, a student may apply for an extension of the Studentship for a period beyond his/her normal period of study.

All such applications are to be approved by the DRC/FRC/School Board. The student and/or Chief Supervisor should provide sound justification and a detailed study plan for the DRC/FRC/School Board's consideration and decision.

A DRC can approve an (aggregate) extension of Studentship for up to 12 months for MPhil and PhD students, regardless of the source of funding support, whereas an FRC/School Board can approve an extension of longer than 12 months.

The rate of the Studentship should be decided/proposed by the DRC to be the same or preferably lower than that which the student was receiving before the extension.

The department with which the student is affiliated shall decide which non-UGC and non-RGC funds be used to support the extension.

13. Assistantship under the Teaching Postgraduate Studentship Scheme

13.1 Purpose of the Assistantship

The main purpose of the Assistantship under the Teaching Postgraduate Studentship (TPS) Scheme is twofold: (a) to grant, on merit basis, financial support to eligible full-time Research Postgraduate (RPg) students with a view to allowing them to fully focus on their studies; and (b) to provide more teaching experience and training opportunity to interested RPg students in order to widen their exposure for the development of their academic career.

13.2 Eligibility

- 13.2.1 Only full-time RPg students who are not receiving a stipend will be eligible for receiving assistantship under TPS. Holders of other scholarship awards may be considered for receiving assistantship under TPS provided that this does not violate the terms and conditions of the other awards.
- 13.2.2 To ensure the quality of teaching and administrative support provided by TPS recipients, prospective students must successfully complete a training programme entitled “Becoming an Effective Teaching Assistant (BETA)” organised by the Educational Development Centre (EDC) and, where necessary and appropriate, other training on specific teaching skills (e.g. supervising laboratory work) arranged by the department before they may be allowed to take up the relevant teaching duties. Students who have already obtained a professional qualification in teaching, or can demonstrate that they have successfully completed a comparable training programme offered by EDC or other institutions before, may apply to Interim VP(RI) for an exemption.
- 13.2.3 TPS recipients who are required to interact directly with students in English as a part of their duties in supporting teaching and learning must demonstrate their language competence to fulfill the intended duties to the satisfaction of the host department. All eligible students, except those who are native English speakers or those who have already taken EDC’s BETA programme, will also be required to successfully complete a language training programme offered by the English Language Centre (ELC) before taking up their Teaching Assistant responsibilities. The host department might also require the student to complete other language training programme(s), for example, those organised by the Chinese Language Centre, as deemed necessary.

13.3 General Terms and Conditions

Each recipient of the Assistantship under the TPS Scheme will be required to sign a detailed terms and conditions for his/her Assistantship. Below are the general terms and conditions for reference:

- 13.3.1 Selected students for receiving assistantship under the TPS will be appointed as part-time Teaching Assistants (TA) at the University on terms and conditions in accordance with the University’s policies on part-time appointment.

- 13.3.2 TAs will be required to provide 17 hours of teaching or administrative support work per week in the host department, as assigned by the Head of Department/Dean of School (HoD/DoS) or the supervisor(s). The duties undertaken by a TA normally include:
- assistance with running of tutorials/seminars/workshops, and/or supervision of laboratory or practical work;
 - assistance with grading of tests, assignments and examination papers;
 - assistance with preparation of material and resources for supporting teaching and learning;
 - assistance with invigilation of University degree examinations; and
 - assistance with other teaching and administrative duties, as deemed appropriate by the host department.
- 13.3.3 The duration of the Assistantship shall normally be nine months. During this period, the Assistantship will automatically cease as soon as the awardee has completed his/her research degree programme at the University, or has ceased to be a full-time RPg student, or when his/her studies are terminated by the University.
- 13.3.4 The amount of Assistantship will be stated in each appointment letter and adjusted automatically in accordance with the RPg student stipend. Any adjustment to the amount of assistantship will be communicated to the awardee in writing.
- 13.3.5 All TAs employed under the TPS Scheme must be evaluated each semester of appointment for each of the subjects that they are assigned to support.
- 13.3.6 The TA will not be permitted to take up any other employment or remunerated work with the University or with other employers, without having received the prior approval of the Chair of the Departmental Research Committee (DRC), who will seek input from the Research Office.
- 13.3.7 TPS assistantship recipients are employees of the University; the Assistantship to be received will be in the form of salary payment which is subject to tax. They are required to obtain approval of the Chief Supervisor and the HoD/DoS concerned before taking leave. Approval will be granted only if there is no interference with the teaching/administrative duties of the Assistantship awardees concerned. Unauthorised leave may result in the cancellation of the Assistantship.
- 13.3.8 TPS assistantship recipients who do not perform satisfactorily in their studies or duties may lose their Assistantship or have their Assistantship suspended for a prescribed period of time.
- 13.3.9 Assistantship awardees under the TPS Scheme may relinquish the Assistantship with one month's notice or one month's salary in lieu.
- 13.3.10 TPS assistantship recipients providing 17 hours of work per week are normally awarded an annual tuition fee subsidy from the University. The award of this subsidy, however, is subject to the student's successful completion of the nine-month employment as a part-time TA at the University. Failing this, the student will be required to return a pro-rated portion of the subsidy to the University.
- 13.3.11 TPS assistantship awarded to a particular student can be renewed within his/her normal period of study at the University, subject to good study and work performance, and availability of funds.

13.4 Granting of Assistantship under the TPS Scheme beyond the Normal Period of Study

- 13.4.1 Under *exceptional* circumstances, a student may be granted a TPS in the period beyond his/her normal period of study (but before the completion of the study), provided that the delay in the completion of the study is due to factors beyond the control of the student and/or the Chief Supervisor.
- 13.4.2 Recommendations for granting of TPS beyond the normal period of study are subject to approval of Interim VP(RI). The student or DRC Chair should provide sound justification and a detailed study plan for the consideration and decision of the Interim VP(RI).

14. Research Student Attachment Programme

The Research Student Attachment Programme provides an invaluable opportunity for full-time PhD students to add a global dimension to their university life. Successful applicants will continue to receive studentship, if applicable, while continuing their research interests in a non-local host institution. Travel expenses and a monthly subsistence allowance will normally be supported.

Applications are also invited from in-coming visiting full-time PhD research students with substantial international exposure and the potential to contribute to the internationalisation of the University. A monthly subsistence allowance will be granted.

The actual amount of support for both outgoing and incoming students will be announced when call for applications is issued.

The programme may range from a minimum of three months to a maximum of one year. Two calls for applications will be issued each year: September/October and March/April.

15. Financial Assistance

Financial assistance mainly comes from two sources, namely the Government and PolyU. Students are strongly advised to ensure their eligibility in applying for different financial assistance schemes.

15.1 Government Tertiary Student Finance Scheme-Publicly-funded Programmes (TSFS)

Full-time government-funded students who have the right of abode in Hong Kong, or have resided or had their homes in Hong Kong continuously for three complete years immediately prior to starting their studies at PolyU may apply for the Government Tertiary Student Finance Scheme - Publicly-funded Programmes. The Scheme offers assistance to successful applicants in the form of grants and loans. Grants are intended to cover tuition fees and academic expenses. Loans are for living expenses. Applications are means-tested, with varying amounts offered according to the applicants' Adjusted Family Income and Family Asset Level.

For details, please visit <http://www.wfsfaa.gov.hk/sfo/eng/schemes/tsfs.htm>.

15.2 Government Non-means-tested Loan Scheme (NLS)

This Scheme offers assistance to local full-time and part-time students in the form of loans to cover tuition fees. Applications are non-means-tested. An administration fee and a relatively higher interest rate are charged. Both government-funded and self-financed students can apply before the deadline set by the government.

For details, please visit <http://www.wfsfaa.gov.hk/sfo/eng/schemes/nls.htm>.

15.3 PolyU Financial Assistance Scheme

To supplement the Government schemes, PolyU also administers a financial assistance scheme for full-time government-funded local students. Grants and interest-free loans are available for students with genuine financial difficulties. Most of the funds, however, have been earmarked for undergraduate students by donors. Limited funds are available for local postgraduate students. In addition, owing to limited funds, the level of assistance offered by the PolyU Scheme is much lower than that of the Government schemes. Students in financial need are therefore strongly advised to apply for the Government schemes at the same time.

For details, please visit <http://www.polyu.edu.hk/stars/fa/pufa>.

15.4 Financial Assistance for Non-Local Students

Non-local students are not eligible for financial assistance from PolyU or the Government. They are therefore advised to secure sufficient funds before embarking on their programme.

15.5 Application Periods for Financial Assistance

Scheme	Deadline for submission
Government Tertiary Student Finance Scheme - Publicly-funded Programmes & Government Non-means-tested Loan Scheme for full-time students	Within one month of registration and in any case not later than the end of March for new admittees.
Government Non-means-tested Loan Scheme for part-time or self-financed students	31 July 2020 (2019/20 Academic year) on condition that “all the lectures of course(s) under application of the 2019/20 academic year have not been completed at the time of application submission” (https://www.wfsfaa.gov.hk/sfo/en/postsecondary/enl/s/application/deadlines.htm)
PolyU Financial Assistance Scheme	Late August to September
PolyU Emergency Financial Assistance	Any time of the year

Enquiries:

E-mail: stars.fa@polyu.edu.hk

Telephone: 3400-3764

16. Fees

For the list of fees and the payment schedule for tuition fee, please refer to the following link:

http://www.polyu.edu.hk/fo/FO_Web/FO_Doc/Student/Information/TFinformation_RO.pdf

16.1 Tuition Fees

For students admitted in or before the 2016/17 cohort (i.e. admitted on or before 31 August 2017)

- 16.1.1a If a student fails to settle the fees by the last day for payment specified in the debit note, he/she will be considered as having decided not to continue his/her studies at the University and the University will accordingly remove his/her registration status from the programme concerned.
- 16.1.2a Tuition fee paid are non-refundable except under the following circumstances
- **Change of Mode of Study**
When a full-time student change to part-time study, the amount of full-time tuition fees he/she paid will normally exceed the amount of part-time tuition. The outstanding amount paid will be converted to a pro-rata payment of the next instalment of part-time tuition fees.
 - **Deferment of Study**
If a student has received approval to defer his/her study, he/she will have the unused portion of his/her tuition fees refunded. As the fees may be revised each year, when resuming his/her study after the deferment period, the student will have to pay the prevailing tuition fee.
 - **Deregistration**
A student who is de-registered by the University because of a lack of progress will be entitled to a cash refund of any unused tuition fee.
 - **Early Submission of Thesis**
If a student manages to submit his/her thesis to RO before the end of the normal period, i.e., on the date proposed at the offer stage or a subsequently extended date that is still before the end of the normal period, he/she will be charged tuition fees up to the thesis submission date as long as he/she is not receiving a stipend. Any unused tuition fees paid will be refunded to the student.

For students admitted from the 2017/18 cohort onwards (i.e., admitted on or after 4 September 2017)

- 16.1.1b If a student fails to settle the fees by the last day for payment specified in the debit note, he/she will be considered as having decided not to continue his/her studies at the University and the University will accordingly remove his/her registration status from the programme concerned.
- 16.1.2b Tuition fee paid are non-refundable except under the following circumstance:

If a student has settled his/her tuition fee for the next semester and his/her application for (a) change of mode of study or (b) deferment of study being approved before the commencement of the next semester, he/she will be entitled for the tuition fee refund.

16.2 Tuition Waiver Scheme for Local Research Postgraduate (RPg) Students

16.2.1 Definition of “Local” students

The HKSAR Government has launched a tuition waiver scheme and will provide a non-means-tested tuition waiver to all local students enrolled in UGC-funded full-time research postgraduate (RPg) programmes with effect from 2018/19. Details of the Scheme can be obtained at the University Grants Committee’s website: www.ugc.edu.hk/eng/rgc/funding_opport/tws.html.

According to the definition of the Education Bureau of the HKSAR Government, local students are holders of the following documents:

1. Hong Kong Permanent Identity Card
2. Documents issued by the Immigration Department of the HKSAR showing right to land / right of abode in Hong Kong
3. One-way Permit for entry to Hong Kong
4. Full-time employment visa / work permit
5. Dependent visa / entry permit (for students who were below 18 years old when they were issued with such visa / entry permit by the Immigration Department of the HKSAR)
6. Visa / Entry permit for Quality Migrant Admission Scheme
7. Visa / Entry permit for Capital Investment Entrant Scheme
8. Visa / Entry permit for Admission Scheme for the Second Generation of Chinese Hong Kong Permanent Residents
9. Visa label for unconditional stay

Despite the fact that students holding a full-time employment visa / work permit (i.e. item 4 above) are regarded as local students, they are not allowed to take up a full-time job and study a full-time programme in Hong Kong at the same time. They can only study a part-time programme in Hong Kong. Thus students holding a full-time employment visa / work permit are not eligible for the tuition waiver scheme for local RPg students offered by the HKSAR Government.

16.2.2 RPg students who have changed their status from “Non-local” to “Local” within a semester

For RPg students enrolling in UGC-funded full-time RPg programmes and having their status changed from “non-local student” to “local student” within a semester, they will be eligible for the tuition fee waiver **starting from the next semester**. The Finance Office of PolyU will arrange to issue debit notes for tuition fees with a zero amount to such students from the next semester until end of their normal study period.

For RPg students admitted from the 2018/19 cohort onwards

If they have changed their status from non-local to local, they should contact the Academic Registry direct (Room M101, Li Ka Shing Tower, PolyU) to update their student records upon presentation of the valid documents (see items 1-9 above). They should also inform the Research Office by email (ro.students.matters@polyu.edu.hk) of their change of status so that the Research

Office will liaise with the Finance Office to suspend charging their tuition fees starting from the next semester till end of their normal study period.

For RPg students admitted in or before the 2017/18 cohort:

If they have changed their status from non-local to local, they should contact the Research Office direct (Z404, Block Z, PolyU) to update their student records upon presentation of the valid documents (see items 1-9 above). The Research Office will also liaise with the Finance Office to suspend charging their tuition fees starting from the next semester till end of their normal study period.

16.3 Caution Money

Caution money is chargeable to a student upon his/her first registration, but is refundable on withdrawal from the PolyU, subject to no outstanding claims and return of the student identity card. The sum is normally converted to the Graduation Fee upon completion of the programme.

16.4 Continuation Fees

For students admitted in or before the 2016/17 cohort (i.e., admitted on or before 3 September 2017)

- 16.4.1a If a student fails to submit his/her thesis to RO by the end of the normal period of study, he/she must pay a continuation fee for a six-month period every half-year, until the submission of thesis.
- 16.4.2a Continuation fee paid are non-refundable except when a student manages to submit his/her thesis to RO within any six-month period for which they have paid the continuation fee, any unused whole-month portion of the continuation fee will be refunded in cash, after offsetting the examination fee.

For students admitted from the 2017/18 cohort onwards (i.e., admitted on or after 4 September 2017)

- 16.4.1b If a student fails to submit his/her thesis by the end of the normal period of study, he/she must pay a continuation fee on a semester/term basis (at the commencement of Semester 1, Semester 2 and Summer Term) until the submission of thesis.
- 16.4.2b Continuation fee paid are non-refundable.

16.5 Examination Fee

After submitting the thesis, students must pay an examination fee.

16.6 Reinstatement Fees

Students wishing to reinstate their registration status after having ceased their study at the University will have to pay a reinstatement fee. Students failing to settle tuition/continuation fees after the payment

due date, or whose payments are rejected, or students failing to resume study upon expiry of their deferment, will be regarded as having ceased their studies.

Applications for reinstatement of registration should be made by completing Form RC/28 within two weeks of the date of the letter informing the student that his/her study ceases and will only be considered under exceptional circumstances.

16.7 Payment Methods

Students must pay their fees in full before the payment deadline stipulated in the debit note by one of the following methods:

- Automatic Teller Machine (ATM)
- Payment by Phone Service (PPS) (PPS transaction can also be made via the Internet. Please visit the PPS website at <https://www.ppshk.com>)
- Internet Banking Bill Payment Service
- Cheque or cash payment at any branch of Hang Seng Bank

For details of payment methods, please refer to the following link:

http://www.polyu.edu.hk/fo/FO_Web/index.php?page=5&submenu=stud05&subpage=stud05app

16.8 Rejected Payment

In case of a void PPS or rejected cheque, the student's registration will be declared null and void. The University may report cases of rejected cheques to the police.

17. Various Applications

17.1 Change of Personal Particulars

Use of Information Supplied by Students

The personal particulars provided in the application form at the time of admission will be used for setting up permanent student records at the University, and hence should be correct and updated at all times. Such information (including the photo image taken for the student identity card) will be used in activities in support of study at the University. The information will later form the graduate record to be used by the University to maintain on-going communication after graduation, including the delivery of announcement and other information, such as activities, education programmes, benefits and services.

Besides the information collected at the time of application, registration details and examination results are also kept in students' permanent records for monitoring their progress and for reference when certification is required.

In addition, the names of graduates and information on the award title will be published in a Graduates List for use in the Congregation.

If you have requested/used services provided by the University Health Service and University Library, the Centre STARS (Student Advancement and Resources), the Information Technology Services Office and the Facility Management Office or any other offices in the University, appropriate records will also be kept by these offices.

Only authorised departments/staff of the University will have access to student data. Student data will be deleted when they are no longer required according to laid-down rules. Retention policies will be reviewed regularly by the respective offices to ensure that data are kept not longer than necessary.

Access and Correction of Student Data

In accordance with the Personal Data (Privacy) Ordinance, students have the right to access and correct their personal data and also to request a copy of such data. Students wishing to access their personal data kept in our records may submit a request via the "Data Access Request Form" which is obtainable at the Academic Registry Service Centre. A handling fee will be charged.

Students must notify the University as soon as there are changes in their personal particulars. They may update their correspondence and email addresses, as well as their contact phone/fax numbers, when necessary, via [eStudent](#) (for students admitted from the 2018/19 cohort onwards) or the [Research Student Portal](#) (For students admitted in or before the 2017/18 cohort). Otherwise, their records will not be updated and correspondence from us may be misdirected.

17.2 Transfer of Registration from MPhil to PhD

17.2.1 A student who is provisionally registered for the MPhil degree may apply for transfer of registration to the PhD degree at the time when applying for confirmation of registration or thereafter.

17.2.2 In support of their student's application for transfer of registration, the supervisor(s) should submit a brief report that contains the following information:

- (1) The student's name and title of the topic of study
- (2) Whether the topic being researched can be extended to PhD level. If not, what additional topics need to be researched in order to ensure that the research programme provides a sufficient basis for PhD-standard work
- (3) A brief explanation as to why the supervisor(s) think that the student's past performance indicates he/she has the capacity to pursue a PhD (attaching a list of publications, if any, being prepared or submitted by the student)

17.2.3 The report, signed and dated by the supervisors, should be submitted to the DRC for decision. If the application from a local student is approved by the DRC, the DRC will inform the General Office of the Department (for students admitted from the 2018/19 cohort onwards) or RO (for students admitted in or before the 2017/18 cohort) that the student's status has been changed to a PhD candidate.

17.2.4 If the application from a non-local student is supported by the DRC, the DRC will forward the application to the AR (for students admitted from the 2018/19 cohort onwards) or RO (for students admitted in or before the 2017/18 cohort) for submission to the Director of Immigration for approval. According to the Immigration Department of the HKSAR Government, each application will be considered on its own merits and most applications can be finalised in one or two weeks' time. As soon as the decision is received from the Immigration Department, AR or RO will inform the student in writing. The letter will be copied to his/her Supervisor(s) and the DRC Chair.

17.2.5 It would be optimal if the transfer of registration could be done at the same time as the confirmation of registration, if applicable. However, this is not a requirement.

17.2.6 The application for transfer of registration from MPhil to PhD, once approved by the DRC, will be effective from the next semester (for students admitted from the 2017/18 cohort onwards) or on the date of approval (for students admitted in or before the 2016/17 cohort).

17.3 Change of Study Mode

Students may apply to change their mode of study during the course of their study using Form RC/45. In their applications, they should state their reasons for applying for the change. The application should be supported by the Chief Supervisor and approved by the DRC/FRC/RC Chair. Completed Forms should be submitted to the General Office of the Department (for students admitted from the 2018/19 cohort onwards) or RO (for students admitted in or before the 2017/18 cohort) for processing.

The change will be effective from the next semester (for students admitted from the 2017/18 cohort onwards) or on the date of approval (for students admitted in or before the 2016/17 cohort).

Full-time students may seek full-time employment after their studentship has expired or after they have submitted their thesis to the Chief Supervisor and are awaiting the oral examination. They may do so subject to obtaining the prior consent of their Chief Supervisor and the DRC. They are advised to change their studies to part-time mode by completing Form RC/45, as the possession of a full-time student card under such circumstances is not deemed to be appropriate.

However, all non-local students wishing to apply for a change of mode of study from full-time to part-time or vice versa should seek **prior approval** from the Director of Immigration via AR (for students admitted from the 2018/19 cohort onwards) or RO (For students admitted in or before the 2017/18 cohort). According to the Immigration Department of the HKSAR Government, each application will be considered on its own merits and most applications can be finalised in one or two weeks' time.

A new student identity card will be issued to the student upon his/her successful application for a change of his/her study mode. A fee will be charged for the new student identity card.

17.4 Concurrent Registration

Students who wish to apply for concurrent registration in another programme of studies leading to an award from PolyU or elsewhere while registered as a candidate for a research degree at PolyU must obtain prior written permission from the RC. Failure to obtain approval may lead to disciplinary action including discontinuation of study at PolyU. A student's registration in a research degree programme does not end on the date of the submission of the thesis but on the date in which the Research Committee confirms the recommendations of the Board of Examiners for the award of the research degree.

Applications should be made using Form AR38 (downloadable from <http://www.polyu.edu.hk/as>).

17.5 Leave

All leave taken by students during their study will be counted towards their normal/maximum period of study and will NOT be counted towards their residence requirement.

All approval for leaves, be it in the format of a standard form or any other format, together with all relevant documents, should be passed to the General Office of the relevant Department for record purpose.

Students should note that the granting of leave is not automatic. All applications should be made as far in advance as possible, and Departments should inform students whether or not their applications has been approved.

17.5.1 Leave of Absence

A student can apply for leave of absence under the following situations:

- a. undertaking activities related to his/her research study, e.g., to present a paper at a conference, to undertake field study/field trip, to collect data; or
- b. being sick; or
- c. other justifiable purposes, e.g., to attend major political meetings on the Chinese mainland, including meetings of the National People's Congress and the Chinese People's Political Consultative Conference.

There is no limit on the length of leave of absence that a student can take. Leave of absence is applicable to both full- and part-time students. Full-time students, who are awarded the studentship, will be paid their stipends during the approved period of leave of absence.

Students must apply for leave of absence by completing Form RC/31.

For students admitted from the 2016/17 cohort onwards (i.e. admitted on or after 1 July 2016)

Applications for leave of absence should be approved by the Chief Supervisor.

For students admitted in or before the 2015/16 cohort (i.e. admitted on or before 30 June 2016)

Applications for leave of absence should be endorsed by the Chief Supervisor and approved by the HoD/DoS.

17.5.2 Vacation Leave

Only full-time students are entitled to take vacation leave.

A full-time student may take up to four weeks' vacation leave per study year. He/she will be paid his/her stipend during the approved period of vacation leave. The period of vacation leave will count towards a student's normal/maximum period of study.

The leave balance of a student at any time in a particular study year is calculated as the difference between the leave entitlement and the number of days of vacation leave he/she has taken in that study year. A "study year" for a student is the period between 1 September this year and 31 August next year (for students admitted from the 2017/18 cohort onwards) or any continuous period of 12 months beginning from the month he/she registers with the University (for students admitted in or before the 2016/17 cohort).

Students are assumed to carry a "workload" amounting to five working days every calendar week (seven calendar days). "Four weeks" is interpreted as four calendar weeks so that a full-time student is entitled to a total of 20 working days of vacation leave per study year. Students taking vacation leave can resume study on a weekday or a Saturday as specified by the Chief Supervisor.

Students shall be allowed to take the entire four weeks of vacation leave in one go, or take a number of shorter vacations in a study year.

Vacation leave cannot be accumulated, nor can it be carried forward to the next study year. Any leave balance at the end of the study year will lapse automatically.

Students are not expected/required to clear their vacation leave.

Students are at liberty to use their vacation leave to undertake research activities, e.g. to attend conferences.

Applications should be submitted on Form RC/38 for approval by the Chief Supervisor.

17.5.3 Unpaid Leave

Only full-time students with stipend could apply for unpaid leave. No stipend will be provided to full-time students who are on unpaid leave.

Students should submit an application for unpaid leave to the HoD/DoS for approval via the Chief Supervisor.

The Chief Supervisor should confirm whether or not the leave period will also be considered as a deferment of study (see subsection 17.6 below), as this will affect the study period of the student.

17.6 Deferment of Studies

17.6.1 General Procedures

Applications should be submitted on Form RC/22 for consideration by the DRC. Deferment of study is not permitted after the normal period of study except when there is a certified health problem. Students failing to resume their studies after the end of the deferment period will be considered as having given up their studies at the University.

For more details, please refer to the Regulations and Administrative Procedures at the Appendices of this Handbook.

17.6.2 Deferment of Study/Personal Leave – Mainland Students in the HKSAR

To help enhance the control over Chinese mainland students taking deferment/leave while accommodating their needs and concerns, the mainland authorities and the HKSAR Immigration Department agreed on the following arrangements for mainland students who have been granted deferment of study or personal leave:

- 17.6.2.1 Students who are granted approval for deferment of study or personal leave (deferment/leave) for activities taking place outside Hong Kong should leave Hong Kong as soon as practicable and avoid using the same travel document and student permit to visit Hong Kong during the period of deferment/leave. In case of any compassionate reasons to visit Hong Kong during such a period, the student concerned should write to the Immigration Department for consideration on an individual basis. Approval and specific arrangements would be conveyed to the student in writing.
- 17.6.2.2 Universities granting the deferment/leave should inform the Immigration Department of the details of the deferment/leave, if possible, seven days before commencement of the deferment/leave so that the Immigration Department can monitor the departure and the travel movements of the student concerned during the period of deferment/leave. The Immigration Department should also be informed of any change of the original deferment/leave (e.g. extension or cutting short of the deferment/leave), so that the relevant records can be updated accordingly.
- 17.6.2.3 Students taking deferment/leave for six months or less may return to Hong Kong on the current student endorsement if it remains valid and there is no change of circumstances, i.e., university and programme of study.
- 17.6.2.4 Students taking deferment/leave for more than six months should apply to the Hong Kong and Macau Affairs Office or the Foreign Affairs Office of the provincial government for a new student permit, irrespective of the validity of their current student endorsement.

- 17.6.2.5 Students granted approval for deferment/leave who seek to re-enter Hong Kong to continue the same study after the expiry of the current student permit, to study at another university, or to take up another study programme should apply for a new student permit.

17.7 Official Withdrawal from Study

Students who wish to discontinue their study at the University before completing their programme are required to fill in Form RC/21. Completed application forms, with the signature of the Chief Supervisor, should be returned to the General Office of the Department concerned. Such students must surrender their student identity card for cancellation at the same time. The Department is required to send withdrawal notification to the Faculty (for students admitted from the 2018/19 cohort onwards) or RO (For students admitted in or before the 2017/18 cohort).

For a full-time research student, the Chief Supervisor is required to confirm the last day of study with the RO, so that an appropriate arrangement can be made with the FO to suspend the stipend payments.

The Faculty or RO will confirm a student's official withdrawal, usually within three weeks of the date of notification.

17.8 Conference Attendance, Field Tips, Study Trips, Short Courses, Seminars and Workshops

17.8.1 Conference Attendance

A maximum of HK\$20,000 may be granted for each application. There is no restriction on the number of times a student can be supported for conference attendance, as long as the total amount allocated to the student throughout his/her studies does not exceed HK\$25,000.

An application for conference attendance must be endorsed by the Chief Supervisor and approved by the D/SRC Chair. The application must include evidence that the student is going to present a paper at a renowned conference (which includes some of those held in Hong Kong) relevant to their research degree programme. Poster presentations are also acceptable. The application should detail the cost breakdown, including the return transport fare (the cheapest economy class for air travel), registration fee, visa application fee and a subsistence allowance of up to HK\$800 per night. The amount of funding for each application is subject to the D/SRC Chair's approval.

A maximum subsistence allowance of HK\$800 per night is provided to cover such legitimate expenses as accommodation, meals and local travelling expenses within city. Other allowable expenses should be directly related to the conference attended, as approved by the Chief Supervisor on justifiable grounds. Any excess allowance can be used to top up the airfare, registration fee or visa application fee, as these items quoted in the application form are sometimes provisional. In any case, the student will be reimbursed the actual cost incurred in attending the conference, or the maximum approved amount, whichever is the less.

All RPg students, disregard of the funding source, are allowed to make use of their Conference Attendance Grant up to the date of oral examination.

Applications should be made using Form RC/4, which need not be processed by the RO.

The procedures for the reimbursement of expenses incurred in conference attendance are as follows:

- (1) Complete the Miscellaneous Expenses Claim Form, available at the FO or the Departmental General Office, together with a detailed breakdown of the expenditures incurred, and send it with the following supporting documents directly to the FO:
 - (i) copy of Form RC/4 (approved by the Department) or other approval documents
 - (ii) receipt for the airfare and counterfoil of the air-ticket (used air-ticket)/boarding pass
 - (iii) receipt for the visa application fee
 - (iv) receipt for the conference registration fee
 - (v) receipts for meals, local travel and accommodation expenses. The receipts should be sorted by date and type of spending. Students are encouraged to reimburse his/her own portion of expenses in case of sharing meal/rooms for better monitoring of individual spending.
- (2) Please note that reimbursement of expenses should be made within three months of the conference. The student may contact Ms Mavis Mak of the FO on 2766 4766, Ms Nancy Ho on 2766 5243 or Ms Kristie Wong on 2766 4971, if you have any queries on reimbursement or payment.

17.8.2 Field Trips, Study Trips, Short Courses, Seminars and Workshops

Subject to the availability of funding, applications for field trips, study trips and/or attending short courses/seminars/workshops from research students, stating the purpose and a rough breakdown of the estimated expenditure, will be recommended by the Chief Supervisor and approved by the D/SRC Chair.

Field trips to gather experimental data are classified as activities that have direct quantifiable contribution to the research of the students. The expenses of field trips, including the return transport fare (the cheapest economy class for air travel), registration fee, visa application fee and a subsistence allowance of up to HK\$800 per night, are fully supported by the Associated Money. In any case, the student will be reimbursed the actual cost incurred in the field trip, or the maximum approved amount, whichever is the less.

Study trips, short courses, seminars and workshops are, on the other hand, activities that are beneficial to the research of the students but do not generate quantifiable contribution. For these activities, only the registration fee will be supported by the Associated Money.

Applications for field trips, study trips and/or attending short courses, seminars and workshops can be made using Form RC/54, which need not be processed by the RO.

The procedures for the reimbursement of expenses incurred in these activities are as follows:

- (1) Complete the Miscellaneous Expenses Claim Form, available at the FO or the Departmental General Office, together with a detailed breakdown of the expenditures incurred, and send it with the following supporting documents directly to the FO:
 - (i) copy of Form RC/54 (approved by the Department) or other approval documents
 - (ii) receipt for the airfare and counterfoil of the air-ticket (used air-ticket)/boarding pass
 - (iii) receipt for the visa application fee
 - (iv) receipt for the registration fee
 - (v) receipts for meals, local travel and accommodation expenses for the field trips to gather experimental data. The receipts should be sorted by date and type of spending. Students are encouraged to reimburse his/her own portion of expenses in case of sharing meal/rooms for better monitoring of individual spending*.

** If Chief Supervisors provide strong justifications that the study trips, short courses, seminars and workshops attended by the students can generate quantifiable contribution to the research of the students, the FO, in consultation with RO and the DRC Chair, will base on the justifications provided by Chief Supervisors and approved by DRC Chairs, to determine if the subsistence allowance of Associated Money can also be reimbursed to cover the transportation, lodging, meals etc. of the activities.*

- (2) Please note that reimbursement of expenses should be made within three months of the trip. The student may contact Ms Mavis Mak of the FO on 2766 4766, Ms Nancy Ho on 2766 5243 or Ms Kristie Wong on 2766 4971, if you have any queries on reimbursement or payment.

For applications for taking leave for field trips, study trips, short courses, seminars and/or workshops, they should be considered and approved by the Heads of academic departments [(applicable for research students admitted in or before the 2015/16 cohort (i.e. admitted on or before 30 June 2016)] or the Chief Supervisors.

17.9 Associated Money to Support Research Study

17.9.1 All RPg students, irrespective of the funding source, should be provided with Associated Money during the normal study period (with a reference amount of \$20,000/year for full-time students and \$10,000/year for part-time students) to support the following categories of expenses:

- a. general consumables and/or purchase of small equipment directly related to the study;
- b. enhancement of research capabilities and learning experience (excluding expenses on conference attendance);
- c. data collection and experiments; and
- d. publication expenses (such as editing charges or page charges) can be claimed by students if they are the first, second or corresponding author.

17.9.2 Associated Money can be used to purchase the following items for a student:

- a. one computer device (either a desktop computer or a portable computer)*;
- b. a keyboard and a mouse or one set of accessories that can be used to drive the computer device.

Under special circumstances, requests for purchasing additional computer devices should be submitted, with strong justifications, for approval by the Head of Department/Dean of School via the relevant Chief Supervisor. Approval for such requests should only be granted if the requested computer device(s) is(are) directly related to the specified research tasks of the student project.

RPg students[†], who propose to purchase personal electronic device and standard office equipment with Associated Money, shall provide strong justifications for the proposed purchase to the DRC/SRC Chair for endorsement via his/her Chief Supervisor before seeking Interim VP(RI)'s approval via the RO.

All purchases of computer and related equipment should be completed at least 3 months before the submission of thesis.

- 17.9.3 Activities that have direct quantifiable contribution to the research of the RPg student: for example, consumables for experiments being conducted in PolyU, field trips to gather experimental data, etc., will be fully supported. For field trips, the transportation and lodging expenses can be charged to Associated Money.
- 17.9.4 Activities that are beneficial to the research of the RPg student but do NOT generate quantifiable outcome: for example, study trips, workshops, tutorials in conferences, etc., only the registration fees will be supported. Expenses on transportation, lodging, meals, etc., will NOT be supported with Associated Money.
- 17.9.5 The Associated Money should not be used to support non-research related activities including:
 - a. honorarium, hotel accommodation and travelling expenses of guest external examiners/guest speakers;
 - b. organization of student-led workshop/seminar/symposium/summer/ winter schools and English/language courses by parent department;
 - c. membership for joining academic associations;
 - d. construction of website for dissemination of research outcome;
 - e. editing fee for research thesis;
 - f. provision of double incentives (i.e. a combination of any two of the following items: gifts/souvenirs/coupons/vouchers, refreshment, treatment to meals) to participants for experiments, interviews and surveys.

* Computer refers to a desktop/portable computer with a set of accessories, like mouse and keyboard, that is used to drive the computer device. Personal electronic device such as cell phones, tablets, iPod, iPad, MP3 players, digital camera/video recorders and PDAs and standard office equipment such as printers/scanners are not allowed unless they are itemized clearly in the approved budget for the research project. Expenses on computer related consumable items such as cables, memory devices, display card etc. should be regarded as general expenses for the relevant research project.

[†] Excluding RPg students whose proposal for purchasing personal electronic device and standard office equipment has already been included and itemized clearly in the approved budget for a research project.

- g. purchase of equipment & furniture for common use in the RPg Student's Office; and
- h. organization of research activities promoting the productivity and publication of the research outputs of parent department.

- 17.9.6 Items such as books, computers, etc., bought with Associated Money are university property. They should be returned to the relevant Department after the student graduates. The Department is responsible for the accounting and monitoring of these items when the student leaves PolyU. The Department should establish a set of guidelines on the custody and handling of items brought with the Associated Money.
- 17.9.7 All purchases and claims for expenses shall be endorsed by the Chief Supervisor and approved by DRC Chair and should strictly adhere by relevant FO guidelines.
- 17.9.8 To heighten the awareness of Faculty/School/Department in the compliance with the University's purchasing and inventory control procedures:
- a. each Faculty should designate a member (e.g. FRC Secretary) to advise Departments on any updated purchasing and inventory control guidelines as issued by FO; and
 - b. each School/Department should have an administrative colleague (e.g. SRC/DRC Secretary) to inform staff members (especially new staff) in the Department/School of the University's general purchasing procedures and inventory control measures.
- 17.9.9 Students are allowed to make use of the Associated Money up to their submission of theses.

17.10 Complaints and Appeals

Research students' complaints and appeals (e.g., against a decision to deregister the student or against an examination result) will be initially handled by the DRC.

There is no standard form for complaints and appeals. For the details of the complaint and appeals mechanism, please refer to the following:

Sections R15 and P15 of Appendix A1	for students admitted in or before the 2013/14 cohort (i.e. admitted on or before 30 June 2014)
Sections 23 and 24 of Appendix A2	for students admitted between 2014/15 and 2016/17 cohorts (i.e. admitted between 1 July 2014 and 30 June 2017)
Sections 23 and 24 of Appendix A3	for students admitted from the 2017/18 cohort onwards (i.e. admitted on or after 1 July 2017)

17.11 Certification of True Copies

Students who wish the University to provide certified copies of their award parchment or computerised examination result notification should bring the original documents together with a completed Form AR5 to the AR (for students admitted from the 2018/19 cohort onwards) or Form RC/32 to RO (for students admitted in or before the 2017/18 cohort) for processing. Certification services will only be provided for award parchment or computerised examination result notification.

18. Termination of Study

18.1 Official Withdrawal

Please refer to subsection 18.7 above for details.

18.2 Discontinuation of Study

Students who discontinue their studies without following the proper procedures for official withdrawal as well as those who fail to settle their tuition/continuation fees by the stipulated deadlines will be regarded as having given up their studies at the University. Such students will not be eligible for the refund of caution money paid and will not be considered for re-admission to the same programme in the following academic year.

Students who are expelled from the University for disciplinary reasons will not be eligible for refund of the tuition/continuation fee and caution money paid.

18.3 Academic Failure

18.3.1 Students will be de-registered from their study at the University on grounds of academic failure in the following circumstances:

- if his/her progress is considered unsatisfactory; or
- if the maximum period of study is exceeded; or
- if his/her thesis is deemed unsatisfactory.

18.3.2 For students admitted from the 2017/18 cohort onwards
Tuition fee paid are non-refundable.

For students admitted in or before the 2016/17 cohort

Students who are de-registered by the University because of a lack of progress will be entitled to a cash refund of any unused tuition money.

18.3.3 Students who are de-registered on grounds of academic failure must return their PolyU student identity cards to the Department (for students admitted from the 2018/19 cohort onwards) or RO (for students admitted in or before the 2017/18 cohort) within three weeks of the date of notification.

Failure to return the student identity card may render a student ineligible for any certification of their study or consideration for admission in subsequent years. The caution money paid will also be confiscated. Any subsequent request for the refund of caution money by returning the student identity card after the original deadline will not be entertained.

19. Student Records

19.1 Student Identity Card

Upon first registration on the study programme, a student identity card will be issued to all students. Research students are entitled to the rights and privileges of full-time or part-time students, as appropriate, of the University for the period they are eligible to register and have duly paid the tuition and other fees (including caution money) and completed the registration procedures. The student identity card should be carried at all times while on the University premises, as it enables students to gain access to the various facilities of the University.

Students who have transferred their study to another programme or to a different mode, i.e., from full-time to part-time or vice versa or are eligible to progress in their study after the expiry date of their student identity card will be advised to exchange their current card for a new student identity card.

For transfer of study for which the issuance of a new student identity card is necessary, the student will be charged a fee for the new student identity card.

Return of Student Identity Card to the University

The student identity card is the property of the University and is not transferable. It must be returned to the University upon expiry, termination of student status at the PolyU, or ratification by the RC of the awarding of a research degree. Students are advised to return the card in person to either AR (for students admitted from the 2018/19 cohort onwards) or RO (For students admitted in or before the 2017/18 cohort). Students preferring to return the student identity card by post are urged to cut the card in half (by cutting across the magnetic tape). Otherwise, they are at risk of any abuse in the use of the card if it is lost in post.

Students who have resided in the Student Halls of Residence are also reminded to clear all the money stored in the student identity card before returning it to the AR or the RO. The University shall not be liable for any subsequent claims for the unspent balance after the card has been cancelled.

Students failing to return the student identity card as stated above within the specified period, shall have their caution money confiscated and may not be eligible for any certification of their study at the University. Subsequent requests for refund of caution money will not be entertained.

Students who have lost their student identity card should complete and return Form RC/40 declaring that the identity card has been lost.

Abuse of Use

Students are advised to take good care of their student identity cards to prevent any possible abuse by other people.

A student who lends his/her student identity card to another person to enable the latter to gain access to University facilities or for other purposes shall be subject to disciplinary action, which may include the temporary deprivation of student rights, suspension or expulsion from the University.

Loss, Damage and Replacement

In case their student identity card is lost or damaged the student should submit an application for a replacement. A replacement fee of HK\$110 for the new student identity card will be charged. Should the original student identity card be found, the student should inform AR or RO immediately and at the

same time return the original student identity card to the office for cancellation should it be found subsequently. It is an offence to possess more than one student identity card for the same programme at the same time, and students shall be subject to disciplinary action if found committing such offence.

Please use Form RC/40 to declare the loss of a student identity card and Form AR2 (for students admitted from the 2018/19 cohort onwards) or Form RC/25 (for students admitted in or before the 2017/18 cohort) to apply for a replacement of PolyU student identity card.

19.2 Transcript of Study

For students taking compulsory coursework, a free transcript showing the results of individual subjects and specifying that the award comprises a thesis component also will be given to each research student upon graduation.

Additional copies of the transcript are available subject to a fee of HK\$70 per copy. This amount does not include postage, which will be charged separately as appropriate. Payment shall be made by cash/an Octopus card at the Finance Office Counter at Room VA205, or by a cheque in Hong Kong dollars made payable to "The Hong Kong Polytechnic University".

Applications should be made using Form AR3 (for students admitted from the 2018/19 cohort onwards) or Form RC/30 (For students admitted in or before the 2017/18 cohort).

19.3 Testimonial

Students can apply for a testimonial certifying their study at the University. Please use Form AR4 (for students admitted from the 2018/19 cohort onwards) or Form RC/19 (For students admitted in or before the 2017/18 cohort).

With effect from the commencement of the academic year 2019/20, i.e. 2 September 2019, the charge of testimonial will be waived. Normally, only one copy of testimonial can be provided for each application. Additional copies will only be entertained under circumstances with justifiable grounds.

19.4 Certification of Award

Students who have lost their award parchment may apply for a Certification of Award to certify the award obtained. A fee of HK\$250 will be charged for each certification.

Applications for Certification of Award should be made using Form AR106.

20. Insurance Coverage

- 20.1 PolyU registered students are covered by the Group Personal Accident Insurance Policy on an annual basis. The said policy covers PolyU registered students against accidental death and permanent total disability as well as accidental medical expenses arising from official activities organised/arranged/endorsed/recognised/approved by the University or its student organizations.
- 20.2 In case of an accident/incident, students should report to the HoD and fill out the **Accident/Incident Report Form** (HSE Form 2), which can be downloaded from the website of the HSEO at <https://www2.polyu.edu.hk/PolyU/hso/pubdoc/hsoform/hseform2.pdf>, within 72 hours of the accident/incident.
- 20.3 **Insurance Claim Form** and the supporting documents (including original medical receipts, doctor's referral, the Accident/Incident Report endorsed by the HoD) must be forwarded to the Finance Office within 90 days of the date of occurrence.
- 20.4 For further information about the insurance claim procedures and related documents, please contact the Finance Office at 2766 5263 or 2766 7843.

21. Student Support and Services

The following is a brief introduction of the major offices from which students may obtain helpful support and services during their study at the PolyU.

21.1 Access to Academic Registry (AR)

AR provides administrative support and services to research students admitted from the 2018/19 cohort onwards. The office takes care of the admission, subject registration and examination matters.

AR is located on 12/F of Core M. Enquiries can be sent to the office through email at < ar.dept@polyu.edu.hk > or by fax at 2334 6671.

- Office Website URL: <http://www.polyu.edu.hk/ar/>

21.2 Access to Research Office (RO)

RO provides administrative support and services to research students admitted in the 2017/18 cohort or before. The office takes care of the subject registration, examination and quality assurance matters for this group of research students.

RO is located in Room Z404, 4/F, Block Z. Enquiries can be sent to the office through email at < roro@polyu.edu.hk > or by fax at 2355 7651.

- Office Website URL: <http://www.polyu.edu.hk/ro>
- List of Faculty Research Committee/School Board Chairs: <https://www2.polyu.edu.hk/fundapp/Frc-chai.html>
- List of Departmental Research Committee Chairs: <https://www2.polyu.edu.hk/fundapp/Chm-drc.html>

22.2.1 Enquiry Numbers of RO

The enquiry numbers are as follows:

Faculty	School/Department	Enquiry Number
Faculty of Applied Science and Textiles	Department of Applied Biology and Chemical Technology	3400 8071
	Department of Applied Mathematics	2766 5016
	Department of Applied Physics	
	Institute of Textiles and Clothing	3400 3634
Faculty of Business	School of Accounting and Finance	3400 8071
	Department of Logistics and Maritime Studies	
	Department of Management and Marketing	
Faculty of Construction and Environment	Department of Building and Real Estate	3400 3001
	Department of Building Services Engineering	
	Department of Civil and Environmental Engineering	

Faculty	School/Department	Enquiry Number
	Department of Land Surveying and Geo-Informatics	3400 3001
Faculty of Engineering	Department of Biomedical Engineering	3400 3001
	Department of Computing	3400 3634
	Department of Electrical Engineering	
	Department of Electronic and Information Engineering	2766 5016
	Department of Industrial and Systems Engineering	2766 5019
	Department of Mechanical Engineering	3400 3634
	Interdisciplinary Division of Aeronautical and Aviation Engineering	
	Faculty of Health and Social Sciences	Department of Applied Social Sciences
Department of Health Technology and Informatics		
Department of Rehabilitation Sciences		
School of Nursing		2766 5019
School of Optometry		2766 5016
Faculty of Humanities	Department of Chinese and Bilingual Studies	2766 5019
	Department of Chinese Culture	
	Department of English	
School of Design		3400 8071
School of Hotel and Tourism Management		

21.3 Other Support Services Units

Unit	Services	Website
Information Technology Services Office (ITS)	<ul style="list-style-type: none"> • Personal PolyU NetID • Email service and University Portal • High performance computing platform • Student Computer Centre • IT HelpCentre and Hotline Services • University's Common Learning Management System • Network connection on and off campus • Advanced research networks • mySystem / myPolyUWeb / mySurvey 	http://www.polyu.edu.hk/its
Pao Yue-kong Library	<ul style="list-style-type: none"> • Facilities and services to facilitate students' learning and research • Information on conducting research • Sharpening research skills • Finding research materials • Research Enhancement Centre (REC) 	https://www.lib.polyu.edu.hk

Unit	Services	Website
	<ul style="list-style-type: none"> • Research Lounge • Loan of library materials • Borrowing and copyright regulations 	
Centre STARS (Student Advancement and Resources) comprising the following 4 offices: <ul style="list-style-type: none"> • Office of Counselling and Wellness (OCW) • Office of Student Development (OSD) • Office of Student Resources and Residential Life (SRRL) • Office of Careers and Placement Services (CAPS) 	<ul style="list-style-type: none"> • Personal Counselling Services • Scholarships and student financial assistance schemes • Student amenities, sports facilities and student halls of residence • Student development programmes and physical education programmes • Services to students with disabilities • Career prospects for graduates • Advice and assistance to student organisations 	http://www.polyu.edu.hk/stars/
University Health Service (UHS)	<ul style="list-style-type: none"> • Clinical consultations • Medication • First aid • Nursing care • Minor operative treatment • Immunization • Travel health consultation • Certification on health examination • Traditional Chinese Medicine Clinic 	http://www.polyu.edu.hk/uhs
English Language Centre (ELC)	<ul style="list-style-type: none"> • English subjects for research language skills enhancement • Centre for Independent Language Learning (CILL) • Language activities including referencing skills 	http://elc.polyu.edu.hk
Health, Safety and Environmental Office (HSEO)	<ul style="list-style-type: none"> • Health and safety policy • Environmental policy • General health and safety requirements • General laboratory safety requirements • Health and safety training • Requirements of registration for working inside a chemical/biological laboratory • Requirements for the operation of irradiating apparatus and the handling of radioactive substances • Requirements for use of high-power laser equipment • Research safety approval • Central Chemical Purchasing System • Advice to students in the event of an emergency 	http://www.polyu.edu.hk/hseo

22. General Conduct, Academic Integrity and Intellectual Property

22.1 General Conduct and Discipline

- *Alcoholic Drinks*
- *Dangerous Drugs and Gambling*
- *Security of Personal Property*
- *Sexual Harassment*
- *Smoking*

For details, please visit: <https://www.polyu.edu.hk/ar/web/en/for-polyu-students/student-handbook/2019-20/en/Ch-7/index.html#E>.

22.2 Use of University's Name, Property and Premises

- *Use of the University's Name*
- *Requests for Sponsorship*
- *Use of the University's Property and Facilities*
- *Use of the University's Premises*
- *Posters and Notices*

For details, please visit: <https://www.polyu.edu.hk/ar/web/en/for-polyu-students/student-handbook/2019-20/en/Ch-7/index.html#C>.

22.3 Academic Integrity

Cheating

Plagiarism - Students should read the details on "Plagiarism" given in **Appendix E**.

Unauthorised collaboration or help

Fabrication and Falsification

Aiding academic dishonesty

For details, please visit: <https://www.polyu.edu.hk/ar/web/en/for-polyu-students/student-handbook/2019-20/en/Ch-7/index.html#D>

22.4 Intellectual Property

Intellectual Property created by students in the course of their study at the University shall be owned by the University if the student:

- a) receives financial support from the University in the form of wages, salary or stipends for undertaking his/her study or research in the University;
- b) makes material use of the University's resources for his/her research work;
- c) receives material guidance and intellectual input from the University's staff for his/her research work; or
- d) if his/her research work is funded by a grant to the University or to him/her by virtue of his/her study with the University.

For details, please visit: <https://www.polyu.edu.hk/ar/web/en/for-polyu-students/student-handbook/2019-20/en/Ch-7/index.html#D>

22.5 Acceptable Use Policy (AUP) University Information Technology Facilities and Services

The AUP governs all users of the University IT resources regardless of equipment ownership or administration, whether the use is direct or indirect. You can access the AUP at the following URL:

<https://www.polyu.edu.hk/itsecurity/upload/policies/P-2.pdf>

The AUP applies to all users of the University IT resources (“users”) whether affiliated with the University or not and to all use of these resources from on-campus or at remote locations. This Policy applies to all users of equipment owned or administered by the Information Technology Services Office (ITS), individual departments or by individuals which are connected to the University IT resources. Connection by personally owned equipment to the University IT resources requires adherence to this Policy.

Students should observe the following when using the University IT resources:

- (1) **No Illegal, Harmful or Offensive Use**
- (2) **No Security Violations**
- (3) **No Network Abuse**
- (4) **No Email or Other Message Abuse**

For details, please visit: <https://www.polyu.edu.hk/ar/web/en/for-polyu-students/student-handbook/2019-20/en/Ch-7/index.html#D>

24 Useful Information

Useful Information	Please visit the below link for more information
Arrangements During Bad Weather	https://www.polyu.edu.hk/ar/web/en/for-polyu-students/student-handbook/2019-20/en/Appendix-4/index.html
Communal Facilities <ul style="list-style-type: none"> ○ Amenities Centre ○ Student Common Room ○ Study Room ○ Prayer Rooms 	https://www.polyu.edu.hk/stars/resources-and-services/communal-facilities/general-information.html
Bank & ATM / Convenience Store / Book Shop <ul style="list-style-type: none"> ○ Bookshop ○ Bank & ATM ○ Convenience Store 	https://www.polyu.edu.hk/miss/index.php/our-campus#Bank-ATM
Catering Facilities <ul style="list-style-type: none"> ○ Communal Staff Restaurant ○ Communal Student Canteen ○ Communal Student Restaurant ○ H Cafe (American Diner) ○ Lawn Cafe ○ LibCafe ○ Theatre Lounge ○ V Cafe (D Cafe) ○ VA Kiosk ○ VA Staff Canteen ○ VA Student Canteen ○ W Kiosk ○ X Cafe ○ Z Cafe ○ Z Canteen 	https://www.polyu.edu.hk/fo/FO_Web/index.php?page=8&subpage=cat01
Sports Facilities <ul style="list-style-type: none"> ○ Shaw Sports Complex ○ Kwong On Jubilee Sports Centre ○ Block X Sports Centre ○ Michael Clinton Swimming Pool ○ Block X Swimming Pool 	https://www.polyu.edu.hk/stars/sports/sports-facilities/
Campus Map	https://www.polyu.edu.hk/fmo/eMap/map.php
Forms for Students	https://www.polyu.edu.hk/ro/en/download-student-forms.html

23.1 Guidelines for Printing of University Name Cards

It is noted that some PhD/MPhil students need to be formally identified when participating in research/academic activities during their study period (e.g. when participating in research projects, conference presentations, seminars/workshops, or University's events). University name cards can thus facilitate the exchange of contact information for building up academic or professional networks on or off campus.

A set of guidelines is developed to facilitate the provision of name cards for current PhD/MPhil students. Please note the following points:

- (1) Application for printing of University's name cards has to be endorsed by the students' Chief Supervisors and approved by the Heads of Departments.
- (2) Students are required to identify the nature of the activities which requires identification and undertake to use the name cards appropriately.
- (3) The name cards will include the following information:
 - the student's name;
 - the student's capacity (i.e. PhD/MPhil student);
 - the title (e.g. Research Assistant);
 - Name of Faculty/School;
 - Name of Department; and
 - Contact information (i.e. tel. no., fax. no., email address)
- (4) Students using the University name cards should be fully aware that they are representing the University and should behave in an appropriate manner.

A PhD/MPhil student may apply for printing of University name cards by sending a completed application form (downloadable from https://www2.polyu.edu.hk/Script/staff/cpa/documents/words/PhD_MPhil_Students_Name%20Card_Application_20170713.docx) with supporting documents to his/her Chief Supervisor. Upon Head of Department's approval, the request should be forwarded to the printing company by the Department for order processing. The student will be notified for collection when the University name cards are ready. The printing expenses will be borne by the Department.

For details of the Brand Communication Guidelines, please visit https://www2.polyu.edu.hk/Script/staff/cpa/Brand_Communication_Guidelines.

23.2 List of Abbreviations

AAE	Interdisciplinary Division of Aeronautical and Aviation Engineering
ABCT	Department of Applied Biology and Chemical Technology
AF	School of Accounting and Finance
AMA	Department of Applied Mathematics
AP	Department of Applied Physics
APSS	Department of Applied Social Sciences
AR	Academic Registry
BME	Department of Biomedical Engineering
BoE	Board of Examiners
BRE	Department of Building and Real Estate
BSE	Department of Building Services Engineering
CAPS	Office of Careers and Placement Services
CBS	Department of Chinese and Bilingual Studies
CC	Department of Chinese Culture
CEE	Department of Civil and Environmental Engineering
Centre STARS	Centre for Student Advancement and Resources (STARS)
COMP	Department of Computing
DoS	Dean of School
DSO	Dean of Students Office
DRC	Departmental Research Committee
EE	Department of Electrical Engineering
EIE	Department of Electronic and Information Engineering
ELC	English Language Centre
ENGL	Department of English
FAST	Faculty of Applied Science and Textiles
FB	Faculty of Business
FCE	Faculty of Construction and Environment
FENG	Faculty of Engineering
FH	Faculty of Humanities
FHSS	Faculty of Health and Social Sciences
FMO	Facilities Management Office
FO	Finance Office
FRC	Faculty Research Committee
GPA	Grade Point Average
HTI	Department of Health Technology and Informatics
HoD	Head of Department
HSEO	Health, Safety and Environment Office
ISE	Department of Industrial and Systems Engineering
ITC	Institute of Textiles and Clothing
ITS	Information Technology Services Office

LIB	Pao Yue-kong Library
LMS	Department of Logistics and Maritime Studies
LSGI	Department of Land Surveying and Geo-Informatics
ME	Department of Mechanical Engineering
MM	Department of Management and Marketing
NLSST	The Non-local Student Services Team
NOL	No Objection Letter
OCW	Office of Counselling and Wellness
OSD	Office of Student Development
PolyU	The Hong Kong Polytechnic University
QGPA	Qualifying Grade Point Average
RC	Research Committee
REC	Research Enhancement Centre
RO	Research Office
RS	Department of Rehabilitation Sciences
SARP	Subject Assessment Review Panel
SB	School Board
SCC	Student Computer Centre
SD	School of Design
SHTM	School of Hotel and Tourism Management
SN	School of Nursing
SO	School of Optometry
SRRL	Office of Student Resources and Residential Life
TA	Teaching Assistant
TPS	Teaching Postgraduate Studentship
UHS	University Health Service

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Regulations for the Degrees of Master of Philosophy and Doctor of Philosophy offered by The Hong Kong Polytechnic University (Applicable to students admitted before 1 July 2014)

Preamble

The programme of research is designed in such a way to enable the student to acquire competence in research methods and scholarship and to display sustained independent effort and independent original thought. *design of the programme*

The degree of Master of Philosophy (MPhil) or Doctor of Philosophy (PhD) shall be awarded to a student who, on completion of an approved programme of study and research, and on fulfilling the coursework requirements for graduation, presents a thesis embodying the results of his/her research and satisfies the examiners in an oral examination (and other examinations if required) in matters relevant to the subject of the thesis. *successful MPhil / PhD*

MPhil and PhD students are required to satisfactorily investigate or evaluate a chosen area, to show understanding of the context and significance of the work, and to present a clear, complete thesis of a quality worthy of publication.* *MPhil and PhD difference – explicit*

PhD students are expected in addition to produce evidence and argument to support an original proposition that results in a significant contribution to knowledge.

Approval may be given for a thesis to be accompanied by materials other than in the written form. *presentation of other material*

The thesis shall be presented in English. Permission must be sought, normally at the point of admission, if another language, which is considered more appropriate to the subject, is to be used in the presentation of the thesis. *language of thesis*

R1 Admission Requirements

- R1.1 To register for the degree of MPhil, a student shall hold : *minimum entrance requirements*
- a. a Bachelor's degree with first or second class honours of The Hong Kong Polytechnic University or a recognised university; or
 - b. other academic qualifications which are deemed to be equivalent.

* Publication is broadly defined to include all forms of dissemination of the research findings, subject to peer endorsement or public recognition, in the public domain.

R1.2	To register for the degree of PhD, a student shall normally hold a postgraduate degree containing a significant research component, such as a dissertation, conferred by The Hong Kong Polytechnic University or a recognised university.	<i>direct registration for PhD</i>
R1.3	In exceptional circumstances students other than those stipulated in R1.1 and R1.2 may be permitted to register. For example, students with a Bachelor's degree with First Class Honours, or the equivalent, may be admitted directly to the PhD programme. Such students may be required to pass an examination.	<i>waiver of entrance requirements</i>
R1.4	Applicants who have not obtained a degree of which the language of instruction was English from a recognised university are normally required to obtain a score of 6.0 or above in IELTS (International English Language Testing System); a TOEFL (Test of English as a Foreign Language) score of 550 or above, a computer-based TOEFL (after 1998) score of 213 or above, or an internet-based TOEFL score of 79 or above. All English language test scores are considered valid for five years after the date of the test. Consideration will be given to acceptable scores obtained in other internationally recognised public examinations, such as GRE (Graduate Record Examination) or GMAT (Graduate Management Admission Test), as deemed appropriate.	<i>language requirements</i>
R1.5	A student who is registered for a research degree programme shall not be concurrently registered for another programme of studies that leads to an award in The Hong Kong Polytechnic University or elsewhere, without prior approval.	<i>no concurrent registration without approval</i>
R2	Supervision	
R2.1	A student registered for the degree of MPhil or PhD shall follow an approved programme of research and coursework under a Chief Supervisor and, if appropriate, Co-supervisors.	<i>supervisory arrangements</i>
R3	Confirmation of Registration and/or Transfer between MPhil and PhD	
R3.1	A successful applicant shall first be registered provisionally for the degree of MPhil or PhD.	<i>provisional registration</i>
R3.2	Students are required to apply for confirmation of registration, subject to formal assessment, within the first half of the normal period of study, starting from the date of provisional registration.	<i>confirmation of registration</i>
R3.3	A student who is provisionally registered for the degree of MPhil may apply for transfer of registration to PhD at the time when applying for confirmation of registration. An MPhil student whose registration is confirmed may also apply for transfer of registration to PhD.	<i>transfer from MPhil to PhD</i>
R3.4	A student who is registered for the degree of PhD may transfer to the MPhil status by notifying the Department in writing. Alternatively, a student who is not making satisfactory progress towards the PhD degree may be transferred to MPhil status by the Department at any time.	<i>transfer from PhD to MPhil</i>

R3.5 The registration shall be (a) confirmed; (b) transferred to MPhil/PhD; (c) terminated or (d) exceptionally extended to remain provisional.

R4 **Normal Period of Study**

R4.1 The normal periods of study are as follows:

normal period of study

	<u>MPhil</u>	<u>PhD</u>	
Full-time	24 months	36 months	(48 months for students admitted on the basis of a Bachelor's degree)
Part-time	48 months	72 months	(96 months for students admitted on the basis of a Bachelor's degree)

R4.2 A student may apply for transfer between full-time and part-time study. The normal period and/or maximum period of study will then be shortened or extended on a pro rata basis (see R5.1).

transfer between full-time and part-time study

R5 **Maximum Period of Study**

R5.1 The maximum periods of study are as follows:

maximum period of study

	<u>MPhil</u>	<u>PhD</u>	
Full-time	36 months	60 months	(72 months for students admitted on the basis of a Bachelor's degree)
Part-time	60 months	84 months	(108 months for students admitted on the basis of a Bachelor's degree)

R5.2 A student who is not able to submit his/her thesis to the Research Office (RO) for examination within the normal period of study as expected, must submit the thesis at a date within the maximum period of study.

completion beyond the normal period

R5.3 Extension of the maximum period of study shall not be permitted. The student shall be deregistered from the programme if he/she fails to submit the thesis to RO upon expiry of the maximum period of study.

extension of the maximum period not permitted

R5.4 Any extra period allowed for revision or resubmission of the thesis under R13.3 shall not count towards the maximum period of study.

R6 **Deferment of Study**

R6.1 A student may apply within the normal period of study for deferment of up to 12 months at a time, for no more than a cumulative total of 24 months. Deferment will not count towards the period of study.

deferment of study

R6.2 Approval for deferment after the normal period of study shall not normally be considered except on the basis of certified health problems.

R7 Residence Requirements

R7.1 For both MPhil and PhD programmes, permission may be granted for the research to be conducted outside Hong Kong as long as a minimum cumulative period of 12 months is spent while based at the University. *studying outside Hong Kong*

R7.2 Where R7.1 applies, adequate supervision arrangements must be approved for study periods spent outside Hong Kong.

R8 Leave

R8.1 With the prior agreement of the Chief Supervisor, a full-time student may take vacation leave of up to four weeks per study year. *vacation leave*

R9 Coursework Requirements

R9.1 A student must fulfill the coursework requirements of his/her degree. An MPhil student should earn nine credits, of which no more than six credits should be from Guided-study subjects. A PhD student should earn 15 credits, of which no more than nine credits should be from Guided-study subjects. *credit requirement*

(For students of the Faculty of Business enrolled between 1 September 2003 and 1 July 2009, an MPhil student should earn 12 credits, of which no more than six credits should be from Guided-study subjects, and a PhD student should earn 18 credits, of which no more than nine credits should be from Guided-study subjects. For students of the Faculty of Business enrolled on or after 2 July 2009, an MPhil student should earn 13 credits, of which no more than six credits should be from Guided-study subjects, and a PhD student should earn 19 credits, of which no more than nine credits should be from Guided-study subjects.)

R9.2 A student can take levels four, five or six subjects offered by the University under existing taught programmes, or subjects tailor-made to suit the needs of research students (normally Guided-study subjects). All of the subjects taken will be assigned a grade. *level of subjects*

R9.3 Students will normally not be given credit transfer or exemption on the basis of previous studies. Students may be given credits for recognised previous study. If the credits to be transferred from previous study have been gained from outside the University, they will not be included in the calculation of the qualifying GPA. The validity period for credit transfer for research degree programmes is defined to be five years from the year of attainment at the time of admission. That is, a student can be given credit transfer if he/she has obtained the credits within five years before admission. Credit transfer for study done outside PolyU during the student's research postgraduate studies in PolyU with prior approval is regarded as an acceptable way to gain credits. An appropriate grade will be assigned and the grade gained for such credit transfer will be included in the calculation of the required qualifying GPA (see R9.4 below). *credit transfer*

- R9.4 All MPhil students need to complete their coursework with a qualifying GPA of 2.75 or above, and all PhD students need to complete their coursework with a qualifying GPA of 3.0 or above before submission of their thesis for examination. The qualifying GPA, which is capped at 4.0, is computed as follows:
- Qualifying GPA
- $$\text{Qualifying GPA} = \frac{\sum \text{Subject Grade Point} \times \text{Subject Credit Value}}{\sum \text{Subject Credit Value}}$$
- Where the Qualifying GPA is the result of the accumulated value of the subject grade point multiplied by the subject credit value divided by the total credit value for those subjects. For MPhil study only the best 9 credits will count towards the calculation, and for PhD study only the best 15 credits will count towards the calculation.
- (For students of the Faculty of Business enrolled between 1 September 2003 and 1 July 2009:
- For MPhil study only the best 12 credits will count towards the calculation, and for PhD study only the best 18 credits will count towards the calculation.
- For students of the Faculty of Business enrolled on or after 2 July 2009:
- For MPhil study only the best 13 credits will count towards the calculation, and for PhD study only the best 19 credits will count towards the calculation.)
- R9.5 Students may take more subjects than required in order to improve their GPA to reach the qualifying GPA, or in order to strengthen their knowledge.
- R9.6 Subjects taken after submission of the thesis will not contribute to the qualifying GPA.
- R9.7 Students may retake only those subjects in which they have obtained a grade "C+" or below. They may retake a subject once only. *retake of a subject*
- R9.8 If a student retakes a subject, the credits associated with the subject will be counted only once towards the credit requirements. Moreover, the better grade obtained and the associated credits will be used to calculate the qualifying GPA, if applicable.
- R9.9 A student may be exempted from taking a compulsory subject if he/she has successfully completed a similar subject previously in another programme or if he/she already has the associated knowledge/skills via work experience, etc. If a student is exempted from taking a compulsory subject, the credits associated with the exempted subject will not count towards the award requirements. It will therefore be necessary for the student to take another subject in order to satisfy the credit requirement. *subject exemption*

- R9.10 The assessment regulations conform to the University's General Assessment Regulations (GAR) for credit-based programmes except for the special way in which the qualifying GPA, which is capped at 4.0, is calculated as mentioned in Regulations R9.4 and R9.8 and for the retaking of a subject as mentioned in Regulation R9.7. (The University GAR for credit-based programmes are available from Section B1 of <https://www.polyu.edu.hk/ar/web/filemanager/common/publications-restricted/hbarp/ARP.pdf>)
- R10 **Progress Report**
- R10.1 Students shall be required to submit progress reports as required from time to time by the University. *reporting progress*
- R11 **Deregistration**
- R11.1 A student may be deregistered in the following circumstances : *deregistration*
- if his/her progress is considered unsatisfactory; or
 - if the maximum period of study is exceeded; or
 - if his/her thesis is deemed unsatisfactory.
- R12 **Thesis Submission**
- R12.1 A student shall submit a notice of intention to take the thesis examination, including a thesis title and brief description, when the thesis is ready or nearly ready for examination. *notice of intention to take thesis examination*
- R12.2 A student shall submit his/her thesis to RO after it has been approved by the Chief Supervisor. *submission of thesis*
- R12.3 Under very exceptional circumstances, a student shall be allowed to make a written request to the Research Committee (RC) for submitting a thesis for examination without the prior approval of his/her Chief Supervisor. *Submission of thesis without prior approval of Chief Supervisor*
- R12.4 Upon receipt of the written request from a student without the prior approval of his/her Chief Supervisor for thesis submission, the RC shall invite:
- the Chief Supervisor to provide the RC with a written explanation of his/her assessment of the thesis;
 - the student concerned to respond to the comments made by the Chief Supervisor; and
 - the relevant Departmental Research Committee (DRC) and Faculty Research Committee (FRC)/School Board to comment on the application.
- Each party will be allowed one month to complete the task. Documents received will then be presented to RC for consideration within four months.

R13 Examinations of Thesis**R13.1 Internal Examiners***composition
of the Board of
Examiners*

R13.1.1 The Chairman of the BoE shall be appointed by the Head of Department/Dean of School or Dean of Faculty/School Board Chairman. He/She shall be at the Associate Professor level or above, or the equivalent, and from a broadly related discipline. He/She is also expected to have gained successful supervision experience at postgraduate level at PolyU or elsewhere. The main duties of the BoE Chair are (1) to uphold the integrity of the exam process and (2) to act as a gatekeeper to ensure quality of the thesis.

R13.1.2 The Chief Supervisor shall be a member of the BoE but shall not be the Chairman of the Board.

R13.1.3 Both the BoE Chair and the Chief Supervisor have no voting right.

R13.2 External Examiners

R13.2.1 There shall be two external examiners who are not members of the University. They should preferably not come from the same academic department of the same university. Special cases with justifications will be presented to the RC for consideration.

R13.2.2 Both external examiners shall have successful PhD supervision experience as Chief Supervisors and shall normally be at the Associate Professor level or above, or the equivalent.

R13.2.3 External examiners should have appropriate expertise related to the research programme, shall not have acted previously as the student's supervisor, and shall be in a position to be impartial.

R13.2.4 Special approval will have to be obtained from the BoE Chair and the FRC/School Board Chair if qualifications of nominated external examiners deviate from the above stipulations. In case a nominee holds an "Honorary" academic title, the nomination will have to be approved by the RC Chair.

R13.3 Examination of Thesis

R13.3.1 The thesis submitted shall be read by the Chairman of the BoE who shall decide whether the thesis should be sent out to the external examiners.

R13.3.2 The Chairman of the BoE may require the student to revise and resubmit the thesis before it is considered acceptable to be sent out to the external examiners. The student is limited to two sets of revisions and a maximum of six months shall be allowed each time.

R13.3.3 In the event that the BoE Chair finds the presentation quality and/or language proficiency of the thesis unsatisfactory, s/he should refer it back to the student,

via the Chief Supervisor, for revision, without the need to list out the editorial changes required. The Chief Supervisor is required to re-assess the revised thesis and to approve it, in writing, for external assessment. However, if the BoE Chair asks a student to make revisions to the thesis that involves technical problems, the thesis must be re-assessed by the BoE Chair before it can be sent out for external assessment.

- | | | |
|---------|--|-------------------------------------|
| R13.3.4 | In the event that the Chairman of the BoE finds the thesis unacceptable for release to the external examiners after two sets of revisions, the thesis shall be read by the external examiners nevertheless. | |
| R13.3.5 | The oral examination is compulsory. The BoE shall decide whether any additional form of examination is necessary. | <i>form of examinations</i> |
| R13.3.6 | The BoE, following reading of the thesis, shall recommend: | <i>initial stage of examination</i> |
| | a. that the thesis form an adequate basis for an oral examination (and other examinations as required); or | <i>approve oral examination</i> |
| | b. that the thesis be revised once within twelve months and resubmitted for the oral examination (and other examinations as required); or | <i>revision required</i> |
| | c. that the thesis be deemed unsatisfactory, no resubmission be permitted, and that the student fails. | <i>failure</i> |
| R13.3.7 | If the BoE cannot reach a consensus view, the BoE Chair shall invite the Chief Supervisor to nominate an additional external examiner to assess the thesis. The nomination should be endorsed by the BoE Chair and appointed by the RC Chair. S/he should be informed of the background leading to the appointment and his/her view on the thesis constitutes the deciding vote. This additional external examiner will be invited to attend the oral examination. | <i>absence of consensus</i> |
| R13.3.8 | Following the oral examination (and other examinations as required), the BoE shall recommend to the RC: | <i>final stage of examination</i> |
| | a. that the student be awarded the degree of MPhil/PhD; or | <i>approved without revision</i> |
| | b. that the student be awarded the degree of MPhil/PhD subject to minor amendments being made to the thesis or an additional assignment being completed to the satisfaction of the Chairman of the BoE or his/her nominee by a specified date but normally within a period not longer than three months; or | <i>minor revision</i> |
| | c. that the student revise and resubmit the thesis and/or that another oral examination and/or other form of examination be required. The student is limited to one opportunity of re-examination within 12 months; or | <i>revision and re-examination</i> |

- d. for PhD examination only, that the student be awarded the degree of MPhil and no resubmission be permitted; or *award of MPhil to PhD candidate*
- e. that the thesis be deemed unsatisfactory, no resubmission be permitted, and that the student fails. *failure*

The report detailing the recommendation of the BoE shall be copied to the DRC Chair, who shall alert the RC to problematic cases and provide necessary information when required.

- R13.3.9 If there is no consensus view among members of the BoE after the oral examination or re-examination, the Chairman of the Board shall present the case to the RC which shall make a final decision.

R14 **Confirmation of Award**

- R14.1 The RC shall confirm on behalf of the Senate the award of the degree of MPhil/PhD to a student who has satisfied all the requirements for the degree. *RC to confirm award*

R15 **Complaints and Appeals**

- R15.1 A student may make a written complaint about his/her study circumstances, or make an appeal against a decision to deregister or against an examination result (including the examination of a taught subject, a Guided-study subject and the thesis defence) by writing to the appropriate authority in the University. *written complaints/appeals*

Note: The authority to interpret these Regulations rests with the University Research Committee.

Administrative Procedures for the Degrees of Master of Philosophy and Doctor of Philosophy offered by The Hong Kong Polytechnic University (Applicable to students admitted before 1 July 2014)

Note: The University reserves the right to change these administrative procedures without prior notice as a result of new policies or amendments to the degree regulations as and when they arise.

P1 Admission

- | | | |
|------|---|--|
| P1.1 | An applicant shall submit an application online to the Departmental Research Committee (DRC) via the Research Office (RO)'s Web Application System. | <i>online application</i> |
| P1.2 | An applicant shall set out as systematically and fully as practicable the intended programme of work as it is seen at that time. Any significant changes to the programme of research such as the project title require the approval of the DRC. RO shall be notified of the changes by the DRC. | <i>programme plan;
DRC to approve
subsequent changes</i> |
| P1.3 | If the programme of research forms part of a group project, the applicant shall clearly indicate what contribution he/she will make and the extent to which the work is to be carried out in collaboration with others. | <i>groupwork</i> |
| P1.4 | If the programme is carried out jointly with an industrial, commercial, professional or research establishment, the applicant shall briefly describe the work he/she will carry out in the collaborating establishment as against the host department to which he/she is attached. | <i>extra institutional
collaboration</i> |
| P1.5 | An applicant is normally not allowed to be registered for another programme of studies that leads to an award. Exceptional approval from the Research Committee (RC), via his/her Chief Supervisor and DRC, is required for concurrent registration. Failure to obtain approval may lead to disciplinary action including discontinuation of study at PolyU. | <i>RC to approve
concurrent
registration</i> |
| P1.6 | The DRC, on receipt of an application to register for the research degree programme, shall approve or reject the application. The DRC shall forward approved applications and supervision arrangements (see P2 below) to the RO. | <i>DRC to consider
the application</i> |
| P1.7 | Referring to Regulation R1.1(b), if the applicant holds an academic qualification other than an honours Bachelor's degree, he/she shall enclose copies of relevant transcripts. The DRC has to justify why the qualification is at least equivalent to a second class honours Bachelor's degree from The Hong Kong Polytechnic University. | |
| P1.8 | If the applicant holds qualifications other than those stipulated in Regulations R1.1 and R1.2, the DRC shall decide whether an examination is required. If so, the department concerned should arrange for the examination. In the case that the DRC recommends admission of a student under Regulation R1.3, it shall provide justification showing why the applicant is considered to be capable of completing the research programme. The application and justification are to be sent to the Faculty Research Committee (FRC)/School Board for approval. | |

P1.9	In the event that the FRC/School Board rejects an application forwarded to it by the DRC under P1.8, the decision, together with its justification, shall be conveyed to the DRC. In the event that the DRC does not agree with the FRC/School Board that the application should be rejected, the case shall be forwarded to the RC for consideration.	<i>FRC/School Board to consider the application</i>
P1.10	The Head of the host department shall certify on Form RDC/1A provision of adequate facilities to enable the student to conduct and complete the research programme in an efficient and safe manner.	<i>responsibility of host department</i>
P1.11	All approved applications shall be sent to RO for action. Cases of students who are admitted under Regulation R1.3 shall be reported to the RC.	<i>RC to note special cases</i>
P1.12	The English language requirements under Regulation R1.4 may be waived by the FRC/School Board at the request of the Chief Supervisor with acceptable justification and endorsement from the DRC.	<i>waiver of language requirements</i>
P1.13	The DRC shall consider the appropriateness of an internationally recognised public examination and the corresponding score achieved by the applicant if IELTS or TOEFL scores are not provided.	<i>DRC to consider equivalent examination result</i>
P1.14	An intention to present the thesis in a language other than English will be considered, preferably on admission. Strong justifications on academic grounds must be provided to substantiate that the use of English will adversely affect the clarity of the thesis should another language be used. Applications shall be endorsed by the DRC, approved by the FRC/School Board and copied, for information, to the RC Chairman, who may veto the decision of the FRC/School Board.	<i>Thesis not in English</i>
P2	Supervisory Arrangements	
P2.1	The DRC shall follow one of the following two admission and supervisory arrangements:	<i>DRC to decide on supervisory arrangement</i>
	a. An applicant is required to submit an application, together with a detailed research proposal. The DRC shall consider the application that includes the proposed Chief Supervisor, and approve it as appropriate.	<i>applicant with a detailed research proposal</i>
	An offer letter will be issued to the student, in which the name of the Chief Supervisor and the project title will be stated. The student, if eligible, will start receiving the stipend when he commences the programme of study.	
	b. An applicant may be admitted without being assigned a Chief Supervisor and without an approved research project at the point of admission, i.e., his/her first day of affiliation with the Department. The Department is obliged to assign the most suitable staff member(s) as the student's supervisor(s) within four months of admission, and the student and supervisor(s) are required to formulate a research proposal for the DRC's approval within four months of admission.	<i>applicant without a Chief Supervisor and an approved research project</i>
	The student, if eligible, will draw the stipend upon admission which will also mark the beginning of the normal period of study.	

The offer letter will state that the student is admitted under the temporary supervision of an academic staff member, who is regarded as the temporary supervisor, appointed by the DRC Chairperson. The period of the studentship being offered will also be stated in this letter. RO will issue a reminder to the DRC one month after admitting the student, inviting the Department to submit the requisite information on the supervisor(s) and research proposal. Upon receipt of the information, RO will issue another letter to the student to confirm the particulars of the supervision arrangement and the programme of study.

P2.2	The Chief Supervisor shall	<i>qualifications of Chief Supervisor</i>
	<ul style="list-style-type: none"> a. be a full-time academic staff¹ of the department in which the student will be registered; b. not be registered for a research degree while acting as Chief Supervisor; c. have proven research experience and quality research output in an appropriate field of study related to the programme; and d. normally have successful experience of MPhil/PhD supervision. 	
P2.3	The Co-supervisor shall	<i>qualifications of Co-supervisor</i>
	<ul style="list-style-type: none"> a. not be registered for a research degree while acting as Co-supervisor; and b. have proven research experience in an appropriate field of study related to the programme. 	
P2.4	If the Chief Supervisor does not have successful experience in supervising MPhil or PhD students, a Co-supervisor with such experience shall be appointed. The DRC shall state the justification if this requirement is to be waived.	<i>supervision experience</i>
P2.5	The DRC in making its appointment should consider the current supervisory loading of the proposed supervisors.	<i>loading of supervisor</i>
P2.6	Any changes in the appointment of supervisor(s) must be approved by the DRC. RO shall be notified of the changes by the DRC.	<i>change of supervisors</i>
P3	Confirmation of Registration and/or Transfer between MPhil and PhD	
P3.1	The student, before confirmation of registration, is required to submit a written report and make a presentation to a panel formed by the DRC. The panel shall include the Chief Supervisor and at least one academic staff member of the University, other than the supervisors of the student. The panel shall assess the student's progress during his/her provisional registration period. It will also consider the recommendations made by the English Language Centre (ELC)	<i>student report required</i> <i>assessment of progress</i>

¹ Including those senior executives who are appointed to a non-academic position and are offered a concurrent appointment as academic staff members by the University.

	concerning the student's English proficiency. If the student's command of the English language is not up to the required standard, as judged by the ELC, the panel may, in serious cases, recommend a deferment of confirmation of registration. The panel shall provide a written assessment of the report and the student's presentation to the DRC. The student can be given another opportunity to revise his/her report and make a second presentation within three months of the first assessment if he/she does not perform satisfactorily in the first assessment.	<i>assessment of English proficiency</i> <i>panel assessment report required</i>
P3.2	<p>The DRC shall</p> <ul style="list-style-type: none"> a. confirm registration after the formal assessment of the student; and/or b. approve transfer of registration from MPhil to PhD for local students/endorse transfer of registration from MPhil to PhD for non-local students; c. reject the application and deregister the student; or d. extend the period of provisional registration; or e. inform RO if the student is to transfer from PhD to MPhil. <p>The DRC shall inform RO of the decision taken.</p>	<i>DRC to approve registration or otherwise</i>
P3.3	The DRC shall inform RO if the student is to transfer from PhD to MPhil.	<i>transfer from PhD to MPhil</i>
P4	Transfer between Full-time and Part-time Modes of Study	
P4.1	Applications from local students for transfer of registration between full-time and part-time modes of study shall be approved by the DRC. RO shall be notified of the transfer arrangements by the DRC.	<i>DRC to approve change in mode for local students</i>
P4.2	Applications from non-local students for transfer of registration between full-time and part-time modes of study require the endorsement of the DRC and approval of the Immigration Department of the HKSAR Government.	<i>DRC to endorse change in mode for non-local students</i>
P5	Completion beyond Normal Period of Study	
P5.1	If a student is unable to complete his/her study within the normal study period, he/she shall notify the DRC Chair via the Chief Supervisor in writing before the normal study period expires, indicating the reasons and the expected completion date, which should fall within the maximum study period. The DRC Chair shall act on the Chief Supervisor's recommendations to approve or disapprove the student's request for continuing his/her study beyond the normal study period (but within the maximum study period), and inform RO of his/her decision.	<i>DRC to be informed of extension within maximum period of study</i>
P6	Deferment of Study	
P6.1	Applications for deferment shall be approved by the DRC. The DRC shall notify RO of the deferment via the standard form for deferment.	<i>DRC to approve deferment</i>

P7 Residence Requirement

- P7.1 Applications for studies outside Hong Kong shall be approved by the DRC, which shall notify RO of its decision. *DRC to approve studies outside Hong Kong*

P8 Leave of Absence

- P8.1 Students' applications for leave of absence shall be approved by the Chief Supervisor. A record for each application approved shall be kept in the Department. *Chief Supervisor to approve leave of absence*

P9 Coursework Requirements

- P9.1 At the admission stage, the prospective Chief Supervisor will discuss with the prospective research student the subjects that the student should take in order to support his research studies. The proposed coursework study programme and any application for credit transfer should be submitted in Forms RC/26 and RC/33, respectively. The coursework study programme is regarded as a tentative programme, which may subsequently be changed, subject to the approval of the Chief Supervisor. Students registered on or after 2 July 2009 are required to pass a compulsory subject entitled *Ethics: Research, Professional & Personal Perspectives* before they submit their thesis for examination. This is a one-credit subject which will count towards the credit requirement. However, returning students will be allowed to carry over the grade obtained in the subject to the new RPg programme regardless of its level, provided that the grade was attained within five years of re-admission. *Chief Supervisor to approve tentative coursework study programme*
- P9.2 Guided-study subjects are those in which normally no lecturing is done and in which the student is required by the subject supervisor to read specified monographs and journal publications; the student and subject supervisor frequently meet to discuss the progress made by the student in the subject. The weighting assigned for coursework should be less than the weighting assigned for the examination. Coursework normally consists of assignments and presentations. Examination is compulsory and normally includes both written and oral. At the end of the semester, the student is examined by the subject supervisor and another staff member who is knowledgeable about the topic. A grade will be given in the same way as for regular taught subjects in Form RC/27. All Guided-study subjects will be at level 6 and their code number will be between 6800 and 6999.

P9.3 Credit Transfer

- P9.3.1 *Transfer of credits of subjects at postgraduate level earned from recognised previous studies*

Applications for the transfer of credits from recognised previous studies will be proposed by the DRC with justifications and approved by the HoD/DoS. Credits to be transferred may have been gained from within or outside the University and only earned credits of subjects at postgraduate level will be acceptable for transfer. Approval will normally be given for the transfer of a maximum of nine credits out of the 15 required for a PhD student (or 18 for students of the Faculty of Business enrolled between 1 September 2003 and 1 July 2009; or 19 for those

HoD/DoS to approve transfer of credits from recognised previous study

enrolled on or after 2 July 2009), and a maximum of six out of the nine (or 12 for students of the Faculty of Business enrolled between 1 September 2003 and 1 July 2009; or 13 for those enrolled on or after 2 July 2009) required for an MPhil student. RO will be informed of such approval.

P9.3.2 *Transfer of credits taken at postgraduate level outside PolyU after admission*

Transfer of credits for studies taken at postgraduate level outside PolyU during a student's studies in PolyU will be endorsed by the DRC Chair and approved by the HoD/DoS. The student will submit an application (Form RC/48), via his/her Chief Supervisor, to RO initiating the transfer.

The transfer of grades will be in accordance with the conversion table below and the grade gained will be included in the calculation of the qualifying GPA:

Grade Obtained Outside PolyU after Admission	Grade Transferred to PolyU	Grade Point	Interpretation
A+	A+	4.5	Exceptionally Outstanding
A	A	4	Outstanding
A-	A	4	Outstanding
B+	B+	3.5	Very good
B	B	3	Good
B-	B	3	Good
C+	C+	2.5	Wholly satisfactory
C	C	2	Satisfactory
C-	C	2	Satisfactory
D+	D+	1.5	Barely Satisfactory
D	D	1	Barely adequate
D-	D	1	Barely adequate
E	F	0	Inadequate
F	F	0	Inadequate

P9.3.3 *Minimum number of credits with a letter grade*

Students may take subjects outside PolyU to be given a “pass” or “fail” grade, instead of a letter grade, during his/her research studies at PolyU. The student will submit an application (Form RC/48), via his/her Chief Supervisor, to RO initiating the transfer. The application will be endorsed by the DRC Chair and approved by the HoD/DoS. The grade gained will not be included in the calculation of the qualifying GPA. However, an MPhil student must complete at least three credits with a letter grade and a PhD student at least six to allow for a meaningful calculation of the qualifying GPA.

P9.4 *Subject Registration*

- P9.4.1 Research students will register for subjects at the same time as other students. Whether a research student can add a subject will depend on the availability of *Chief Supervisor to approve changes in*

vacancies in the subject and the approval of the Chief Supervisor. Similarly, a student can drop a subject if it is approved by the Chief Supervisor. The student will effect the subject registration/deletion. After the add/drop period, RO will check the results of the add/drop changes against the approved study programme of individual students. Students' add/drop changes will automatically be cancelled if those changes have not yet been approved by the Chief Supervisor.

subject registration during add/drop period

P9.4.2 After the add/drop period, further enrolment of subjects will normally not be entertained. Exceptional cases with good justification and to which the subject lecturer agrees will require the DRC's approval up to the end of the 4th week after the commencement of the semester.

DRC to approve changes in subject registration after add/drop period

P9.4.3 Subject exemption is decided by the DRC but students can also apply for it. In order to satisfy the credit requirement, it is necessary for the student to take another subject, to be approved by the Chief Supervisor, in place of the exempted subject.

DRC to approve subject exemption

P9.4.4 On meeting the two conditions, students may retake a subject without the formal approval of the Chief Supervisor.

P9.4.5 The grades obtained by research students on taught subjects will be considered and endorsed by the Subject Assessment Review Panel (SARP) of the department offering the subject. The grades obtained by the research students on Guided-study subjects will be considered and endorsed by the relevant DRC based on the assessment reports (Form RC/27).

P10 **Monitoring of Progress**

P10.1 Students and their supervisors are required to submit progress reports as required from time to time by the University.

progress report required

P10.2 The DRC shall, on receipt of the report, evaluate and assess the progress of the student. In the event that the student's progress is unsatisfactory, the case together with the DRC's recommendations shall be submitted to the FRC/School Board for information.

DRC to monitor progress

P11 **Deregistration**

P11.1 A recommendation for deregistration as a result of unsatisfactory progress may be proposed by the Chief Supervisor and approved by the DRC. The DRC Chairman cannot take action by himself/herself on this issue.

DRC to approve deregistration

P11.2 A recommendation for deregistration made by the Board of Examiners (BoE) shall be approved or rejected by the RC [see Regulations R13.3.5(c) and R13.3.7(e)].

P12 **Submission of Thesis**

P12.1 A student and the supervisor(s) concerned will complete and submit Form RDC/2B as 'Notice of Intention to Take Thesis Examination' to RO via the DRC when the thesis is ready or nearly ready for examination. This notice is to be

form required; DRC to approve

accompanied by a brief description of the thesis (or the work done). The supervisor(s) shall nominate external examiners and submit supporting information. Upon receipt of the notice, RO shall set up a BoE. Students are advised to submit the notice well in advance of the intended thesis submission date so that the BoE is in place to examine the thesis upon its submission.

thesis title and brief description

P12.2 A student shall initially submit an electronic copy of the thesis to RO with the Chief Supervisor's confirmation that the thesis is ready for submission (Form RC/18). The thesis must be presented in accordance with the *Regulations on the Format and Presentation of Theses for Research Degrees*. When the thesis is found acceptable by the BoE Chairman, the electronic copy of the thesis shall be sent to the RO. After satisfying the award requirement, the student must prepare an electronic copy of the final version of the thesis to be sent to the University Library and other parties concerned via the RO.

P12.3 The Chief Supervisor shall approve the thesis as acceptable for submission for examination. Under exceptional circumstances, written requests to the RC for submitting a thesis for examination without the prior approval of the Chief Supervisor should be accompanied with:

Submission of thesis without prior approval of Chief Supervisor

- a. an electronic copy of the thesis; and
- b. detailed justification for the request via Form RC/62.

P12.4 Before a submitted thesis can be sent to external examiners, it must meet the University's English language standard expectations. To meet these expectations, the thesis must:

English standard expectation

- a. at all times clearly convey its content and meanings through an accurate use of the English language;
- b. follow a clear and appropriate organisation at all levels: overall (as shown by the Table of Contents and all text-headings); within chapters and within sections; between chapters and sections; at paragraph level; and at clause and sentence levels;
- c. follow acceptable conventions of standard English syntax;
- d. use both common and specialist vocabulary accurately and consistently;
- e. be fully spell-checked so that typographical errors have been removed;
- f. be free of errors such as incorrect layout, mislabelling or inadequate labelling of tables and other visuals, failure to maintain consistent levels of numbering of section and sub-section headings, etc;
- g. use punctuation with understanding of its function as an essential aid to comprehension; and
- h. have an accurate and complete set of references (and appendices, if

applicable) conforming to a style manual acceptable to the Chief Supervisor.

- P12.5 If a thesis is to remain confidential for a period of time after completion of the work, an application shall be submitted to the DRC by any interested party before the submission of the thesis for examination. A thesis may be kept confidential normally for a maximum of two years. *confidentiality*
- P13 **Examination of Thesis**
- P13.1 The DRC Chair shall be responsible for the nomination of the BoE Chair, in consultation with the Chief Supervisor, for the approval of the HoD/Dean of School. In the event that the HoD/Dean of School is one of the supervisors of the student, the Dean of Faculty/Chairman of School Board or his/her nominee shall be the Chairman of the BoE. In the case where both the HoD/Dean of School and the Dean of Faculty/Chairman of School Board are the supervisors, the Chairman of the RC or his/her nominee shall be the Chairman of the BoE.
- P13.2 The nomination of external examiners will be endorsed by the Chairman of the BoE and approved by the Chairman of the FRC/School Board. In the event that the Chairman of the BoE is the Chairman of the FRC/School Board, the external examiners will be approved by the RC Chairman. *Chairman, FRC/School Board to approve the nomination*
- P13.3 On receipt of the thesis, the Chief Supervisor shall submit a report on the thesis within two weeks. As soon as the Chief Supervisor's report is received, the Chairman of the BoE shall be asked to confirm within two weeks whether the thesis provides a prima facie basis to be sent to the external examiners for consideration. *Chief Supervisor to submit a report; Chairman, BoE to review the thesis*
- P13.4 In the event that the Chairman requires revision to the thesis before it is sent to the external examiners, the recommendation together with its justification shall be considered by the Chief Supervisor. If the Chief Supervisor agrees to the recommendation, the student shall be asked to revise the thesis as instructed. The student shall be given a maximum of six months in which to carry out each set of revisions, and each thesis is limited to two sets of revisions. In the event that there are divergent opinions between the Chairman of the BoE and the Chief Supervisor, the case shall be considered by the Chairman of the FRC/School Board, who shall decide on an appropriate action to take. In the event that the Chairman of the FRC/School Board is the Chairman of the BoE, the case shall be considered by the Chairman of the RC.
- P13.5 If the BoE Chairman finds the thesis unacceptable after two sets of revisions, this information will be conveyed to the external examiners when the thesis is released to them for reading.
- P13.6 Each external examiner shall be asked to read the thesis and submit a report on the thesis within six weeks. If both of them agree that the thesis forms an adequate basis for an oral examination, RO shall arrange for the examination. *examiners to review the thesis*

P13.7 If the BoE cannot reach a consensus view, the Chairman of the BoE shall invite the Chief Supervisor to nominate an additional external examiner to assess the thesis. *absence of consensus*

P13.8 The BoE shall conduct the oral examination. Participation requirements and voting right of the BoE are listed as follows: *presence and representation of the non-local examiner*

Level	BoE Chair	Chief supervisor	Co-supervisor(s)	External examiners
PhD and MPhil	<p>The BoE Chair must participate in the viva in person.</p> <p>S/he has no voting right.</p>	<p>The Chief Supervisor must participate in the viva in person.</p> <p>S/he has no voting right.</p>	<p>Co-supervisors may or may not attend the viva.</p> <p>They have no voting right.</p>	<p>Both examiners must participate in the viva. At least one of them shall attend the viva in person and the other one may attend the viva either in person or through video facilities.</p> <p>In exceptional circumstances when one of the examiners is unable to attend the viva either in person or through video facilities due to an unexpected event or illness, the viva shall be video-taped. The video, together with the BoE report, shall be sent to the external examiner who was absent from the viva for review.</p> <p>Should the outcome of the examination need to be put to a vote, each external examiner may cast one vote. A consensus is required for all decisions.</p>

P13.9 If a unanimous decision cannot be reached, each member of the BoE will be required to submit a report and recommendation for the consideration of the RC. The RC may set up a review panel to consider the case.

P14 Confirmation of Award

- P14.1 The recommendation of the BoE shall be considered and approved by the RC. *RC to approve*
Chairman's action is not possible.

P15 Complaints and Appeals

- P15.1 Complaints of research students, such as problems encountered in the supervision and provision of research facilities, shall be handled by the relevant DRC. The DRC should consider the complaint and formulate appropriate actions to resolve the problems. The DRC should then inform the student and RO of the actions taken. If the complaints are against the DRC, they should be handled by the relevant FRC/School Board. After resolving the problems, the FRC/School Board should inform the student and RO of the actions taken.

- P15.2 Research students may appeal against a decision to deregister or against an examination result (including the examination result of a taught subject, a Guided-study subject and the thesis defence).

- P15.3 The procedures for research students to appeal against a decision are detailed as follows:

- a. Students on research degrees shall be informed at the time of their registration of the grounds for appeal and of the procedures whereby appeals are considered. In particular, they shall be made aware of their responsibility to make known to the RC or its delegate of such factors as they believe have detrimentally and materially affected their results prior to the meeting of the RC or its delegate.
- b. A student appealing against a decision shall pay a fee, applicable in the academic year. The fee shall be refunded if the appeal is upheld.
- c. A research student can make an appeal against a decision to deregister him/her or against an examination result within one month of the date of notification of the result. The appeal should be accompanied by a copy of the receipt for the appeal fee. He/She should provide the following information, together with other relevant documents, in support of the appeal:
 - (i) name in English and Chinese
 - (ii) student number
 - (iii) affiliated department
 - (iv) grounds for appeal
- d. An appeal against deregistration should be sent to the relevant Faculty Office. The appeal shall be considered by the whole FRC/School Board, i.e., chairman's action is not allowed. Any member of the FRC/School Board who is a supervisor of the student cannot take part in the FRC/School Board discussion and decision on the case. The FRC/School Board will inform RO of its decision, which will advise the student of the result of his/her appeal within eight weeks of receipt of the appeal.

If the appellant is dissatisfied with the FRC's/School Board's decision, he/she may appeal further in writing to the RC not later than one month (from the date of notification of the first appeal result) after receipt of the decision of the FRC/School Board from the Secretary, RC. The Chairman of the RC shall determine whether there are prima facie grounds for a re-consideration of the FRC's/School Board's decision, and if so, shall refer it to the RC. The RC will consider the appeal and notify the student of the result within eight weeks of receipt of the appeal. Any member of the RC who is a supervisor of the student cannot take part in the RC discussion and decision on the case. If the RC Chairman considers that there are no grounds for the case, the appeal shall fail.

- e. For an appeal against the result of the thesis examination, the student shall appeal directly to the RC by writing to the Secretary, RC. The RC will consider the appeal and notify the student of the result within eight weeks of receipt of the appeal. Any member of the RC who is a supervisor of the student cannot take part in the RC discussion and decision on the case.

If the appellant is not satisfied with the decision of the RC on his/her appeal, he/she may appeal against the RC's decision by submitting a second appeal to the Registrar not later than one month (from the date of notification of the first appeal result) after receipt of the decision of the RC. The Registrar shall refer the case to the Chairman of the Academic Appeals Committee (AAC), who shall determine whether there are prima facie grounds for a re-consideration of the RC's decision, and if so, shall refer it to the AAC. If the AAC Chairman considers that there are no grounds for the case, the appeal shall fail.

The Chairman of the AAC may invite the Chairman of the BoE and/or the Chairman of the RC to submit to the AAC, prior to the meeting, comments relevant to the case under discussion, and/or may invite either or both Chairmen to attend the meeting of the AAC at which the case is being considered.

- f. For an appeal against the examination result of a taught subject/Guided-study subject, the student should make his/her appeal in writing first to his/her Head of Department within seven working days upon the public announcement of the examination result. The Head of Department shall refer the appeal to the Head of Department offering the subject.

The appeal should be accompanied by a copy of the fee receipt, for inspection by the subject offering Department. The student should give a complete account of the grounds for the appeal in the letter, and provide any supporting evidence.

The subject offering Department shall inform the host Department of the appeal result as soon as possible to enable the host Department to convey the result of the appeal to the student within seven working days of receipt of the appeal.

If the appellant is dissatisfied with the decision, he/she may then appeal in writing to the Registrar not later than seven working days after receipt of his/her Department's reply. He/She should provide the following information together with other relevant documents in support of the appeal:

- name;
- student number;
- mode and level of study;
- examination/subject results appealing against; and
- grounds for appeal.

The Registrar shall refer the case to the Chairman of the AAC, who shall determine whether there are prima facie grounds for a re-consideration of the decision of the SARP if the subject in question is a taught subject, or the DRC if the subject in question is a Guided-study subject. If so, the Registrar shall refer it to the AAC. If the AAC Chairman considers that there are no grounds, the appeal shall fail.

The Chairman of the relevant SARP/DRC may be invited by the AAC to submit, prior to the meeting, comments relevant to the case under discussion, and to attend the meeting of the AAC at which the case is being considered.

- g. In all cases where any appeal is considered by the AAC, the following will apply:
- (i) The appellant may be required to appear before the AAC.
 - (ii) The appellant shall have the right to appear before the AAC. He/She shall also have the right to be accompanied and/or to be represented by one other person if he/she so chooses.
 - (iii) The AAC may, acting under the powers delegated to it by the Senate, and in the following circumstances, review a decision reached by the SARP/DRC/RC:
 1. If a student requests such a review and establishes to the satisfaction of the AAC that his/her performance was adversely affected by illness or other factors which he/she was unable, or for valid reasons, unwilling to divulge before the SARP/DRC/RC reached its decision, and of which the SARP/DRC/RC was unaware. The request from the student must be supported by medical certificates or other documentary evidence;
 2. If the AAC is satisfied with the evidence produced by the student or any other person that there has been a material administrative error, or that the assessment has not been conducted in accordance with the prevalent regulations of the University, or that other procedural irregularity has occurred.

(iv) The AAC may determine:

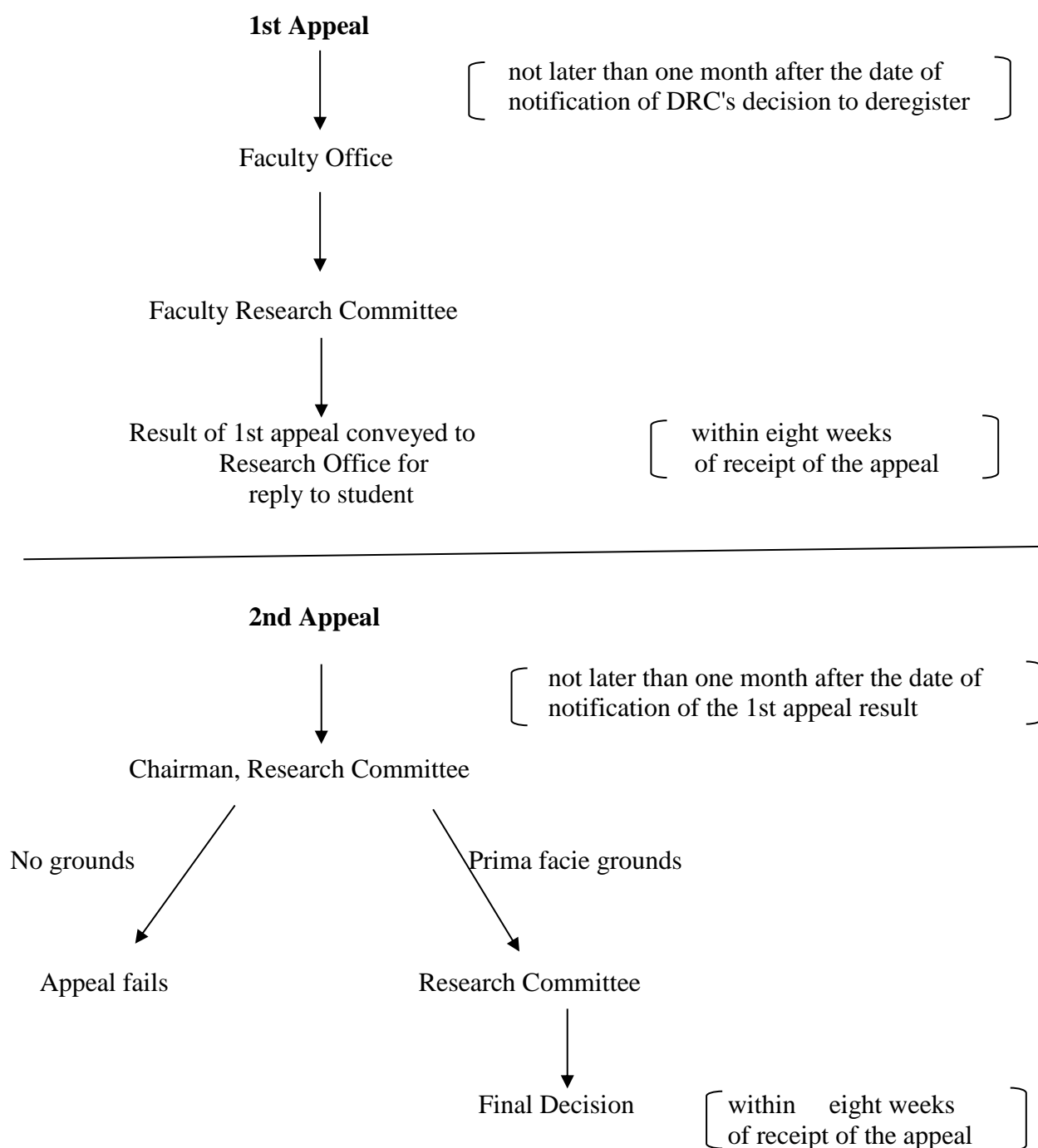
1. To annul the relevant decision of the SARP/DRC/RC and refer the case for decision back to the SARP/DRC/RC. The subsequent decision of the SARP/DRC/RC will be referred to the Chairman of the AAC, who will decide the appropriate course of action;
2. Exceptionally to annul the relevant decision of the SARP/DRC/RC and assign a revised result to the student concerned;
3. To confirm the decision of the SARP/DRC/RC on any of the following grounds:
 - 3.1 the evidence presented does not support the case;
 - 3.2 the evidence presented under paragraph g(iii)1 above would not have materially affected the decision of the SARP/DRC/RC;
 - 3.3 any irregularity identified under paragraph g(iii)2 above would not have materially affected the decision of the SARP/DRC/RC;
4. To ask the RC to re-consider the operation and wording of the University's academic regulations pertaining to research degree programmes;
5. By the authority delegated to it by the Senate, to make decisions on the student's progression or award outside the regulations of the University. The AAC shall report all these cases to the Senate for information; or
6. To make such other decisions that fall within its terms of reference.

(v) The decisions of the AAC shall be final within the University.

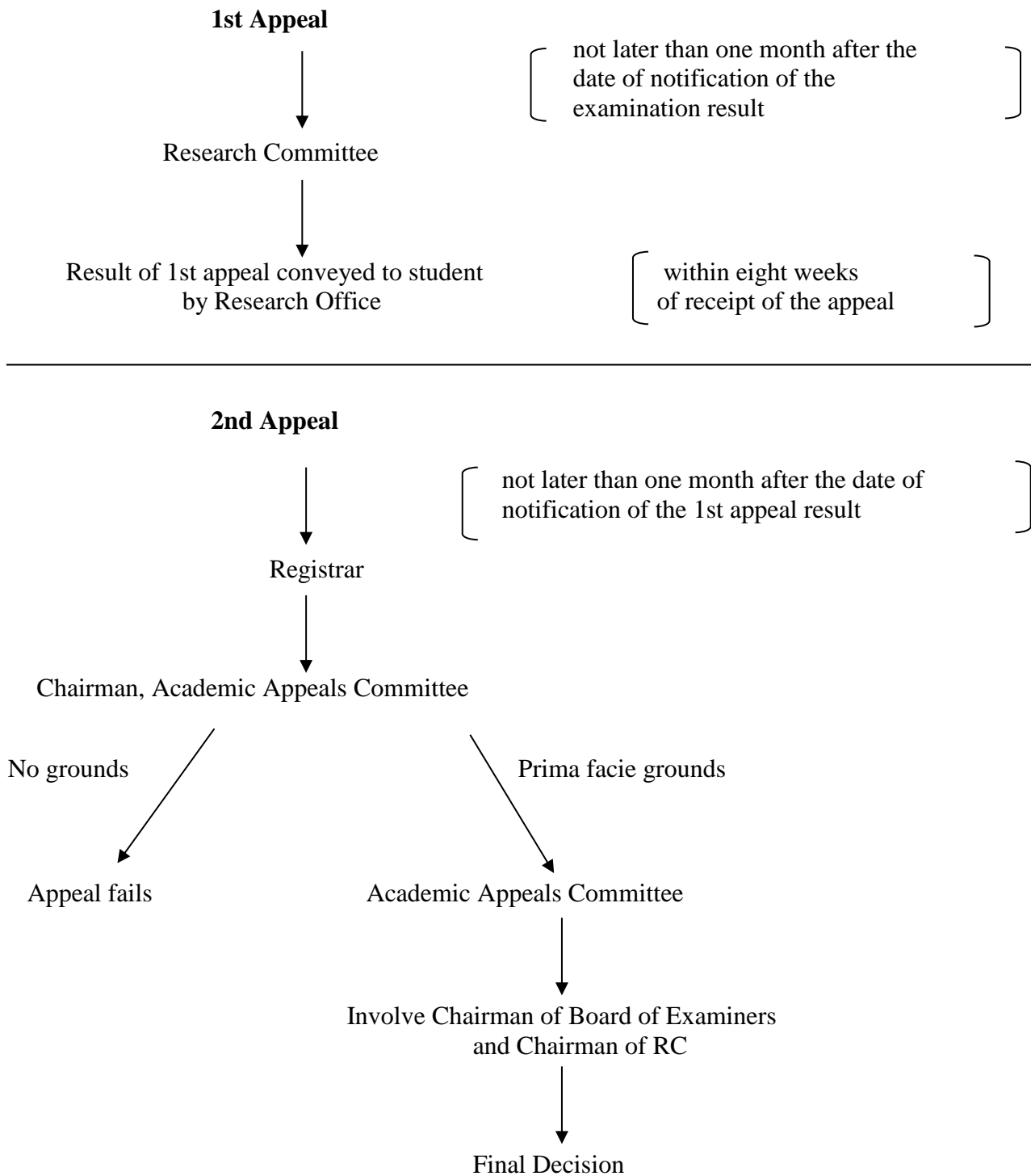
The procedures are outlined in the attached flow charts (Annexes A1.1, A1.2 and A1.3).

(August 2019)

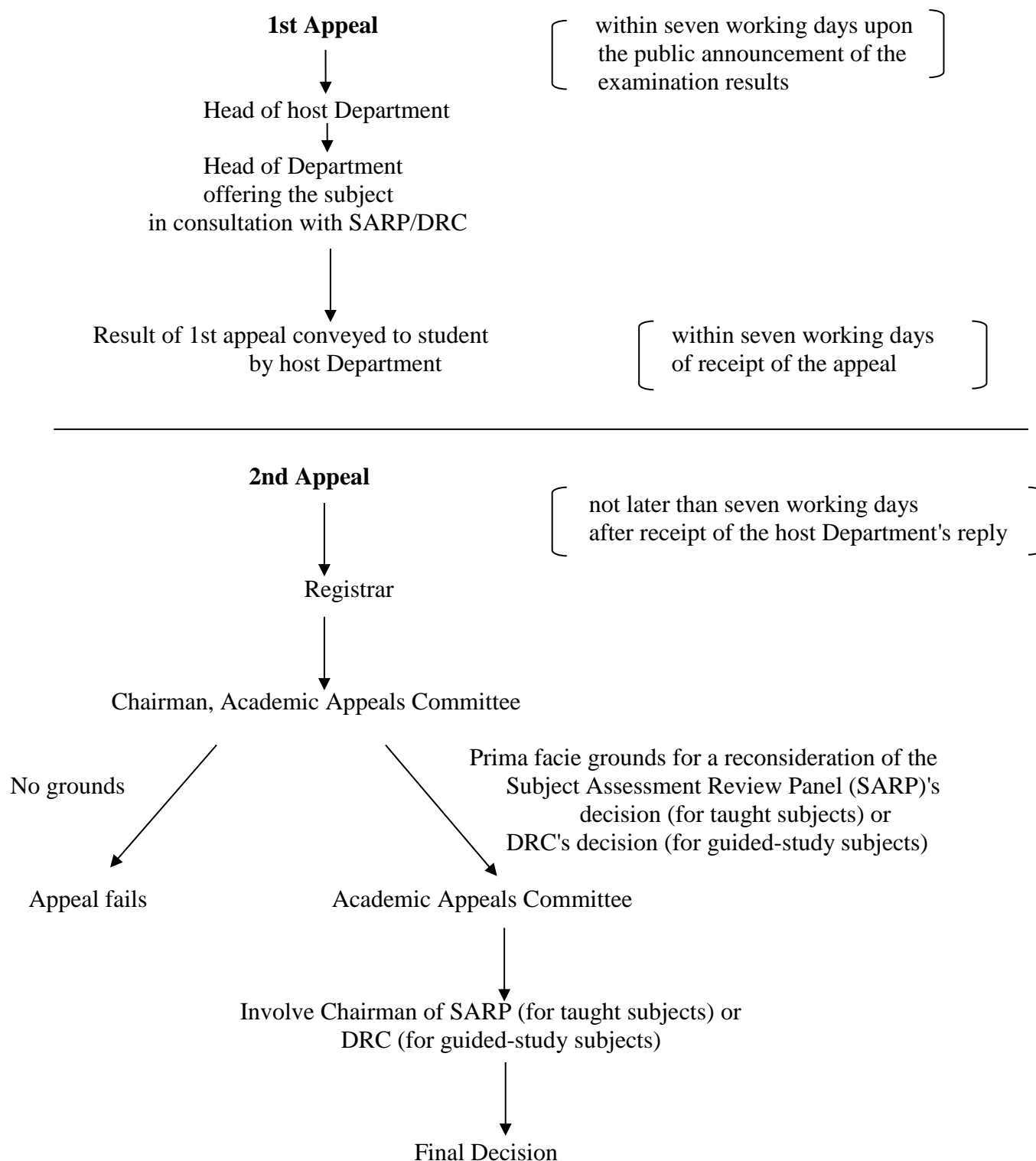
**Procedures for Appeals from Research Students Against Decisions of
De-registration**



Procedures for Appeals from Research Students Against the Result of the Thesis Examination



Procedures for Appeals from Research Students Against Examination Results of Individual Taught Subjects including Guided-study Subjects



Regulations and Administrative Procedures for the Degrees of Master of Philosophy and Doctor of Philosophy Offered by The Hong Kong Polytechnic University (Applicable to Students Admitted between 1 July 2014 and 30 June 2017)

Note: The regulations and procedures are subject to changes from time to time. The authority to interpret these Regulations rests with the University Research Committee.

Preamble

The programme of research is designed in such a way to enable the student to acquire competence in research methods and scholarship and to display sustained independent effort and independent original thought.

The degree of Master of Philosophy (MPhil) or Doctor of Philosophy (PhD) shall be awarded to a student who, on completion of an approved programme of study and research and on fulfilling the coursework requirements for graduation, presents a thesis embodying the results of his/her research and satisfies the examiners in an oral examination (and other examinations if required) in matters relevant to the subject of the thesis.

MPhil and PhD students are required to satisfactorily investigate or evaluate a chosen area, to show understanding of the context and significance of the work, and to present a clear, complete thesis of a quality worthy of publication¹.

PhD students are expected in addition to produce evidence and argument to support an original proposition that results in a significant contribution to knowledge.

Approval may be given for a thesis to be accompanied by materials other than in the written form.

The thesis shall be presented in English. Permission must be sought, normally at the point of admission, if another language, which is considered more appropriate to the subject, is to be used in the presentation of the thesis.

1. Admission Requirements

1.1 To register for the degree of MPhil, a student shall hold :

- a. a Bachelor's degree with second class honours or above conferred by The Hong Kong Polytechnic University or a recognised university; or
- b. other academic qualifications which are deemed to be equivalent.

1.2 To register for the degree of PhD, a student shall normally hold a postgraduate degree containing a significant research component, such as a dissertation conferred by The Hong Kong Polytechnic University or a recognised university.

¹ Publication is broadly defined to include all forms of dissemination of the research findings, subject to peer endorsement or public recognition, in the public domain.

- 1.3 In exceptional circumstances students other than those stipulated in paras. 1.1 and 1.2 may be permitted to register. For example, students with a Bachelor's degree with First Class Honours, or the equivalent, may be admitted directly to the PhD programme. Such applicants may be required to pass an examination.
- 1.4 Applicants who have not obtained a degree of which the language of instruction was English from a recognised university are normally required to obtain an overall IELTS (International English Language Testing System) score of at least 6.5 (with score for writing component at 6.0 or above); a TOEFL (Test of English as a Foreign Language) score of 550 or above (with a score of at least 4 out of 6 in the Test of Written English), or an internet-based TOEFL score of 80 or above (with a writing score of 23 or above). All English language test scores are considered valid for five years after the date of the test. Consideration will be given to acceptable scores obtained in other internationally recognised public examinations, such as GRE (Graduate Record Examination) or GMAT (Graduate Management Admission Test), as deemed appropriate.

2. **Application Procedures**

- 2.1 An applicant shall submit an application online to the relevant Departmental Research Committee (DRC) via the Research Office (RO)'s Web Application System.
- 2.2 An applicant is allowed one programme choice per application. If an applicant wants to apply for more programmes, s/he has to submit multiple applications and pay multiple sets of application fee. When more than one offer is made to the same applicant, the applicant will be allowed to choose between the offers.
- 2.3 An applicant shall set out as systematically and fully as practicable the intended programme of work as it is seen at that time. Any significant changes to the programme of research such as the project title require the approval of the DRC. RO shall be notified of the changes by the DRC.
- 2.4 If the programme of research forms part of a group project, the applicant shall clearly indicate what contribution he/she will make and the extent to which the work is to be carried out in collaboration with others.
- 2.5 If the programme is carried out jointly with an industrial, commercial, professional or research establishment, the applicant shall briefly describe the work he/she will carry out in the collaborating establishment as against the host department to which he/she is attached.
- 2.6 The DRC, on receipt of an application to register for the research degree programme, shall approve or reject the application. The DRC shall forward approved applications and supervisory arrangements (see para. 5) to the RO.
- 2.7 If the applicant holds qualifications other than those stipulated in para.1.1 and 1.2, the DRC shall decide whether an examination is required. If so, the department concerned should arrange for the examination. In the case that the DRC recommends admission of a student under para.1.3, it shall provide justification showing why the academic qualification is equivalent to the stipulated academic qualification requirement and the applicant is considered to be capable of completing the research programme. The application and justification are to be sent to the Faculty Research Committee (FRC)/School Board for approval.

- 2.8 In the event that the FRC/School Board rejects an application forwarded to it by the DRC, the decision, together with its justification, shall be conveyed to the DRC. In the event that the DRC does not agree with the FRC/School Board that the application should be rejected, the case shall be forwarded to the RC for consideration.
- 2.9 All approved applications shall be sent to RO for action. Cases of students who are admitted under para. 1.3 shall be reported to the RC.
- 2.10 The English language requirements under para. 1.4 may be waived by the FRC/School Board at the request of the Chief Supervisor with acceptable justification and endorsement from the DRC.
- 2.11 The DRC shall consider the appropriateness of an internationally recognised public examination and the corresponding score achieved by the applicant if IELTS or TOEFL scores are not provided.
- 2.12 The thesis should be presented in English. An intention to present the thesis in a language other than English will be considered, preferably on admission. Strong justifications on academic grounds must be provided to substantiate that the use of English will adversely affect the clarity of the thesis. Applications shall be endorsed by the DRC, approved by the FRC/School Board and copied, for information, to the Research Committee (RC) Chairman, who may veto the decision of the FRC/School Board.

3. **Concurrent Enrolment**

- 3.1 A student is normally not allowed to register simultaneously for another programme of study that leads to an award. Exceptional approval from the RC, via his/her Chief Supervisor and DRC, is required for concurrent registration. Failure to obtain approval may lead to disciplinary action including discontinuation of study at PolyU.

4. **Supervision**

- 4.1 A student registered for the degree of MPhil or PhD shall follow an approved programme of research and coursework under a Chief Supervisor and, if appropriate, Co-supervisors.
- 4.2 The Chief Supervisor shall
- a. be a full-time academic staff² of the department (except visiting or temporary academic staff) in which the student will be registered;
 - b. not be registered for a research degree while acting as Chief Supervisor;
 - c. have proven research experience and quality research output in an appropriate field of study related to the programme; and
 - d. normally have successful experience of MPhil/PhD supervision.

² Including those senior executives who are appointed to a non-academic position and are offered a concurrent appointment as academic staff members by the University.

- 4.3 The Co-supervisor shall
- a. not be registered for a research degree while acting as Co-supervisor; and
 - b. have proven research experience in an appropriate field of study related to the programme.
- 4.4 A Co-supervisor shall be appointed under the following circumstances:
- a. the Chief Supervisor does not have successful supervision experience as Chief Supervisor of MPhil or PhD students;
 - b. the Chief Supervisor is appointed on a fixed-term contract and the expiry date of his/her current contract falls within the normal study period of his/her newly recruited RPg student; or
 - c. the Chief Supervisor will reach his/her retirement age within the normal study period of his/her newly recruited RPg student.
- 4.5 Under circumstance described in 4.4 a above, the Co-supervisor to be appointed should have successful supervision experience as Chief Supervisor of MPhil or PhD students and is responsible for ensuring that an appropriate level of supervision is provided to the research student.
- 4.6 Under circumstances described in 4.4 b & c above, the Co-supervisor should be willing to take up the supervision of the RPg student as and when the Chief Supervisor leaves the University.
- 4.7 The DRC in making its appointment should consider the current supervisory loading of the proposed supervisors.
- 4.8 Colleagues appointed on the Teaching Track and those appointed in affiliated/supporting units (e.g. language centres, research centres, non-academic departments) should only be eligible to act as Co-supervisor(s) of RPg students.
- 4.9 In the event that the Chief Supervisor, as determined by the DRC, is not able to continue to supervise the RPg student before the student completes his/her study, the University will arrange, in consultation with potential supervisor(s) and the student, another Chief Supervisor for the student. However, if an appropriate Chief Supervisor cannot be identified, the student's study will have to be discontinued.
- 4.10 Any changes in the appointment of supervisor(s) must be approved by the DRC. RO should be notified of such changes within one week.
- 4.11 The above regulations shall be strictly observed by Departments/Schools/Faculties. Any special cases which cannot be handled straightly according to the regulations should be considered by the DRC/FRC, in consultation with RO, on a case-by-case basis.

5. Supervisory Arrangements

The DRC shall follow one of the following two admission and supervisory arrangements:

- a. An applicant is required to submit an application, together with a detailed research proposal. The DRC shall consider the application that includes the proposed Chief Supervisor, and approve it as appropriate.

An offer letter will be issued to the student, in which the name of the Chief Supervisor and the project title will be stated.

- b. An applicant may be admitted without being assigned a Chief Supervisor and without an approved research project at the point of admission, i.e., his/her first day of affiliation with the Department. The Department is obliged to assign the most suitable staff member(s) as the student's supervisor(s) within four months of admission, and the student and supervisor(s) are required to formulate a research proposal for the DRC's approval within four months of admission.

The offer letter will state that the student is admitted under the temporary supervision of an academic staff member, who is regarded as the temporary supervisor, appointed by the DRC Chair. RO will issue a reminder to the DRC one month after admitting the student, inviting the Department to submit the requisite information on the supervisor(s) and research proposal. Upon receipt of the information, RO will issue another letter to the student to confirm the particulars of the supervision arrangement and the programme of study.

6a. **Confirmation of Registration**

(applicable to students admitted between 1 July 2014 and 30 June 2015)

- 6a.1 A successful applicant shall first be registered provisionally for the degree of MPhil or PhD.
- 6a.2 Students are required to apply for confirmation of registration, subject to formal assessment, within the first half of the normal period of study, starting from the date of provisional registration.
- 6a.3 The student, before confirmation of registration, is required to submit a written report and make a presentation to a panel formed by the DRC. The panel shall include the Chief Supervisor and at least one academic staff member of the University, other than the supervisors of the student. The panel shall assess the student's progress during his/her provisional registration period. It will also consider the requirements specified by the English Language Centre (ELC) concerning the student's English proficiency. If the student's command of the English language is not up to the required standard, as judged by the ELC, the panel may, in serious cases, recommend a deferment of confirmation of registration. The panel shall provide a written assessment of the report and the student's presentation to the DRC. The student can be given another opportunity to revise his/her report and make a second presentation within three months of the first assessment if he/she does not perform satisfactorily in the first assessment.
- 6a.4 At the completion of the assessment, the DRC shall make one of the following decisions in relation to the status of the student:
 - a registration confirmed;
 - b. transfer to PhD/MPhil (for transfer of registration from MPhil to PhD for non-local students, approval should be sought from Immigration Department of the HKSAR Government);
 - c. extend the period of provisional registration; or

d. registration terminated.

6b. Confirmation of Registration

(applicable to students admitted after 1 July 2015)

6b.1 A successful applicant shall first be registered provisionally for the degree of MPhil or PhD.

6b.2 Students are required to have their registration confirmed, subject to a formal assessment, within the first half of the normal period of study, starting from the date of provisional registration.

6b.3 The deadline for confirmation of registration for different RPg students is as follows:

Study mode	Normal period of study	Deadline for Confirmation of Registration
Full-time PhD	48 months	24 months
Full-time PhD	36 months	18 months
Full-time MPhil	24 months	12 months
Part-time PhD	96 months	48 months
Part-time PhD	72 months	36 months
Part-time MPhil	48 months	24 months

6b.4 Application for extension of confirmation of registration would only be considered on medical grounds. Medical proof must be attached to the application for the approval of the DRC Chair.

6b.5 Students failing to have their registration confirmed by the deadline will be de-registered from the RPg programme immediately.

6b.6 Confirmation of Registration consists of:

- a. submission of a written report;
- b. a presentation to the Confirmation Panel and other attendees (as appropriate); and
- c. an oral defence of the research proposal.

6b.7 The student, before confirmation of registration, is required to submit a written report to the Chief Supervisor covering the following components:

- A comprehensive literature review;
- A clear statement of the problem to be tackled;
- Discussion of the chosen research methodology;
- Preliminary results, if any; and
- Discussion of possible results.

- 6b.8 The Chief Supervisor should confirm with the DRC whether the report is ready for assessment and should initiate the arrangement for the confirmation of registration.
- 6b.9 The DRC should form a Confirmation Panel to review the written report, to attend a presentation by the student and to assess the student's progress (including both coursework and research components) during his/her provisional registration period. The Panel shall consist of the following members:
- a. the Chief Supervisor;
 - b. internal and external co-supervisors, if any; and
 - c. two independent members from the department/school, one of whom shall be the Chair of the Panel.

Co-supervisors may attend the presentation either in person or through video/teleconferencing facilities.

- 6b.10 The two independent members shall have appropriate expertise related to the research programme and have no conflict of interest with the research student. The Chair shall be a senior staff member at the rank of Associate Professor or above and will chair the research student's presentation for confirmation of registration as well as the Confirmation Panel meeting after the presentation.
- 6b.11 The Chief Supervisor shall make nominations on the independent members for approval by the DRC. If the independent member(s) nominated by the Chief Supervisor is/are not approved, the DRC will appoint other independent member(s) as replacement.
- 6b.12 The panel will also consider the requirements specified by the English Language Centre (ELC) concerning the student's English proficiency. If the student's command of the English language is not up to the required standard, as judged by the ELC, the panel may, in serious cases, recommend a deferment of confirmation of registration.
- 6b.13 The panel shall provide a written assessment of the written report and the student's presentation to the DRC with the following possible recommendations:
- a. registration confirmed at the current level of study;
 - b. registration confirmed at another level of study (applicable to students who have applied for transfer to another level of study or students who have failed to meet the standard of the current level of study);
 - c. organisation of a second Confirmation Assessment within a maximum of three months or before the deadline for confirmation of registration (whichever is shorter); or
 - d. termination of study.

7. **Transfer between MPhil and PhD**

- 7.1 A student who is provisionally registered for the degree of MPhil may apply for transfer of registration to PhD at the time when applying for confirmation of registration. An MPhil student whose registration is confirmed may also apply for transfer of registration to PhD.

- 7.2 A student who is registered for the degree of PhD may transfer to the MPhil status by notifying the Department in writing. Alternatively, a student who is not making satisfactory progress towards the PhD degree may be transferred to MPhil status by the Department at any time.

8. **Transfer between Full-time and Part-time Modes of Study**

- 8.1 A student may apply for transfer between full-time and part-time study. The normal period and/or maximum period of study will then be shortened or extended on a pro rata basis (see paras. 9.1 and 10.1).
- 8.2 Applications from local students for transfer of registration between full-time and part-time modes of study shall be approved by the DRC. RO shall be notified of the transfer arrangements by the DRC within one week.
- 8.3 Applications from non-local students for transfer of registration between full-time and part-time modes of study require the endorsement of the DRC and approval of the Immigration Department of the HKSAR Government.

9. **Normal Period of Study**

- 9.1 The normal periods of study are as follows:

	<u>MPhil</u>	<u>PhD</u>	
Full-time	24 months	36 months	(48 months for students admitted on the basis of a Bachelor's degree)
Part-time	48 months	72 months	(96 months for students admitted on the basis of a Bachelor's degree)

- 9.2 If a student is unable to complete his/her study within the normal study period, he/she shall notify the DRC Chair via the Chief Supervisor in writing before the normal study period expires, indicating the reasons and the expected completion date, which should fall within the maximum study period. The DRC Chair shall act on the Chief Supervisor's recommendations to approve or disapprove the student's request for continuing his/her study beyond the normal study period (but within the maximum study period), and inform RO of his/her decision.

10. **Maximum Period of Study**

- 10.1 The maximum periods of study are as follows:

	<u>MPhil</u>	<u>PhD</u>	
Full-time	36 months	60 months	(72 months for students admitted on the basis of a Bachelor's degree)
Part-time	60 months	84 months	(108 months for students admitted on the basis of a Bachelor's degree)

- 10.2 Extension of the maximum period of study shall not be permitted. The student shall be deregistered from the programme if s/he fails to submit the thesis to RO upon expiry of the maximum period of study.

- 10.3 Any extra period allowed for revision or resubmission of the thesis under para. 20 shall not count towards the maximum period of study.

11. **Deferment of Study**

- 11.1 A student may apply within the normal period of study for deferment of up to 12 months at a time, for no more than a cumulative total of 24 months. Deferment will not be counted towards the period of study.
- 11.2 Approval for deferment after the normal period of study shall not normally be considered except on the basis of certified health problems.
- 11.3 Applications for deferment shall be approved by the DRC. The DRC shall notify RO of the deferment via the standard form for deferment.

12. **Residence Requirements**

For students admitted between the 2014/15 and 2015/16 cohorts (i.e. admitted between 1 July 2014 and 30 June 2016):

- 12.1 For both MPhil and PhD programmes, permission may be granted for the research to be conducted outside Hong Kong as long as a minimum cumulative period of 12 months is spent while based at the University.
- 12.2 Where para. 12.1 applies, adequate supervision arrangements must be approved for study periods spent outside Hong Kong.
- 12.3 Applications for studies outside Hong Kong shall be approved by the DRC, which shall notify RO of its decision.

For students admitted from the 2016/17 cohort onwards (i.e. admitted on or after 1 July 2016):

- 12.4 Residence provides students with an opportunity to become immersed in the intellectual environment of the University. Also included in the residence are periods during which students' research requires off-campus field or non-PolyU laboratory work
- 12.5 Despite of the mode of study, the residence requirement for an MPhil degree is two regular semesters; and that for a PhD degree is three regular semesters if a relevant research Master's degree is earned prior to entering the programme, but four regular semesters if it is not.
- 12.6 All research postgraduate students must fulfil the residence requirement before thesis submission.
- 12.7 In addition to the residence requirement, full-time research postgraduate students are required to be on campus full-time and consequently in such geographical proximity as to be able to participate fully in University activities associated with the programme.
- 12.8 Where a student needs to conduct his/her research outside Hong Kong, adequate supervision arrangements must be proposed by the Chief Supervisor and approved by the DRC for study periods spent outside Hong Kong.

13. Leave

- 13.1 With the prior agreement of the Chief Supervisor, a full-time student may take vacation leave of up to four weeks per study year. For students who receive financial assistantship under the Teaching Postgraduate Studentship Scheme, the application for leave will have to be approved by the relevant HoD/DoS.

For students admitted between the 2014/15 and 2015/16 cohorts (i.e. admitted between 1 July 2014 and 30 June 2016):

- 13.2 Students' applications for leave of absence shall be approved by the Chief Supervisor and relevant HoD/DoS. A record for each application approved shall be kept in the Department.

For students admitted from the 2016/17 cohort onwards (i.e. admitted on or after 1 July 2016):

- 13.3 Students' applications for leave of absence shall be approved by the Chief Supervisor. The Departments must keep the leave record of each of their on-going students and present it to the Research Office when students submit their thesis for examination.

14. University Coursework and Language Requirements

14.1 University coursework requirements

Programme	Credit requirement	Details
MPhil	9 credits	1 credit from HTI6081 + 2 credits from attending seminars + 6 credits from other subjects (no more than 3 credits from Guided-study subjects)
3-year full-time/6-year part-time PhD	15 credits	1 credit from HTI6081 + 3 credits from attending seminars + 2 credits from Practicum + 9 credits from other subjects (no more than 6 credits from Guided-study subjects)
4-year full-time/8-year part-time PhD	22 credits	1 credit from HTI6081 + 4 credits from attending seminars + 2 credits from Practicum + 15 credits from other subjects (no more than 9 credits from Guided-study subjects)

- 14.1.1 The coursework requirements of individual programmes may be different from the University requirements. Students should check with their affiliated department for the individual programme requirements.

- 14.1.2 All of the subjects taken will be assigned a grade.

Grade	Grade Point	Description
A+	4.5	Exceptionally Outstanding
A	4	Outstanding
B+	3.5	Very good
B	3	Good
C+	2.5	Wholly satisfactory
C	2	Satisfactory
D+	1.5	Barely Satisfactory

D	1	Barely adequate
F	0	Inadequate

Ethics: Research, Professional & Personal Perspectives (HTI6081)

- 14.1.3 This is a one-credit subject which will be counted towards the credit requirement. Students are required to pass this compulsory subject before they submit their thesis for examination. However, returning students will be allowed to carry over the grade obtained in the subject to the new RPg programme regardless of its level, provided that the grade was attained within five years of re-admission.

Guided-study subjects

- 14.1.4 Guided-study subjects are those in which normally no lecturing is done and in which the student is required by the subject supervisor to read specified monographs and journal publications; the student and subject supervisor frequently meet to discuss the progress made by the student in the subject. The weighting assigned for coursework should be less than the weighting assigned for the examination. Coursework normally consists of assignments and presentations. Examination is compulsory and normally includes both written and oral. At the end of the semester, the student is examined by the subject supervisor and another staff member who is knowledgeable about the topic. A grade will be given in the same way as for regular taught subjects in Form RC/27. All Guided-study subjects will be at level 6 and their code number will be between 6800 and 6999.

Practicum

- 14.1.5 All PhD students, irrespective of funding source and mode of study, must complete two training credits before thesis submission.
- 14.1.6 To earn one credit, students will be required to engage in teaching/research supporting activities assigned by the HoD/DoS or his/her delegate for 6 hours/week in any 13-week semester. Students are allowed to complete these two credits any time before thesis submission. They can choose to complete these two credits in two different semesters or within the same semester, subject to the approval of the Chief Supervisor. Stipend recipients are allowed to fulfill part of their departmental training requirement through the completion of these compulsory training credits.
- 14.1.7 Students who are required to undertake teaching supporting activities are required to complete the training programmes organised by the Educational Development Centre, English Language Centre/Chinese Language Centre (as required) before the commencement of any teaching supporting activities.

The HoD/DoS or his/her delegate are required to:

- a. ensure that the activities are structured and can be assessed properly;
- b. submit to the Subject Assessment Panel, at the end of the session, an assessment report on the performance of the relevant student(s), with details of activities undertaken and an overall assessment grade of Pass or Fail.

Attendance at Seminars

- 14.1.8 Full-time students are required to attend at least 10 research seminars per year, in addition to workshops/conferences, and to submit a report, to the Chief Supervisor, of no less than 1,500 words (excluding references) on one of the attended seminars every year.
- 14.1.9 Part-time students are required to attend at least 10 research seminars per two years, in addition to workshops/conferences, and to submit a report, to the Chief Supervisor, of no less than 1,500 words (excluding references) on one of the attended seminars once every two years.
- 14.1.10 Students are recommended to complete one credit per year (for full-time students) or per two years (for part-time students) to fulfil the above-mentioned requirement, with an overall assessment grade of Pass and Fail. However, as deemed appropriate by the Chief Supervisor, they are allowed to complete at most two credits per year (for full-time students) or per two years (for part-time students) to fulfil the research seminar credit requirement.
- 14.1.11 The total credits to be earned by different categories of students will be:
- | | |
|--|-----------|
| 2-year full-time/4-year part-time MPhil: | 2 credits |
| 3-year full-time/6-year part-time PhD: | 3 credits |
| 4-year full-time/8-year part-time PhD: | 4 credits |
- 14.1.12 Research seminars may or may not be organised by the host department and are expected to last not less than an hour each. The topic of the seminar reported on should not be related directly to the thesis title of the student.
- 14.1.13 Chief Supervisors are required to assess the report (with a pass or failure grade). Students failing to submit a report to the satisfaction of their Chief Supervisor are required to make a re-submission until a pass grade is obtained. The Chief Supervisor has to pass the record of the seminars attended by their students and the report with a pass grade to RO for custody at the end of each academic year.

14.2. English Language Proficiency

In addition to the course requirements set out above, all MPhil/PhD students, regardless of their fields of study, are required to take the Research Language Skills Assessment which focuses on assessing their English language proficiency in academic writing and speaking upon entry to the research programmes. Before thesis submission, students are required to take and pass the language enhancement subjects/programmes designed and conducted by the English Language Centre or the Department of English, if improvement in the area of academic writing, academic speaking or both is imposed after the Assessment.

15. GPA Requirement

- 15.1 All MPhil students need to complete their coursework with a qualifying GPA of 2.75 or above, and all PhD students need to complete their coursework with a qualifying GPA of 3.0 or above before submission of their thesis for examination.
- 15.2 The qualifying GPA is the result of the accumulated value of the subject grade point multiplied by the subject credit value divided by the total credit value for those subjects. It is capped at 4.0, is computed as follows:

$$\text{Qualifying GPA} = \frac{\sum \text{Subject Grade Point} \times \text{Subject Credit Value}}{\sum \text{Subject Credit Value}}$$

Where

- a. credits earned from all compulsory subjects, except those assessed with a “Pass” or “Fail” grade (such as Practicum and Seminars), will be included in the calculation of Qualifying GPA;
- b. the best grade points will be chosen for the calculation of the Qualifying GPA for credits earned for elective subjects;
- c. the following subjects will be excluded from the calculation of Qualifying GPA:
 - exempted subjects
 - ungraded subjects
 - incomplete subjects
 - subjects for which credit transfer has been approved, but without any grade assigned
 - subjects from which a student has been allowed to withdraw (i.e., those with the grade “W”).

- 15.3 Students may take more subjects than required in order to improve their GPA or in order to strengthen their knowledge.
- 15.4 Subjects taken after submission of the thesis will not contribute to the qualifying GPA.
- 15.5 Students may retake any subject for the purpose of improving their grade without having to seek approval, but they must retake a compulsory subject which they have failed, i.e. obtained an F grade. Students wishing to retake passed subjects will be accorded a lower priority than those who are required to retake (due to failure in a compulsory subject) and can only do so if places are available.
- 15.6 The number of retakes of a subject is not restricted. Only the grade obtained in the final attempt of retaking (even if the retake grade is lower than the original grade for originally passed subject) will be included in the calculation of the Qualifying GPA. If students have passed a subject but failed after retake, credits accumulated for passing the subject in a previous attempt will remain valid for satisfying the credit requirement for award. (The grades obtained in previous attempts will only be reflected in transcript of studies.)
- 15.7 In cases where a student takes another subject to replace a failed elective subject, the fail grade will be taken into account in the calculation of the GPA, despite the passing of the replacement subject.
- 15.8 A student may be exempted from taking a compulsory subject if s/he has successfully completed a similar subject previously in another programme or if s/he already has the associated knowledge/skills via work experience, etc. Subject exemption is decided by the DRC but students can also apply for it. In order to satisfy the credit requirement, it is necessary for the student to take another subject, to be approved by the Chief Supervisor, in place of the exempted subject. Such subject will be considered as an elective subject.
- 15.9 The grades obtained by research students on coursework subjects, including Practicum and Seminars, will be considered and endorsed by the Subject Assessment Review Panel (SARP) of the

department offering the subject. The grades obtained by the research students on Guided-study subjects will be considered and endorsed by the relevant DRC based on the assessment reports (Form RC/27).

- 15.10 Unless specified otherwise under paragraphs 14 and 15 above, University's General Assessment Regulations (GAR) for credit-based programmes (available from Section B1 of <https://www.polyu.edu.hk/ar/web/filemanager/common/publications-restricted/hbarp/ARP.pdf>) should also apply to the RPg programme.

16. Credit Transfer

- 16.1 Credits which have already been used to contribute to a previous award should not be transferred to contribute to the MPhil/PhD award with the following exceptions:
- all returning students will be allowed to transfer the grade obtained in the subject "HTI6081 Ethics: Research, Professional & Personal Perspectives" to the new RPg programme regardless of its level, provided that the grade was attained within five years of re-admission;
 - all 3-year full-time/6-year part-time PhD students will be allowed to transfer one credit from his/her previous attendance in seminars.

Transfer of credits of subjects at postgraduate level earned from recognised previous studies

- 16.2 Applications for the transfer of credits from recognised previous studies will be endorsed by the DRC with justifications and approved by the HoD/DoS. Only credits gained from subjects at postgraduate level that have not been used to contribute to an award will be acceptable for transfer. The validity period for such credit transfer for research degree programmes is defined to be five years from the year of attainment at the time of admission. The maximum number of credits transferrable for different categories of students is:

2-year full-time/4-year part-time MPhil:	6 credits
3-year full-time/6-year part-time PhD:	9 credits
4-year full-time/8-year part-time PhD:	14 credits

Credits transferred from previous study outside the University will not be included in the calculation of the qualifying GPA. RO shall be informed of such approval.

Transfer of credits taken at postgraduate level outside PolyU after admission

- 16.3 Taking subjects outside PolyU during the student's research postgraduate studies in PolyU with prior approval is regarded as an acceptable way to gain credits. The student should submit an application (Form RC/48), via his/her Chief Supervisor, to RO to initiate the transfer. The application will be endorsed by the DRC Chair and approved by the HoD/DoS.
- 16.4 The transfer of grades will be in accordance with the conversion table below and the grade gained will be included in the calculation of the qualifying GPA:

Grade Obtained Outside PolyU after Admission	Grade Transferred to PolyU	Grade Point	Interpretation
A+	A+	4.5	Exceptionally Outstanding

A	A	4	Outstanding
A-	A	4	Outstanding
B+	B+	3.5	Very good
B	B	3	Good
B-	B	3	Good
C+	C+	2.5	Wholly satisfactory
C	C	2	Satisfactory
C-	C	2	Satisfactory
D+	D+	1.5	Barely Satisfactory
D	D	1	Barely adequate
D-	D	1	Barely adequate
E	F	0	Inadequate
F	F	0	Inadequate

Minimum number of credits with a letter grade

- 16.5 An MPhil student must complete at least three credits with a letter grade and a PhD student at least six to allow for a meaningful calculation of the qualifying GPA.

17. Subject Registration

- 17.1 Research students will register for subjects at the same time as other students. Whether a research student can add a subject will depend on the availability of vacancies in the subject and the approval of the Chief Supervisor. Similarly, a student can drop a subject if it is approved by the Chief Supervisor. The student will effect the subject registration/deletion. After the add/drop period, RO will check the results of the add/drop changes against the approved study programme of individual students. Students' add/drop changes will automatically be cancelled if those changes have not yet been approved by the Chief Supervisor.

- 17.2 After the add/drop period, further enrolment of subjects will normally not be entertained. Exceptional cases with good justification and to which the subject lecturer agrees will require the DRC's approval up to the end of the 4th week after the commencement of the semester.

18. Progress Report

- 18.1 Students shall be required to submit progress reports as required from time to time by the University.
- 18.2 The DRC shall, on receipt of the report, evaluate and assess the progress of the student. In the event that the student's progress is unsatisfactory, the case together with the DRC's recommendations shall be submitted to the FRC/School Board for information.

19. Deregistration

- 19.1 A student may be deregistered in the following circumstances :
- if his/her progress is considered unsatisfactory; or
 - if the maximum period of study is exceeded; or

c. if his/her thesis is deemed unsatisfactory.

19.2 A recommendation for deregistration as a result of unsatisfactory progress may be proposed by the Chief Supervisor and approved by the DRC. The DRC Chairman cannot take action by himself/herself on this issue.

19.3 A recommendation for deregistration made by the Board of Examiners (BoE) shall be approved or rejected by the RC [see para. 21.15].

20. **Thesis Submission**

Submission before Examination

20.1 A student and the supervisor(s) concerned will complete and submit Form RDC/2B as 'Notice of Intention to Take Thesis Examination' to RO via the DRC when the thesis is ready or nearly ready for examination. This notice is to be accompanied by a brief description of the thesis (or the work done). Upon receipt of the notice, RO shall set up a BoE. Students are advised to submit the notice well in advance of the intended thesis submission date so that the BoE is in place to examine the thesis upon its submission.

20.2 A student shall submit his/her thesis to RO after it has been approved by the Chief Supervisor. Upon the receipt of the duly signed Form RC/18, a student is required to submit an electronic copy of the thesis to the RO. The thesis must be presented in accordance with the *Regulations on the Format and Presentation of Theses for Research Degrees*. When the thesis is found acceptable by the BoE Chairman, the electronic copy of the thesis shall be sent to the RO.

20.3 Before a submitted thesis can be sent to external examiners, it must meet the University's English language standard expectations. To meet these expectations, the thesis must:

- a. at all times clearly convey its content and meanings through an accurate use of the English language;
- b. follow a clear and appropriate organisation at all levels: overall (as shown by the Table of Contents and all text-headings); within chapters and within sections; between chapters and sections; at paragraph level; and at clause and sentence levels;
- c. follow acceptable conventions of standard English syntax;
- d. use both common and specialist vocabulary accurately and consistently;
- e. be fully spell-checked so that typographical errors have been removed;
- f. be free of errors such as incorrect layout, mislabelling or inadequate labelling of tables and other visuals, failure to maintain consistent levels of numbering of section and sub-section headings, etc;
- g. use punctuation with understanding of its function as an essential aid to comprehension; and
- h. have an accurate and complete set of references (and appendices, if applicable) conforming to a style manual acceptable to the Chief Supervisor.

- 20.4 Under very exceptional circumstances, a student shall be allowed to make a written request to the RC for submitting a thesis for examination without the prior approval of his/her Chief Supervisor. The written request should be accompanied with:
- an electronic copy of the thesis in accordance with the *Regulations on the Format and Presentation of Theses for Research Degrees* ; and
 - detailed justification for the request via Form RC/62.

- 20.5 Upon receipt of the written request from a student without the prior approval of his/her Chief Supervisor for thesis submission, the RC shall invite:
- the Chief Supervisor to provide the RC with a written explanation of his/her assessment of the thesis;
 - the student concerned to respond to the comments made by the Chief Supervisor; and
 - the relevant DRC and FRC/School Board to comment on the application.

Each party will be allowed one month to complete the task. Documents received will then be presented to RC for consideration within four months.

Submission after Examination

- 20.6 After satisfying the award requirement, the student must prepare an electronic copy of the final version of the thesis to be sent to the University Library and other parties concerned via the RO.
- 20.7 A thesis may be kept confidential normally for a maximum of two years. If a thesis is to remain confidential for a period of time after completion of the work, an application shall be submitted to the DRC by any interested party before the submission of the thesis for examination.

21. **Examination of Thesis**

Internal Examiners

- 21.1 The Chief Supervisor shall be a member of the Board of Examiners but shall not be the Chairman of the Board.
- 21.2 The DRC Chair shall be responsible for the nomination of the BoE Chair, in consultation with the Chief Supervisor, for the approval of the HoD/Dean of School. In the event that the HoD/Dean of School is one of the supervisors of the student, the Dean of Faculty/Chairman of School Board or his/her nominee shall be the Chairman of the BoE. In the case where both the HoD/Dean of School and the Dean of Faculty/Chairman of School Board are the supervisors, the Chairman of the RC or his/her nominee shall be the Chairman of the BoE.
- 21.3 The Chairman of the Board of Examiners shall be appointed by the Head of Department/Dean of School or Dean of Faculty/School Board Chairman. S/he shall be at the Associate Professor level or above, or the equivalent, and from a broadly related discipline. The main duties of the BoE Chair are (1) to uphold the integrity of the exam process and (2) to act as a gatekeeper to ensure quality of the thesis.
- 21.4 Both the BoE Chair and the Chief Supervisor have no voting right.

External Examiners

- 21.5 There shall be two external examiners who are not members of the University.
- 21.6 Both external examiners shall have successful PhD supervision experience as Chief Supervisors and shall normally be at the Associate Professor level or above, or the equivalent.
- 21.7 External examiners should have appropriate expertise related to the research programme, shall not have acted previously as the student's supervisor, and shall be in a position to be impartial. It is preferable that the two external examiners should not affiliate to the same academic department of the same university.
- 21.8 The supervisor(s) shall nominate external examiners and submit supporting information. The nomination of external examiners will be endorsed by the Chairman of the BoE and approved by the Chairman of the FRC/School Board. In the event that the Chairman of the BoE is the Chairman of the FRC/School Board, the external examiners will be approved by the RC Chairman.
- 21.9 Special approval will have to be obtained from the BoE Chair and the FRC/School Board Chair if qualifications of nominated external examiners deviate from the above stipulations. In case a nominee holds an "Honorary" academic title, the nomination will have to be approved by the RC Chair.

Examination Process

- 21.10 On receipt of the thesis, the Chief Supervisor shall submit a report on the thesis within two weeks. As soon as the Chief Supervisor's report is received, the BoE Chair shall be asked to confirm within two weeks whether the thesis provides a prima facie basis to be sent to the external examiners for consideration.
- 21.11 In the event that the BoE Chair requires revision to the thesis before it is sent to the external examiners, the recommendation together with its justification shall be considered by the Chief Supervisor. If the Chief Supervisor agrees to the recommendation, the student shall be asked to revise the thesis as instructed. The student shall be given a maximum of six months in which to carry out each set of revisions, and each thesis is limited to two sets of revisions. Even if the BoE Chair of still finds the thesis unacceptable for release to the external examiners after two sets of revisions, the thesis shall nevertheless be sent to the external examiners for assessment, with the relevant information being conveyed to them.
- 21.12 If there are divergent opinions between the BoE Chair and the Chief Supervisor, the case shall be considered by the Chairman of the FRC/School Board, who shall decide on an appropriate action to take. In the event that the Chairman of the FRC/School Board is the BoE Chair, the case shall be considered by the Chairman of the RC.
- 21.13 In the event that the BoE Chair finds the presentation quality and/or language proficiency of the thesis unsatisfactory, s/he should refer it back to the student, via the Chief Supervisor, for revision, without the need to list out the editorial changes required. The Chief Supervisor is required to re-assess the revised thesis and to approve it, in writing, for external assessment. However, if the BoE Chair asks a student to make revisions to the thesis that involves technical problems, the thesis must be re-assessed by the BoE Chair before it can be sent out for external assessment.

- 21.14 Each external examiner shall be asked to read the thesis and submit a report on the thesis within six weeks.
- 21.15 The External Examiners, after reading the thesis, shall recommend that the thesis:
- forms an adequate basis for an oral examination (and other examinations as required); or
 - be revised once within twelve months and resubmitted for the oral examination (and other examinations as required); or
 - be deemed unsatisfactory, no resubmission be permitted, and that the student fails.
- 21.16 If the External Examiners cannot reach a consensus, the BoE Chair shall liaise with the External Examiners to get an agreement. Failing that, the BoE Chair should invite the Chief Supervisor to nominate an additional external examiner to assess the thesis. The nomination should be endorsed by the BoE Chair and appointed by the RC Chair. S/he should be informed of the background leading to the appointment and his/her view on the thesis constitutes the deciding vote. This additional external examiner should be invited to attend the oral examination.
- 21.17 The oral examination is compulsory. The Board of Examiners shall decide whether any additional form of examination is necessary.
- 21.18 The BoE shall conduct the oral examination. Participation requirements and voting right of the BoE are listed as follows:

BoE Chair	Chief supervisor	Co-supervisor(s)	External examiners
The BoE Chair must participate in the viva in person.	The Chief Supervisor must participate in the viva in person.	Co-supervisors may or may not attend the viva.	Both examiners must participate in the viva. At least one of them shall attend the viva in person and the other one may attend the viva either in person or through video facilities. In exceptional circumstances when one of the examiners is unable to attend the viva either in person or through video facilities due to an unexpected event or illness, the viva shall be video-taped. The video, together with the BoE report, shall be sent to the external examiner who was absent from the viva for review.
S/he has no voting right.	S/he has no voting right.	They have no voting right.	Should the outcome of the examination need to be put to a vote, each external examiner may cast one vote. A consensus is required for all decisions.

- 21.19 Following the oral examination (and other examinations as required), the Board of Examiners shall recommend to the Research Committee that the student should:

- a. be awarded the degree of MPhil/PhD; or
- b. be awarded the degree of MPhil/PhD subject to minor amendments being made to the thesis or an additional assignment being completed to the satisfaction of the Chairman of the Board of Examiners or his/her nominee by a specified date but normally within a period not longer than three months; or
- c. be required to revise and resubmit the thesis and/or to attend another oral examination and/or other form of examination (a student is limited to one opportunity of re-examination within 12 months); or
- d. (for PhD examination only) be awarded the degree of MPhil and no resubmission be permitted; or
- e. be regarded as having failed as the thesis is deemed unsatisfactory and no resubmission is permitted.

21.20 The report detailing the recommendation of the Board of Examiners shall be copied to the DRC Chair, who shall alert the RC to problematic cases and provide necessary information when required.

21.21 If a unanimous decision cannot be reached after the oral examination or re-examination or other examinations as required, each member of the BoE will be required to submit a report and recommendation for the consideration of the RC. The RC may set up a review panel to consider the case.

22. **Confirmation of Award**

22.1 The Research Committee shall confirm on behalf of the Senate the award of the degree of MPhil/PhD to a student who has satisfied all the requirements for the degree.

23. **Complaint on Problems encountered in the Supervision and/or Provision of Research Facilities**

23.1 Complaints of research students on problems encountered in the supervision and provision of research facilities shall be handled by the relevant DRC. The DRC should consider the complaint and formulate appropriate actions to resolve the problems. The DRC should then inform the student and RO of the actions taken. If the complaints are against the DRC, they should be handled by the relevant FRC/School Board. After resolving the problems, the FRC/School Board should inform the student and RO of the actions taken.

24. **Appeals**

24.1 Research students may appeal against a decision to deregister or against an examination result (including the examination result of a taught subject, a Guided-study subject and the thesis defence).

24.2 A student appealing against a decision shall pay a fee, applicable in the academic year. The fee shall be refunded if the appeal is upheld. He/She should provide the following information, together with other relevant documents, in support of the appeal:

- a. a copy of the receipt for the appeal fee

- b. name in English and Chinese
- c. student number
- d. affiliated department
- e. details and grounds of the appeal
- f. supporting documents, as appropriate

Appeal against Decision of Deregistration

- 24.3 A research student can make an appeal against a decision to deregister him/her within one month of the date of notification of the result.
- 24.4 An appeal against deregistration should be sent to the relevant Faculty Office. The appeal shall be considered by the whole FRC/School Board, i.e., chairman's action is not allowed. Any member of the FRC/School Board who is a supervisor of the student cannot take part in the FRC/School Board discussion and decision on the case. The FRC/School Board is required to inform the student, in writing, of its decision within eight weeks of receipt of the appeal. A copy of the formal notification should be copied to RO for record.
- 24.5 If the appellant is dissatisfied with the FRC's/School Board's decision, he/she may appeal further in writing to the RC not later than one month (from the date of notification of the first appeal result) after receipt of the decision of the FRC/School Board. The Chairman of the RC shall determine whether there are prima facie grounds for a re-consideration of the FRC's/School Board's decision, and if so, shall refer it to the RC. The RC will consider the appeal and notify the student of the result within eight weeks of receipt of the appeal. Any member of the RC who is a supervisor of the student cannot take part in the RC discussion and decision on the case. If the RC Chairman considers that there are no grounds for the case, the appeal shall fail.

Appeal against Result of Thesis Examination

- 24.6 For an appeal against the result of the thesis examination, the student shall appeal directly to the RC by writing to the Secretary, RC. The RC will consider the appeal and notify the student of the result within eight weeks of receipt of the appeal. Any member of the RC who is a supervisor of the student cannot take part in the RC discussion and decision on the case.
- 24.7 If the appellant is not satisfied with the decision of the RC on his/her appeal, he/she may appeal against the RC's decision by submitting a second appeal to the Registrar no later than one month (from the date of notification of the first appeal result) after receipt of the decision of the RC. The Registrar shall refer the case to the Chairman of the Academic Appeals Committee (AAC), who shall determine whether there are prima facie grounds for a re-consideration of the RC's decision, and if so, shall refer it to the AAC. If the AAC Chairman considers that there are no grounds for the case, the appeal shall fail.
- 24.8 The Chairman of the AAC may invite the Chairman of the BoE and/or the Chairman of the RC to submit to the AAC, prior to the meeting, comments relevant to the case under discussion, and/or

may invite either or both Chairmen to attend the meeting of the AAC at which the case is being considered.

Appeal against Examination Result of Coursework Subjects

- 24.9 For an appeal against the examination result of a coursework subject, the student should make his/her appeal in writing first to his/her Head of Department within seven working days upon the public announcement of the examination result. The Head of Department shall refer the appeal to the Head of Department offering the subject, as appropriate.
- 24.10 The subject offering Department shall inform the host Department of the appeal result as soon as possible to enable the host Department to convey the result of the appeal to the student within seven working days of receipt of the appeal.
- 24.11 If the appellant is dissatisfied with the decision, he/she may then appeal in writing to the Registrar no later than seven working days after receipt of his/her Department's reply.
- 24.12 The Registrar shall refer the case to the Chairman of the AAC, who shall determine whether there are prima facie grounds for a re-consideration of the decision of the SARP (DRC/SRC for Guided-study subjects). If so, the Registrar shall refer it to the AAC. If the AAC Chairman considers that there are no grounds, the appeal shall fail.
- 24.13 The Chairman of the relevant SARP/DRC/SRC may be invited by the AAC to submit, prior to the meeting, comments relevant to the case under discussion, and to attend the meeting of the AAC at which the case is being considered.

AAC Procedures

- 24.14 In all cases where any appeal is considered by the AAC, the following will apply:
- a. The appellant may be required to appear before the AAC.
 - b. The appellant shall have the right to appear before the AAC. He/She shall also have the right to be accompanied and/or to be represented by one other person if he/she so chooses.
 - c. The AAC may, acting under the powers delegated to it by the Senate and in the following circumstances, review a decision reached by the SARP/DRC/SRC/RC:
 - i. If a student requests such a review and establishes to the satisfaction of the AAC that his/her performance was adversely affected by illness or other factors which he/she was unable, or for valid reasons, unwilling to divulge before the SARP/DRC/SRC/RC reached its decision, and of which the SARP/DRC/SRC/RC was unaware. The request from the student must be supported by medical certificates or other documentary evidence;
 - ii. If the AAC is satisfied with the evidence produced by the student or any other person that there has been a material administrative error, or that the assessment has not been conducted in accordance with the prevalent regulations of the University, or that other procedural irregularity has occurred.

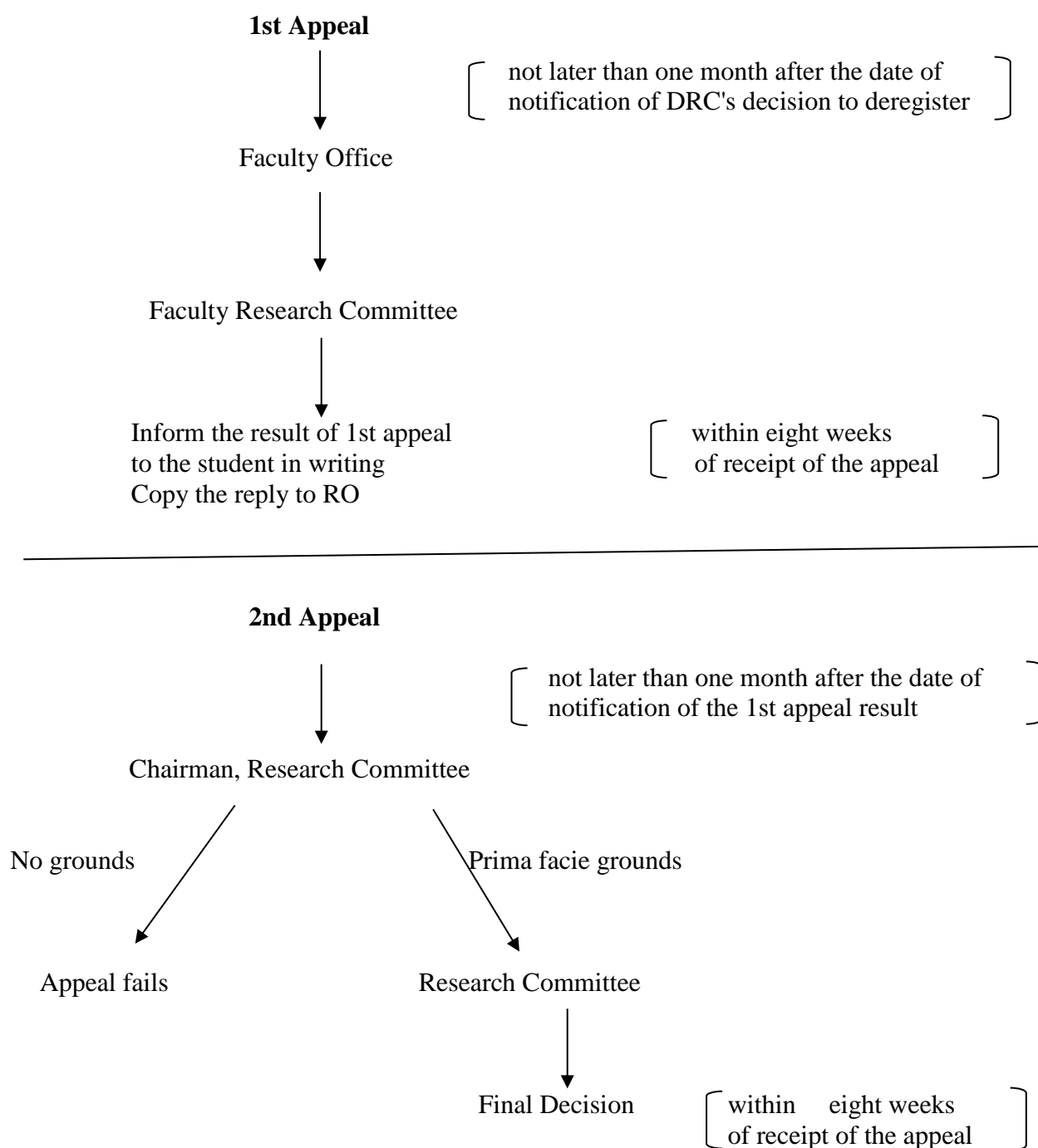
- d. The AAC may determine:
- i. To annul the relevant decision of the SARP/DRC/SRC/RC and refer the case for decision back to SARP/DRC/SRC/RC. The subsequent decision of the SARP/DRC/SRC/RC will be referred to the Chairman of the AAC, who will decide the appropriate course of action;
 - ii. Exceptionally to annul the relevant decision of the SARP/DRC/SRC/RC and assign a revised result to the student concerned;
 - iii. To confirm the decision of the SARP/DRC/SRC/RC on any of the following grounds:
 - the evidence presented does not support the case;
 - the evidence presented would not have materially affected the decision of the SARP/DRC/SRC/RC;
 - any administrative/procedural irregularity identified would not have materially affected the decision of the SARP/DRC/SRC/RC;
 - iv. To ask the RC to re-consider the operation and wording of the University's academic regulations pertaining to research degree programmes;
 - v. By the authority delegated to it by the Senate, to make decisions on the student's progression or award outside the regulations of the University. The AAC shall report all these cases to the Senate for information; or
 - vi. To make such other decisions that fall within its terms of reference.

24.15 The decisions of the AAC shall be final within the University.

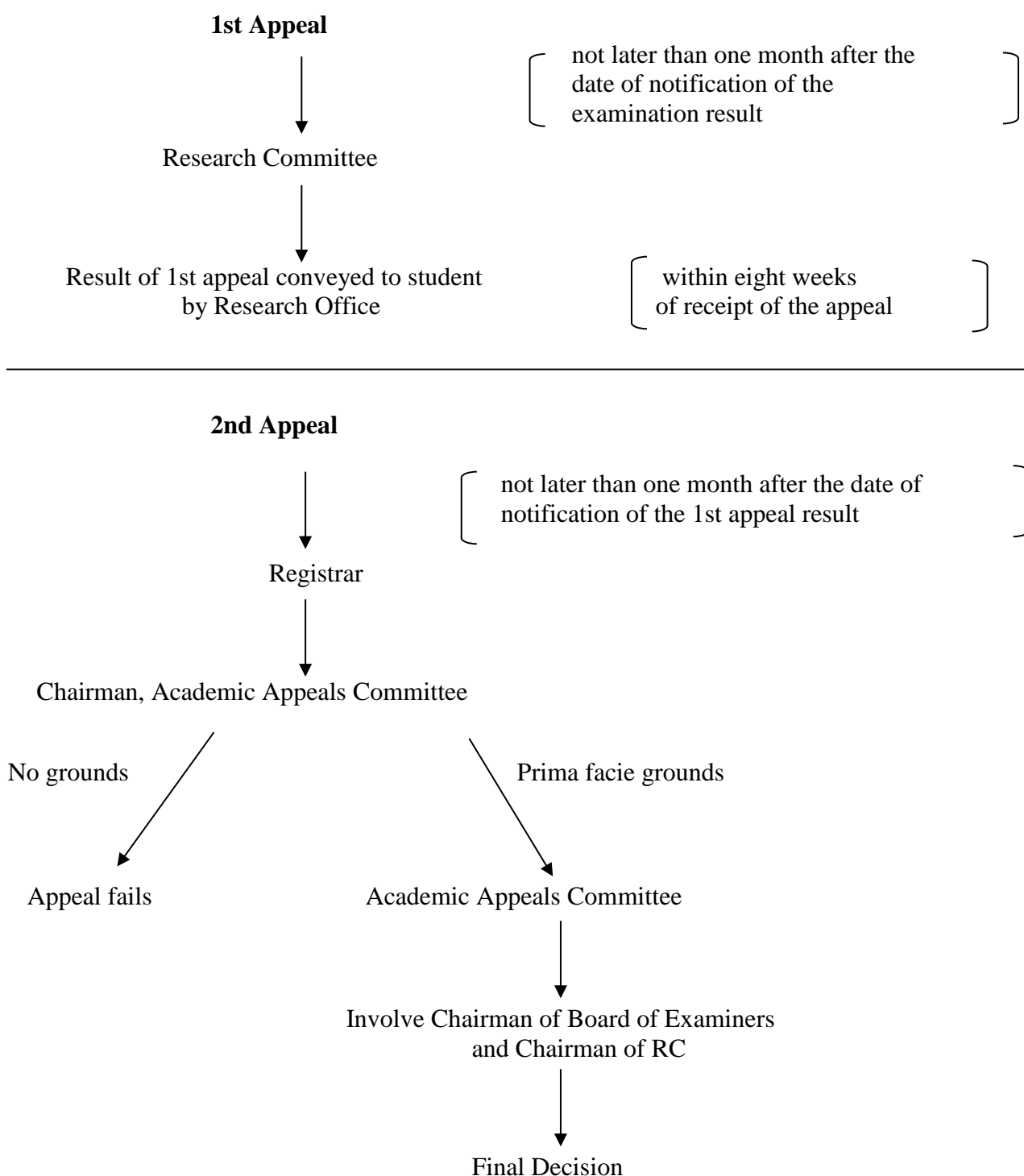
24.16 The procedures are outlined in the attached flow charts (Annexes A2.1, A2.2 and A2.3).

(August 2019)

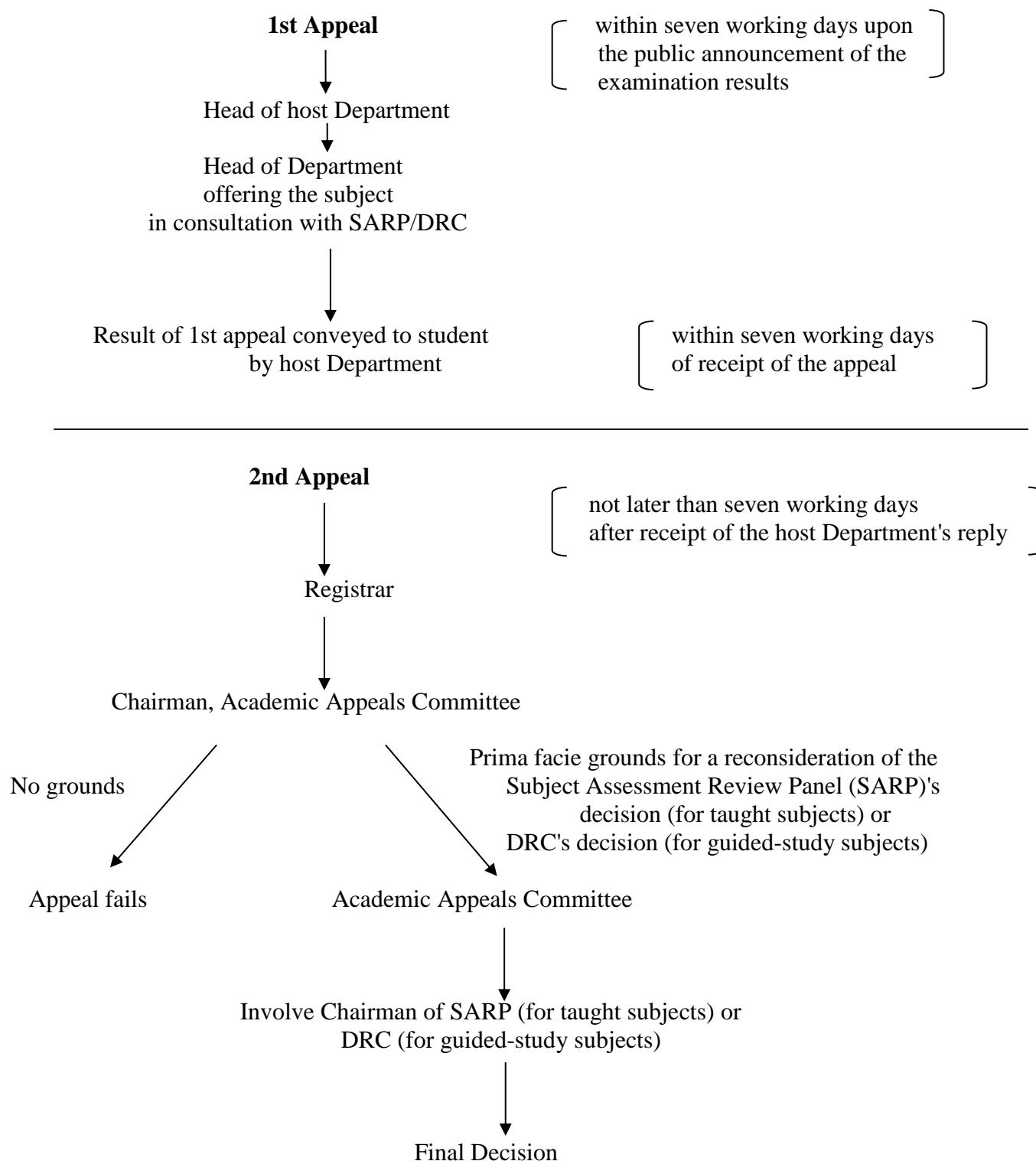
**Procedures for Appeals from Research Students Against Decisions of
De-registration**



Procedures for Appeals from Research Students Against the Result of the Thesis Examination



Procedures for Appeals from Research Students Against Examination Results of Individual Taught Subjects including Guided-study Subjects



Regulations and Administrative Procedures for the Degrees of Master of Philosophy and Doctor of Philosophy Offered by The Hong Kong Polytechnic University (Applicable to Students Admitted on and after 1 July 2017)

Note: The regulations and procedures are subject to changes from time to time. The authority to interpret these Regulations rests with the University Research Committee.

Preamble

The programme of research is designed in such a way to enable the student to acquire competence in research methods and scholarship and to display sustained independent effort and independent original thought.

The degree of Master of Philosophy (MPhil) or Doctor of Philosophy (PhD) shall be awarded to a student who, on completion of an approved programme of study and research and on fulfilling the coursework requirements for graduation, presents a thesis embodying the results of his/her research and satisfies the examiners in an oral examination (and other examinations if required) in matters relevant to the subject of the thesis.

MPhil and PhD students are required to satisfactorily investigate or evaluate a chosen area, to show understanding of the context and significance of the work, and to present a clear, complete thesis of a quality worthy of publication¹

PhD students are expected in addition to produce evidence and argument to support an original proposition that results in a significant contribution to knowledge.

Approval may be given for a thesis to be accompanied by materials other than in the written form.

The thesis shall be presented in English. Permission must be sought, normally at the point of admission, if another language, which is considered more appropriate to the subject, is to be used in the presentation of the thesis.

1. Admission Requirements

1.1 To register for the degree of MPhil, a student shall hold :

- a. a Bachelor's degree with second class honours or above conferred by The Hong Kong Polytechnic University or a recognised university; or
- b. other academic qualifications which are deemed to be equivalent.

1.2 To register for the degree of PhD, a student shall normally hold a postgraduate degree containing a significant research component, such as a dissertation conferred by The Hong Kong Polytechnic University or a recognised university.

¹ Publication is broadly defined to include all forms of dissemination of the research findings, subject to peer endorsement or public recognition, in the public domain.

- 1.3 In exceptional circumstances students other than those stipulated in paras. 1.1 and 1.2 may be permitted to register. For example, students with a Bachelor's degree with First Class Honours, or the equivalent, may be admitted directly to the PhD programme. Such applicants may be required to pass an examination.
- 1.4 From the 2020/21 Admissions Exercise onwards
The requirements for those RPg applicants who do not have a degree for which English was the language of instruction at a recognised university are:
- An overall score of at least 6.5 in the International English Language Testing System (IELTS); OR
 - A Test of English as a Foreign Language (TOEFL) score of 80 or above for the Internet-based test or 550 or above for the paper-based test.

All English language test scores are considered valid for two years after the date of the test.

For the 2019/20 Admissions Exercise or before

Applicants who have not obtained a degree of which the language of instruction was English from a recognised university are normally required to obtain an overall IELTS (International English Language Testing System) score of at least 6.5 (with score for writing component at 6.0 or above); a TOEFL (Test of English as a Foreign Language) score of 550 or above (with a score of at least 4 out of 6 in the Test of Written English), or an internet-based TOEFL score of 80 or above (with a writing score of 23 or above). All English language test scores are considered valid for five years after the date of the test. Consideration will be given to acceptable scores obtained in other internationally recognised public examinations, such as GRE (Graduate Record Examination) or GMAT (Graduate Management Admission Test), as deemed appropriate.

2. **Application Procedures**

- 2.1 An applicant shall submit an application online to the relevant Departmental Research Committee (DRC) via the Academic Registry (AR)'s eAdmission System.
- 2.2 An applicant is allowed one programme choice per application. If an applicant wants to apply for more programmes, s/he has to submit multiple applications and pay multiple sets of application fee. When more than one offer is made to the same applicant, the applicant will be allowed to choose between the offers.
- 2.3 An applicant shall set out as systematically and fully as practicable the intended programme of work as it is seen at that time. Any significant changes to the programme of research such as the project title require the approval of the DRC.
- 2.4 If the programme of research forms part of a group project, the applicant shall clearly indicate what contribution he/she will make and the extent to which the work is to be carried out in collaboration with others.
- 2.5 If the programme is carried out jointly with an industrial, commercial, professional or research establishment, the applicant shall briefly describe the work he/she will carry out in the collaborating establishment as against the host department to which he/she is attached.
- 2.6 The DRC, on receipt of an application to register for the research degree programme, shall approve or reject the application. The DRC shall complete and submit Form RC/1 to the Research Office

(RO) for vetting the funding sources before making offers to applicants via AS's Student Record System (SRS). After vetting the details, especially the funding sources in Form RC/1, RO will confirm with the DRC to make offers.

- 2.7 If the applicant holds qualifications other than those stipulated in para.1.1 and 1.2, the DRC shall decide whether an examination is required. If so, the department concerned should arrange for the examination. In the case that the DRC recommends admission of a student under para.1.3, it shall provide justification showing why the academic qualification is equivalent to the stipulated academic qualification requirement and the applicant is considered to be capable of completing the research programme. The application and justification are to be sent to the Faculty Research Committee (FRC)/School Board for approval.
- 2.8 In the event that the FRC/School Board rejects an application forwarded to it by the DRC, the decision, together with its justification, shall be conveyed to the DRC. In the event that the DRC does not agree with the FRC/School Board that the application should be rejected, the case shall be forwarded to the RC for consideration.
- 2.9 The English language requirements under para. 1.4 above may be waived by the FRC/School Board at the request of the Chief Supervisor with acceptable justification and endorsement from the DRC.
- 2.10 The thesis should be presented in English. An intention to present the thesis in a language other than English will be considered, preferably on admission. Strong justifications on academic grounds must be provided to substantiate that the use of English will adversely affect the clarity of the thesis. Applications shall be endorsed by the DRC, approved by the FRC/School Board and copied, for information, to the Research Committee (RC) Chairman, who may veto the decision of the FRC/School Board.

3. **Concurrent Enrolment**

- 3.1 A student is normally not allowed to register simultaneously for another programme of study that leads to an award. Exceptional approval from the RC, via his/her Chief Supervisor and DRC, is required for concurrent registration. Failure to obtain approval may lead to disciplinary action including discontinuation of study at PolyU.

4. **Supervision**

- 4.1 A student registered for the degree of MPhil or PhD shall follow an approved programme of research and coursework under a Chief Supervisor and, if appropriate, Co-supervisors.
- 4.2 The Chief Supervisor shall
 - a. be a full-time academic staff² of the department (except visiting or temporary academic staff) in which the student will be registered;
 - b. not be registered for a research degree while acting as Chief Supervisor;

2 Including those senior executives who are appointed to a non-academic position and are offered a concurrent appointment as academic staff members by the University.

- c. have proven research experience and quality research output in an appropriate field of study related to the programme; and
- d. normally have successful experience of MPhil/PhD supervision as Chief Supervisor.

4.3 The Co-supervisor shall

- a. not be registered for a research degree while acting as Co-supervisor; and
- b. have proven research experience in an appropriate field of study related to the programme.

4.4 A Co-supervisor shall be appointed under the following circumstances:

- a. the Chief Supervisor does not have successful supervision experience as Chief Supervisor of MPhil or PhD students;
- b. the Chief Supervisor is appointed on a fixed-term contract and the expiry date of his/her current contract falls within the normal study period of his/her newly recruited RPg student; or
- c. the Chief Supervisor will reach his/her retirement age within the normal study period of his/her newly recruited RPg student.

4.5 Under circumstance described in 4.4 a above, the Co-supervisor to be appointed should have successful supervision experience as Chief Supervisor of MPhil or PhD students and is responsible for ensuring that an appropriate level of supervision is provided to the research student.

4.6 Under circumstances described in 4.4 b & c above, the Co-supervisor should be willing to take up the supervision of the RPg student as and when the Chief Supervisor leaves the University.

4.7 The DRC in making its appointment should consider the current supervisory loading of the proposed supervisors.

4.8 Colleagues appointed on the Teaching Track and those appointed in affiliated/supporting units (e.g. language centres, research centres, non-academic departments) should only be eligible to act as Co-supervisor(s) of RPg students.

4.9 In the event that the Chief Supervisor, as determined by the DRC, is not able to continue to supervise the RPg student before the student completes his/her study, the University will arrange, in consultation with potential supervisor(s) and the student, another Chief Supervisor for the student. However, if an appropriate Chief Supervisor cannot be identified, the student's study will have to be discontinued.

4.10 Any changes in the appointment of supervisor(s) must be approved by the DRC. The office concerned³ should be notified of such changes within one week.

³ The "office concerned" refers to:

For students admitted in or before the 2017/18 cohort: Research Office (RO)

For students admitted from the 2018/19 cohort onwards: General Office of Department

- 4.11 The above regulations shall be strictly observed by Departments/Schools/Faculties. Any special cases which cannot be handled straightly according to the regulations should be considered by the DRC/FRC, in consultation with RO, on a case-by-case basis.

5. Supervisory Arrangements

The DRC shall follow one of the following two admission and supervisory arrangements:

- a. An applicant is required to submit an application, together with a detailed research proposal. The DRC shall consider the application that includes the proposed Chief Supervisor, and approve it as appropriate.

An offer letter will be issued to the student, in which the name of the Chief Supervisor and the project title will be stated.

- b. An applicant may be admitted without being assigned a Chief Supervisor and without an approved research project at the point of admission, i.e., his/her first day of affiliation with the Department. The Department is obliged to assign the most suitable staff member(s) as the student's supervisor(s) within four months of admission, and the student and supervisor(s) are required to formulate a research proposal for the DRC's approval within four months of admission.

The offer letter will state that the student is admitted under the temporary supervision of an academic staff member, who is regarded as the temporary supervisor, appointed by the DRC Chair.

6. Confirmation of Registration

- 6.1 A successful applicant shall first be registered provisionally for the degree of MPhil or PhD.
- 6.2 Students are required to have their registration confirmed, subject to a formal assessment, according to the normal deadlines as stipulated below:

Study mode	Normal period of study	Normal Deadline for Confirmation of Registration ⁴
Full-time PhD	4 years	At the end of the first 6 semesters/terms
Full-time PhD	3 years	At the end of the first 5 semesters/terms
Full-time MPhil	2 years	At the end of the first 3 semesters/terms
Part-time PhD	8 years	At the end of the first 12 semesters/terms
Part-time PhD	6 years	At the end of the first 9 semesters/terms
Part-time MPhil	4 years	At the end of the first 6 semesters/terms

⁴ Some academic departments may set their deadline for confirmation of registration for RPg students earlier than the normal deadline(s) as stipulated above. For details, please refer to the respective programme document.

- 6.3 Application for extension of confirmation of registration would only be considered on medical grounds. Medical proof must be attached to the application for the approval of the DRC Chair.
- 6.4 Students failing to have their registration confirmed by the deadline will be de-registered from the RPg programme immediately.
- 6.5 Confirmation of Registration consists of:
- a. submission of a written report;
 - b. a presentation to the Confirmation Panel and other attendees (as appropriate); and
 - c. an oral defence of the research proposal.
- 6.6 The student, before confirmation of registration, is required to submit a written report to the Chief Supervisor covering the following components:
- A comprehensive literature review;
 - A clear statement of the problem to be tackled;
 - Discussion of the chosen research methodology;
 - Preliminary results, if any; and
 - Discussion of possible results.
- 6.7 The Chief Supervisor should confirm with the DRC whether the report is ready for assessment and should initiate the arrangement for the confirmation of registration.
- 6.8 The DRC should form a Confirmation Panel to review the written report, to attend a presentation by the student and to assess the student's progress (including both coursework and research components) during his/her provisional registration period. The Panel shall consist of the following members:
- a. the Chief Supervisor;
 - b. internal and external co-supervisors, if any; and
 - c. two independent members from the department/school, one of whom shall be the Chair of the Panel.
- Co-supervisors may attend the presentation either in person or through video/teleconferencing facilities.
- 6.9 The two independent members shall have appropriate expertise related to the research programme and have no conflict of interest with the research student. The Chair shall be a senior staff member at the rank of Associate Professor or above and will chair the research student's presentation for confirmation of registration as well as the Confirmation Panel meeting after the presentation.
- 6.10 The Chief Supervisor shall make nominations on the independent members for approval by the DRC. If the independent member(s) nominated by the Chief Supervisor is/are not approved, the DRC will appoint other independent member(s) as replacement.

- 6.11 The panel will also consider the requirements specified by the English Language Centre (ELC) concerning the student's English proficiency. If the student's command of the English language is not up to the required standard, as judged by the ELC, the panel may, in serious cases, recommend a deferment of confirmation of registration.
- 6.12 The panel shall provide a written assessment of the written report and the student's presentation to the DRC with the following possible recommendations:
- a. registration confirmed at the current level of study;
 - b. registration confirmed at another level of study (applicable to students who have applied for transfer to another level of study or students who have failed to meet the standard of the current level of study);
 - c. organisation of a second Confirmation Assessment within a maximum of three months or before the deadline for confirmation of registration (whichever is shorter); or
 - d. termination of study.

7. **Transfer between MPhil and PhD**

- 7.1 A student who is provisionally registered for the degree of MPhil may apply for transfer of registration to PhD at the time when applying for confirmation of registration. An MPhil student whose registration is confirmed may also apply for transfer of registration to PhD.
- 7.2 A student who is registered for the degree of PhD may transfer to the MPhil status by notifying the Department in writing. Alternatively, a student who is not making satisfactory progress towards the PhD degree may be transferred to MPhil status by the Department at any time.
- 7.3 *For students admitted from the 2018/19 cohort onwards*, their application for transfer of registration from MPhil to PhD, once approved by the DRC, will be effective from the next semester. In addition, if they are transferred from PhD to MPhil status due to unsatisfactory progress, it shall take effect from the next semester.

8. **Transfer between Full-time and Part-time Modes of Study**

- 8.1 A student may apply for transfer between full-time and part-time study. The normal period and/or maximum period of study will then be shortened or extended on a pro rata basis.
- 8.2 Applications from local students for transfer of registration between full-time and part-time modes of study shall be approved by the DRC. The office concerned⁵ shall be notified of the transfer arrangements by the DRC within one week.
- 8.3 Applications from non-local students for transfer of registration between full-time and part-time modes of study require the endorsement of the DRC and approval of the Immigration Department of the HKSAR Government.

5 The "office concerned" refers to:

For students admitted in or before the 2017/18 cohort: Research Office (RO)

For students admitted from the 2018/19 cohort onwards: General Office of Department

- 8.4 ***For students admitted from the 2018/19 cohort onwards***, their application for transfer between full-time and part-time study, once approved by the DRC Chair, will be effective from the next semester. If the DRC Chair is one of the supervisors, the application has to be approved by the FRC/School Board Chair.

9. Normal Period of Study

- 9.1 The normal periods of study are as follows:

	<u>MPhil</u>	<u>PhD</u>	
Full-time	2 years	3 years	(4 years for students admitted on the basis of a Bachelor's degree)
Part-time	4 years	6 years	(8 years for students admitted on the basis of a Bachelor's degree)

- 9.2 If a student is unable to complete his/her study within the normal study period, he/she shall notify the DRC Chair via the Chief Supervisor in writing before the normal study period expires, indicating the reasons and the expected completion date, which should fall within the maximum study period. The DRC Chair shall act on the Chief Supervisor's recommendations to approve or disapprove the student's request for continuing his/her study beyond the normal study period (but within the maximum study period), and inform the office concerned⁶ of his/her decision.

10. Maximum Period of Study

- 10.1 The maximum periods of study are as follows:

	<u>MPhil</u>	<u>PhD</u>	
Full-time	3 years	5 years	(6 years for students admitted on the basis of a Bachelor's degree)
Part-time	5 years	7 years	(9 years for students admitted on the basis of a Bachelor's degree)

- 10.2 Extension of the maximum period of study shall not be permitted. The student shall be deregistered from the programme if s/he fails to submit the thesis to the office concerned⁷ upon expiry of the maximum period of study.

- 10.3 Any extra period allowed for revision or resubmission of the thesis under para. 20 shall not count towards the maximum period of study.

11. Deferment of Study

- 11.1 A student may apply within the normal period of study for deferment of up to 3 semesters/terms# at a time, for no more than a cumulative total of 6 semesters/terms#. Deferment will not count towards

⁶ The "office concerned" refers to:

For students admitted in or before the 2017/18 cohort: Research Office (RO)

For students admitted from the 2018/19 cohort onwards: General Office of Department

the period of study. Applications for deferment shall be approved by the DRC. The DRC shall notify the office concerned⁶ of the deferment via the standard form for deferment.

[#] *Summer term is included in the counting of deferment period.*

- 11.2 Deferment of study, if approved, is effective from the next semester.
- 11.3 Students approved for deferment of study before semester commencement will be entitled for tuition fee refund. Application for deferment of study within a semester will only be considered before the start of the examination period.
- 11.4 Approval for deferment after the normal period of study shall not normally be considered except on the basis of certified health problems.
- 11.5 Resumption of study should start at the beginning of a semester.
- 11.6 Stipend will be stopped as soon as deferment commences. Following the resumption of study, stipend, if provided, will only be paid from the day the semester commences or from the first day of the month.

12. **Residence Requirements**

- 12.1 Residence provides students with an opportunity to become immersed in the intellectual environment of the University. Also included in the residence are periods during which students' research requires off-campus field or non-PolyU laboratory work
- 12.2 Despite of the mode of study, the residence requirement for an MPhil degree is two regular semesters; and that for a PhD degree is three regular semesters if a relevant research Master's degree is earned prior to entering the programme, but four regular semesters if it is not.
- 12.3 All research postgraduate students must fulfil the residence requirement before thesis submission.
- 12.4 In addition to the residence requirement, full-time research postgraduate students are required to be on campus full-time and consequently in such geographical proximity as to be able to participate fully in University activities associated with the programme.
- 12.5 Where a student needs to conduct his/her research outside Hong Kong, adequate supervision arrangements must be proposed by the Chief Supervisor and approved by the DRC for study periods spent outside Hong Kong.

13. **Leave**

- 13.1 With the prior agreement of the Chief Supervisor, a full-time student may take vacation leave of up to four weeks per study year. For students who receive financial assistantship under the Teaching Postgraduate Studentship Scheme, the application for leave will have to be approved by the relevant HoD/DoS.
- 13.2 Students' applications for leave of absence shall be approved by the Chief Supervisor. The Departments must keep the leave record of each of their on-going students and present it to the Research Office when students submit their thesis for examination.

14. **University Coursework and Language Requirements**

14.1 University coursework requirements

Programme	Credit requirement	Details
MPhil	9 credits	1 credit from HTI6081 + 2 credits from attending seminars + 6 credits from other subjects (no more than 3 credits from Guided-study subjects)
3-year full-time/6-year part-time PhD	15 credits	1 credit from HTI6081 + 3 credits from attending seminars + 2 credits from Practicum + 9 credits from other subjects (no more than 6 credits from Guided-study subjects)
4-year full-time/8-year part-time PhD	22 credits	1 credit from HTI6081 + 4 credits from attending seminars + 2 credits from Practicum + 15 credits from other subjects (no more than 9 credits from Guided-study subjects)

14.1.1 The coursework requirements of individual programmes may be different from the University requirements. Students should check with their affiliated department for the individual programme requirements.

14.1.2 All of the subjects taken will be assigned a grade.

Grade	Grade Point	Description
A+	4.5	Exceptionally Outstanding
A	4	Outstanding
B+	3.5	Very good
B	3	Good
C+	2.5	Wholly satisfactory
C	2	Satisfactory
D+	1.5	Barely Satisfactory
D	1	Barely adequate
F	0	Inadequate

Ethics: Research, Professional & Personal Perspectives (HTI6081)

14.1.3 This is a one-credit subject which will be counted towards the credit requirement. Students are required to pass this compulsory subject before they submit their thesis for examination. However, returning students will be allowed to carry over the grade obtained in the subject to the new RPg programme regardless of its level, provided that the grade was attained within five years of re-admission.

Guided-study subjects

14.1.4 Guided-study subjects are those in which normally no lecturing is done and in which the student is required by the subject supervisor to read specified monographs and journal publications; the student and subject supervisor frequently meet to discuss the progress made by the student in the subject. The weighting assigned for coursework should be less than the weighting assigned for the examination. Coursework normally consists of assignments and presentations. Examination is compulsory and normally includes both written and oral. At the end of the semester, the student is

examined by the subject supervisor and another staff member who is knowledgeable about the topic. A grade will be given in the same way as for regular taught subjects in Form RC/27. All Guided-study subjects will be at level 6 and their code number will be between 6800 and 6999.

Practicum

- 14.1.5 All PhD students, irrespective of funding source and mode of study, must complete two training credits before thesis submission.
- 14.1.6 To earn one credit, students will be required to engage in teaching/research supporting activities assigned by the HoD/DoS or his/her delegate for 6 hours/week in any 13-week semester. Students are allowed to complete these two credits any time before thesis submission. They can choose to complete these two credits in two different semesters or within the same semester, subject to the approval of the Chief Supervisor. Stipend recipients are allowed to fulfill part of their departmental training requirement through the completion of these compulsory training credits.
- 14.1.7 Students who are required to undertake teaching supporting activities are required to complete the training programmes organised by the Educational Development Centre, English Language Centre/Chinese Language Centre (as required) before the commencement of any teaching supporting activities.

The HoD/DoS or his/her delegate are required to:

- a. ensure that the activities are structured and can be assessed properly;
- b. submit to the Subject Assessment Panel, at the end of the session, an assessment report on the performance of the relevant student(s), with details of activities undertaken and an overall assessment grade of Pass or Fail.

Attendance at Seminars

- 14.1.8 Full-time students are required to attend at least 10 research seminars per year, in addition to workshops/conferences, and to submit a report, to the Chief Supervisor, of no less than 1,500 words (excluding references) on one of the attended seminars every year.
- 14.1.9 Part-time students are required to attend at least 10 research seminars per two years, in addition to workshops/conferences, and to submit a report, to the Chief Supervisor, of no less than 1,500 words (excluding references) on one of the attended seminars once every two years.
- 14.1.10 Students are recommended to complete one credit per year (for full-time students) or per two years (for part-time students) to fulfil the above-mentioned requirement, with an overall assessment grade of Pass and Fail. However, as deemed appropriate by the Chief Supervisor, they are allowed to complete at most two credits per year (for full-time students) or per two years (for part-time students) to fulfil the research seminar credit requirement.
- 14.1.11 The total credits to be earned by different categories of students will be:

2-year full-time/4-year part-time MPhil:	2 credits
3-year full-time/6-year part-time PhD:	3 credits

4-year full-time/8-year part-time PhD:

4 credits

- 14.1.12 Research seminars may or may not be organised by the host department and are expected to last not less than an hour each. The topic of the seminar reported on should not be related directly to the thesis title of the student.
- 14.1.13 Chief Supervisors are required to assess the report (with a pass or failure grade). Students failing to submit a report to the satisfaction of their Chief Supervisor are required to make a re-submission until a pass grade is obtained. The Chief Supervisor has to pass the record of the seminars attended by their students and the report with a pass grade to the office concerned⁷ for custody at the end of each academic year.

14.2. *English Language Proficiency*

For students admitted in or before the 2017/18 cohort

- 14.2.1 In addition to the course requirements set out above, all MPhil/PhD students, regardless of their fields of study, are required to take the Research Language Skills Assessment which focuses on assessing their English language proficiency in academic writing and speaking upon entry to the research programmes. Before thesis submission, students are required to take and pass the language enhancement subjects/programmes designed and conducted by the English Language Centre or the Department of English, if improvement in the area of academic writing, academic speaking or both is imposed after the Assessment.

For students admitted from the 2018/19 cohort onwards

- 14.2.2 All research students admitted from the 2018/19 cohort onwards shall be required to take and pass two English enhancement subjects, namely ELC6001 “Presentation Skills for Research Students” and ELC6002 “Thesis Writing for Research Students” before thesis submission⁸. For exemption, research students need to pass the Research Language Skills Assessment (RLSA)⁹.

15. **GPA Requirement**

- 15.1 All MPhil students need to complete their coursework with a qualifying GPA of 2.75 or above, and all PhD students need to complete their coursework with a qualifying GPA of 3.0 or above before submission of their thesis for examination.

⁷ The “office concerned” refers to:

For students admitted in or before the 2017/18 cohort: Research Office (RO)

For students admitted from the 2018/19 cohort onwards: General Office of Department

⁸ For details on enrolment procedures, students are advised to approach the English Language Centre (ELC).

⁹ With strong justification, the Chief Supervisor could recommend, for special consideration of the Vice President (Research Development), his/her research student for exemption from taking the English enhancement subjects without sitting the Research Language Skills Assessment (RLSA). The Vice President (Research Development)’s decision will be final and not subject to appeal.

- 15.2 The qualifying GPA is the result of the accumulated value of the subject grade point multiplied by the subject credit value divided by the total credit value for those subjects. It is capped at 4.0, is computed as follows:

$$\text{Qualifying GPA} = \frac{\sum \text{Subject Grade Point} \times \text{Subject Credit Value}}{\sum \text{Subject Credit Value}}$$

Where

- a. credits earned from all compulsory subjects, except those assessed with a “Pass” or “Fail” grade (such as Practicum and Seminars), will be included in the calculation of Qualifying GPA;
 - b. the best grade points will be chosen for the calculation of the Qualifying GPA for credits earned for elective subjects;
 - c. the following subjects will be excluded from the calculation of Qualifying GPA:
 - exempted subjects
 - ungraded subjects
 - incomplete subjects
 - subjects for which credit transfer has been approved, but without any grade assigned
 - subjects from which a student has been allowed to withdraw (i.e., those with the grade “W”).
- 15.3 Students may take more subjects than required in order to improve their GPA or in order to strengthen their knowledge.
- 15.4 Subjects taken after submission of the thesis will not contribute to the qualifying GPA.
- 15.5 Students may retake any subject for the purpose of improving their grade without having to seek approval, but they must retake a compulsory subject which they have failed, i.e. obtained an F grade. Students wishing to retake passed subjects will be accorded a lower priority than those who are required to retake (due to failure in a compulsory subject) and can only do so if places are available.
- 15.6 The number of retakes of a subject is not restricted. Only the grade obtained in the final attempt of retaking (even if the retake grade is lower than the original grade for originally passed subject) will be included in the calculation of the Qualifying GPA. If students have passed a subject but failed after retake, credits accumulated for passing the subject in a previous attempt will remain valid for satisfying the credit requirement for award. (The grades obtained in previous attempts will only be reflected in transcript of studies.)
- 15.7 In cases where a student takes another subject to replace a failed elective subject, the fail grade will be taken into account in the calculation of the GPA, despite the passing of the replacement subject.
- 15.8 A student may be exempted from taking a compulsory subject if s/he has successfully completed a similar subject previously in another programme or if s/he already has the associated knowledge/skills via work experience, etc. Subject exemption is decided by the DRC but students can also apply for it. In order to satisfy the credit requirement, it is necessary for the student to take another subject, to be approved by the Chief Supervisor, in place of the exempted subject. Such subject will be considered as an elective subject.

- 15.9 The grades obtained by research students on coursework subjects, including Practicum and Seminars, will be considered and endorsed by the Subject Assessment Review Panel (SARP) of the department offering the subject. The grades obtained by the research students on Guided-study subjects will be considered and endorsed by the relevant DRC based on the assessment reports (Form RC/27).
- 15.10 Unless specified otherwise under paragraphs 14 and 15 above, University's General Assessment Regulations (GAR) for credit-based programmes (available from Section B1 of <https://www.polyu.edu.hk/ar/web/filemanager/common/publications-restricted/hbarp/ARP.pdf>) should also apply to the RPg programme.

16. Credit Transfer

- 16.1 Credits which have already been used to contribute to a previous award should not be transferred to contribute to the MPhil/PhD award with the following exceptions:
- all returning students will be allowed to transfer the grade obtained in the subject "HTI6081 Ethics: Research, Professional & Personal Perspectives" to the new RPg programme regardless of its level, provided that the grade was attained within five years of re-admission;
 - all 3-year full-time/6-year part-time PhD students will be allowed to transfer one credit from his/her previous attendance in seminars.

16.2 *Transfer of credits of subjects at postgraduate level earned from recognised previous studies*

For students admitted in or before the 2017/18 cohort

- 16.2.1 Applications for the transfer of credits from recognised previous studies will be endorsed by the DRC with justifications and approved by the HoD/DoS. Only credits gained from subjects at postgraduate level that have not been used to contribute to an award will be acceptable for transfer. The validity period for such credit transfer for research degree programmes is defined to be **five years** from the year of attainment at the time of admission. The maximum number of credits transferrable for different categories of students is:

2-year full-time/4-year part-time MPhil:	6 credits
3-year full-time/6-year part-time PhD:	9 credits
4-year full-time/8-year part-time PhD:	14 credits

- 16.2.2 Credits transferred from previous study outside the University will not be included in the calculation of the qualifying GPA. RO shall be informed of such approval.

For students admitted from the 2018/19 cohort onwards

- 16.2.3 Applications for the transfer of credits from recognised previous studies will be endorsed by the DRC with justifications and approved by the HoD/DoS. Only credits gained from subjects at postgraduate level that have not been used to contribute to an award will be acceptable for transfer. The validity period for such credit transfer for research degree programmes is defined to be **eight years** from the year of attainment at the time of admission. The maximum number of credits transferrable for different categories of students is:

No more than 50% of the credit requirement of the programme disregarding whether the credits were earned within or outside PolyU.

- 16.2.4 Credits transferred from previous study outside the University will not be included in the calculation of the qualifying GPA.

16.3 *Transfer of credits taken at postgraduate level outside PolyU after admission*

Taking subjects outside PolyU during the student's research postgraduate studies in PolyU with prior approval is regarded as an acceptable way to gain credits. The student should submit an application (Form RC/48), via his/her Chief Supervisor, to the office concerned¹⁰ to initiate the transfer. The application will be endorsed by the DRC Chair and approved by the HoD/DoS.

The transfer of grades will be in accordance with the conversion table below and the grade gained will be included in the calculation of the qualifying GPA:

Grade Obtained Outside PolyU after Admission	Grade Transferred to PolyU	Grade Point	Interpretation
A+	A+	4.5	Exceptionally Outstanding
A	A	4	Outstanding
A-	A	4	Outstanding
B+	B+	3.5	Very good
B	B	3	Good
B-	B	3	Good
C+	C+	2.5	Wholly satisfactory
C	C	2	Satisfactory
C-	C	2	Satisfactory
D+	D+	1.5	Barely Satisfactory
D	D	1	Barely adequate
D-	D	1	Barely adequate
E	F	0	Inadequate
F	F	0	Inadequate

16.4 *Minimum number of credits with a letter grade*

An MPhil student must complete at least three credits with a letter grade and a PhD student at least six to allow for a meaningful calculation of the qualifying GPA.

17. **Subject Registration**

For students admitted in or before the 2017/18 cohort

¹⁰ The "office concerned" refers to:

For students admitted in or before the 2017/18 cohort: Research Office (RO)

For students admitted from the 2018/19 cohort onwards: General Office of Department

- 17.1 Research students will register for subjects at the same time as other students. Whether a research student can add a subject will depend on the availability of vacancies in the subject and the approval of the Chief Supervisor. Similarly, a student can drop a subject if it is approved by the Chief Supervisor. The student will effect the subject registration/deletion via [Research Student Portal](#) platform. After the add/drop period, RO will check the results of the add/drop changes against the approved study programme of individual students. Students' add/drop changes will automatically be cancelled if those changes have not yet been approved by the Chief Supervisor.
- 17.2 After the add/drop period, further enrolment of subjects will normally not be entertained. Exceptional cases with good justification and to which the subject lecturer agrees will require the DRC's approval up to the end of the 4th week after the commencement of the semester.

For students admitted from the 2018/19 cohort onwards

- 17.3 Research students will register for subjects at the same time as other students. Whether a research student can add a subject will depend on the availability of vacancies in the subject and the approval of the Chief Supervisor. Similarly, a student can drop a subject if it is approved by the Chief Supervisor. The student will effect the subject registration/deletion via [eStudent](#) platform.
- 17.4 Dropping of subjects after the add/drop period is not allowed. If a student has a genuine need to drop a subject after the add/drop period, it will be handled as withdrawal of subject. The student should submit an application for withdrawal of subject to the Chief Supervisor and Subject Lecturer for approval. The withdrawn subject will be reported in the Assessment Result Notification and Transcript of Studies although it will not be counted in the calculation of QGPA.
- 17.5 Application for withdrawal of subject will not be entertained after the commencement of examination period.

18. **Progress Report**

For students admitted in or before the 2017/18 cohort

- 18.1 Students shall be required to submit progress reports as required from time to time by the University.
- 18.2 The DRC shall, on receipt of the report, evaluate and assess the progress of the student. In the event that the student's progress is unsatisfactory, the case together with the DRC's recommendations shall be submitted to the FRC/School Board for information.

For students admitted from the 2018/19 cohort onwards

- 18.3 All students will be assessed by their academic department by the end of each Semester. DRC is required to indicate in the Student Record System if an RPg student will be allowed to proceed on with their study by end of each Semester.

19. **Deregistration**

- 19.1 A student may be deregistered in the following circumstances :
- a. if his/her progress is considered unsatisfactory; or
 - b. if the maximum period of study is exceeded; or

c. if his/her thesis is deemed unsatisfactory.

19.2 A recommendation for deregistration as a result of unsatisfactory progress may be proposed by the Chief Supervisor and approved by the DRC. The DRC Chairman cannot take action by himself/herself on this issue.

19.3 A recommendation for deregistration made by the Board of Examiners (BoE) shall be approved or rejected by the RC [see para. 21.15].

20. **Thesis Submission**

Submission before Examination

20.1 A student and the supervisor(s) concerned will complete and submit Form RDC/2B as 'Notice of Intention to Take Thesis Examination' to the office concerned¹¹ via the DRC when the thesis is ready or nearly ready for examination. This notice is to be accompanied by a brief description of the thesis (or the work done). Upon receipt of the notice, the office concerned¹¹ shall set up a BoE. Students are advised to submit the notice well in advance of the intended thesis submission date so that the BoE is in place to examine the thesis upon its submission.

20.2 A student shall submit his/her thesis to the office concerned¹¹ after it has been approved by the Chief Supervisor. Upon the receipt of the duly signed Form RC/18, a student is required to submit an electronic copy of the thesis to the office concerned¹¹. The thesis must be presented in accordance with the *Regulations on the Format and Presentation of Theses for Research Degrees*. When the thesis is found acceptable by the BoE Chairman, the electronic copy of the thesis shall be sent to the office concerned¹¹.

20.3 Before a submitted thesis can be sent to external examiners, it must meet the University's English language standard expectations. To meet these expectations, the thesis must:

- a. at all times clearly convey its content and meanings through an accurate use of the English language;
- b. follow a clear and appropriate organisation at all levels: overall (as shown by the Table of Contents and all text-headings); within chapters and within sections; between chapters and sections; at paragraph level; and at clause and sentence levels;
- c. follow acceptable conventions of standard English syntax;
- d. use both common and specialist vocabulary accurately and consistently;
- e. be fully spell-checked so that typographical errors have been removed;
- f. be free of errors such as incorrect layout, mislabelling or inadequate labelling of tables and other visuals, failure to maintain consistent levels of numbering of section and sub-section headings, etc;
- g. use punctuation with understanding of its function as an essential aid to comprehension; and

¹¹ The "office concerned" refers to:

For students admitted in or before the 2017/18 cohort: Research Office (RO)

For students admitted from the 2018/19 cohort onwards: General Office of Department

- h. have an accurate and complete set of references (and appendices, if applicable) conforming to a style manual acceptable to the Chief Supervisor.

20.4 Under very exceptional circumstances, a student shall be allowed to make a written request to the RC for submitting a thesis for examination without the prior approval of his/her Chief Supervisor. The written request should be accompanied with:

- a. an electronic copy of the thesis in accordance with the *Regulations on the Format and Presentation of Theses for Research Degrees* ; and
- b. detailed justification for the request via Form RC/62.

20.5 Upon receipt of the written request from a student without the prior approval of his/her Chief Supervisor for thesis submission, the RC shall invite:

- a. the Chief Supervisor to provide the RC with a written explanation of his/her assessment of the thesis;
- b. the student concerned to respond to the comments made by the Chief Supervisor; and
- c. the relevant DRC and FRC/School Board to comment on the application.

Each party will be allowed one month to complete the task. Documents received will then be presented to RC for consideration within four months.

Submission after Examination

20.6 After satisfying the award requirement, the student must prepare an electronic copy of the final version of the thesis to be sent to the University Library and other parties concerned.

20.7 A thesis may be kept confidential normally for a maximum of two years. If a thesis is to remain confidential for a period of time after completion of the work, an application shall be submitted to the DRC by any interested party before the submission of the thesis for examination.

21. **Examination of Thesis**

Internal Examiners

21.1 The Chief Supervisor shall be a member of the Board of Examiners but shall not be the Chairman of the Board.

21.2 The DRC Chair shall be responsible for the nomination of the BoE Chair, in consultation with the Chief Supervisor, for the approval of the HoD/Dean of School. In the event that the HoD/Dean of School is one of the supervisors of the student, the Dean of Faculty/Chairman of School Board or his/her nominee shall be the Chairman of the BoE. In the case where both the HoD/Dean of School and the Dean of Faculty/Chairman of School Board are the supervisors, the Chairman of the RC or his/her nominee shall be the Chairman of the BoE.

21.3 The Chairman of the Board of Examiners shall be appointed by the Head of Department/Dean of School or Dean of Faculty/School Board Chairman. S/he shall be at the Associate Professor level or above, or the equivalent, and from a broadly related discipline. The main duties of the BoE Chair are (1) to uphold the integrity of the exam process and (2) to act as a gatekeeper to ensure quality of the thesis.

21.4 Both the BoE Chair and the Chief Supervisor have no voting right.

External Examiners

21.5 There shall be two external examiners who are not members of the University.

21.6 Both external examiners shall have successful PhD supervision experience as Chief Supervisors and shall normally be at the Associate Professor level or above, or the equivalent.

21.7 External examiners should have appropriate expertise related to the research programme, shall not have acted previously as the student's supervisor, and shall be in a position to be impartial. It is preferable that the two external examiners should not affiliate to the same academic department of the same university.

21.8 The supervisor(s) shall nominate external examiners and submit supporting information. The nomination of external examiners will be endorsed by the Chairman of the BoE and approved by the Chairman of the FRC/School Board. In the event that the Chairman of the BoE is the Chairman of the FRC/School Board, the external examiners will be approved by the RC Chairman.

21.9 Special approval will have to be obtained from the BoE Chair and the FRC/School Board Chair if qualifications of nominated external examiners deviate from the above stipulations. In case a nominee holds an "Honorary" academic title, the nomination will have to be approved by the RC Chair.

Examination Process

21.10 On receipt of the thesis, the Chief Supervisor shall submit a report on the thesis within two weeks. As soon as the Chief Supervisor's report is received, the BoE Chair shall be asked to confirm within two weeks whether the thesis provides a prima facie basis to be sent to the external examiners for consideration.

21.11 In the event that the BoE Chair requires revision to the thesis before it is sent to the external examiners, the recommendation together with its justification shall be considered by the Chief Supervisor. If the Chief Supervisor agrees to the recommendation, the student shall be asked to revise the thesis as instructed. The student shall be given a maximum of six months in which to carry out each set of revisions, and each thesis is limited to two sets of revisions. Even if the BoE Chair of still finds the thesis unacceptable for release to the external examiners after two sets of revisions, the thesis shall nevertheless be sent to the external examiners for assessment, with the relevant information being conveyed to them.

21.12 If there are divergent opinions between the BoE Chair and the Chief Supervisor, the case shall be considered by the Chairman of the FRC/School Board, who shall decide on an appropriate action to take. In the event that the Chairman of the FRC/School Board is the BoE Chair, the case shall be considered by the Chairman of the RC.

- 21.13 In the event that the BoE Chair finds the presentation quality and/or language proficiency of the thesis unsatisfactory, s/he should refer it back to the student, via the Chief Supervisor, for revision, without the need to list out the editorial changes required. The Chief Supervisor is required to re-assess the revised thesis and to approve it, in writing, for external assessment. However, if the BoE Chair asks a student to make revisions to the thesis that involves technical problems, the thesis must be re-assessed by the BoE Chair before it can be sent out for external assessment.
- 21.14 Each external examiner shall be asked to read the thesis and submit a report on the thesis within six weeks.
- 21.15 The External Examiners, after reading the thesis, shall recommend that the thesis:
- forms an adequate basis for an oral examination (and other examinations as required); or
 - be revised once within twelve months and resubmitted for the oral examination (and other examinations as required); or
 - be deemed unsatisfactory, no resubmission be permitted, and that the student fails.
- 21.16 If the External Examiners cannot reach a consensus, the BoE Chair shall liaise with the External Examiners to get an agreement. Failing that, the BoE Chair should invite the Chief Supervisor to nominate an additional external examiner to assess the thesis. The nomination should be endorsed by the BoE Chair and appointed by the RC Chair. S/he should be informed of the background leading to the appointment and his/her view on the thesis constitutes the deciding vote. This additional external examiner should be invited to attend the oral examination.
- 21.17 The oral examination is compulsory. The Board of Examiners shall decide whether any additional form of examination is necessary.
- 21.18 The BoE shall conduct the oral examination. Participation requirements and voting right of the BoE are listed as follows:

BoE Chair	Chief supervisor	Co-supervisor(s)	External examiners
The BoE Chair must participate in the viva in person.	The Chief Supervisor must participate in the viva in person.	Co-supervisors may or may not attend the viva.	Both examiners must participate in the viva. At least one of them shall attend the viva in person and the other one may attend the viva either in person or through video facilities. In exceptional circumstances when one of the examiners is unable to attend the viva either in person or through video facilities due to an unexpected event or illness, the viva shall be video-taped. The video, together with the BoE report, shall be sent to the external examiner who was absent from the viva for review.

S/he has no voting right.	S/he has no voting right.	They have no voting right.	Should the outcome of the examination need to be put to a vote, each external examiner may cast one vote. A consensus is required for all decisions.
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- 21.19 Following the oral examination (and other examinations as required), the Board of Examiners shall recommend to the Research Committee that the student should:
- be awarded the degree of MPhil/PhD; or
 - be awarded the degree of MPhil/PhD subject to minor amendments being made to the thesis or an additional assignment being completed to the satisfaction of the Chairman of the Board of Examiners or his/her nominee by a specified date but normally within a period not longer than three months; or
 - be required to revise and resubmit the thesis and/or to attend another oral examination and/or other form of examination (a student is limited to one opportunity of re-examination within 12 months); or
 - (for PhD examination only) be awarded the degree of MPhil and no resubmission be permitted; or
 - be regarded as having failed as the thesis is deemed unsatisfactory and no resubmission is permitted.
- 21.20 The report detailing the recommendation of the Board of Examiners shall be copied to the DRC Chair, who shall alert the RC to problematic cases and provide necessary information when required.
- 21.21 If a unanimous decision cannot be reached after the oral examination or re-examination or other examinations as required, each member of the BoE will be required to submit a report and recommendation for the consideration of the RC. The RC may set up a review panel to consider the case.
22. **Confirmation of Award**
- 22.1 The Research Committee shall confirm on behalf of the Senate the award of the degree of MPhil/PhD to a student who has satisfied all the requirements for the degree.
23. **Complaint on Problems encountered in the Supervision and/or Provision of Research Facilities**
- 23.1 Complaints of research students on problems encountered in the supervision and provision of research facilities shall be handled by the relevant DRC. The DRC should consider the complaint and formulate appropriate actions to resolve the problems. The DRC should then inform the student and RO of the actions taken. If the complaints are against the DRC, they should be handled by the relevant FRC/School Board. After resolving the problems, the FRC/School Board should inform the student and RO of the actions taken.
24. **Appeals**

- 24.1 Research students may appeal against a decision to deregister or against an examination result (including the examination result of a taught subject, a Guided-study subject and the thesis defence).
- 24.2 A student appealing against a decision shall pay a fee, applicable in the academic year. The fee shall be refunded if the appeal is upheld. He/She should provide the following information, together with other relevant documents, in support of the appeal:
- a copy of the receipt for the appeal fee
 - name in English and Chinese
 - student number
 - affiliated department
 - details and grounds of the appeal
 - supporting documents, as appropriate

Appeal against Decision of Deregistration

- 24.3 A research student can make an appeal against a decision to deregister him/her within one month of the date of notification of the result.
- 24.4 An appeal against deregistration should be sent to the relevant Faculty Office. The appeal shall be considered by the whole FRC/School Board, i.e., chairman's action is not allowed. Any member of the FRC/School Board who is a supervisor of the student cannot take part in the FRC/School Board discussion and decision on the case. The FRC/School Board is required to inform the student, in writing, of its decision within eight weeks of receipt of the appeal. A copy of the formal notification should be copied to RO for record.
- 24.5 If the appellant is dissatisfied with the FRC's/School Board's decision, he/she may appeal further in writing to the RC not later than one month (from the date of notification of the first appeal result) after receipt of the decision of the FRC/School Board. The Chairman of the RC shall determine whether there are prima facie grounds for a re-consideration of the FRC's/School Board's decision, and if so, shall refer it to the RC. The RC will consider the appeal and notify the student of the result within eight weeks of receipt of the appeal. Any member of the RC who is a supervisor of the student cannot take part in the RC discussion and decision on the case. If the RC Chairman considers that there are no grounds for the case, the appeal shall fail.

Appeal against Result of Thesis Examination

- 24.6 For an appeal against the result of the thesis examination, the student shall appeal directly to the RC by writing to the Secretary, RC. The RC will consider the appeal and notify the student of the result within eight weeks of receipt of the appeal. Any member of the RC who is a supervisor of the student cannot take part in the RC discussion and decision on the case.
- 24.7 If the appellant is not satisfied with the decision of the RC on his/her appeal, he/she may appeal against the RC's decision by submitting a second appeal to the Registrar no later than one month (from the date of notification of the first appeal result) after receipt of the decision of the RC. The Registrar shall refer the case to the Chairman of the Academic Appeals Committee (AAC), who shall determine whether there are prima facie grounds for a re-consideration of the RC's decision, and if so, shall refer it to the AAC. If the AAC Chairman considers that there are no grounds for the case, the appeal shall fail.

- 24.8 The Chairman of the AAC may invite the Chairman of the BoE and/or the Chairman of the RC to submit to the AAC, prior to the meeting, comments relevant to the case under discussion, and/or may invite either or both Chairmen to attend the meeting of the AAC at which the case is being considered.

Appeal against Examination Result of Coursework Subjects

- 24.9 For an appeal against the examination result of a coursework subject, the student should make his/her appeal in writing first to his/her Head of Department within seven working days upon the public announcement of the examination result. The Head of Department shall refer the appeal to the Head of Department offering the subject, as appropriate.
- 24.10 The subject offering Department shall inform the host Department of the appeal result as soon as possible to enable the host Department to convey the result of the appeal to the student within seven working days of receipt of the appeal.
- 24.11 If the appellant is dissatisfied with the decision, he/she may then appeal in writing to the Registrar no later than seven working days after receipt of his/her Department's reply.
- 24.12 The Registrar shall refer the case to the Chairman of the AAC, who shall determine whether there are prima facie grounds for a re-consideration of the decision of the SARP (DRC/SRC for Guided-study subjects). If so, the Registrar shall refer it to the AAC. If the AAC Chairman considers that there are no grounds, the appeal shall fail.
- 24.13 The Chairman of the relevant SARP/DRC/SRC may be invited by the AAC to submit, prior to the meeting, comments relevant to the case under discussion, and to attend the meeting of the AAC at which the case is being considered.

AAC Procedures

- 24.14 In all cases where any appeal is considered by the AAC, the following will apply:
- a. The appellant may be required to appear before the AAC.
 - b. The appellant shall have the right to appear before the AAC. He/She shall also have the right to be accompanied and/or to be represented by one other person if he/she so chooses.
 - c. The AAC may, acting under the powers delegated to it by the Senate and in the following circumstances, review a decision reached by the SARP/DRC/SRC/RC:
 - i. If a student requests such a review and establishes to the satisfaction of the AAC that his/her performance was adversely affected by illness or other factors which he/she was unable, or for valid reasons, unwilling to divulge before the SARP/DRC/SRC/RC reached its decision, and of which the SARP/DRC/SRC/RC was unaware. The request from the student must be supported by medical certificates or other documentary evidence;
 - ii. If the AAC is satisfied with the evidence produced by the student or any other person that there has been a material administrative error, or that the assessment has not been

conducted in accordance with the prevalent regulations of the University, or that other procedural irregularity has occurred.

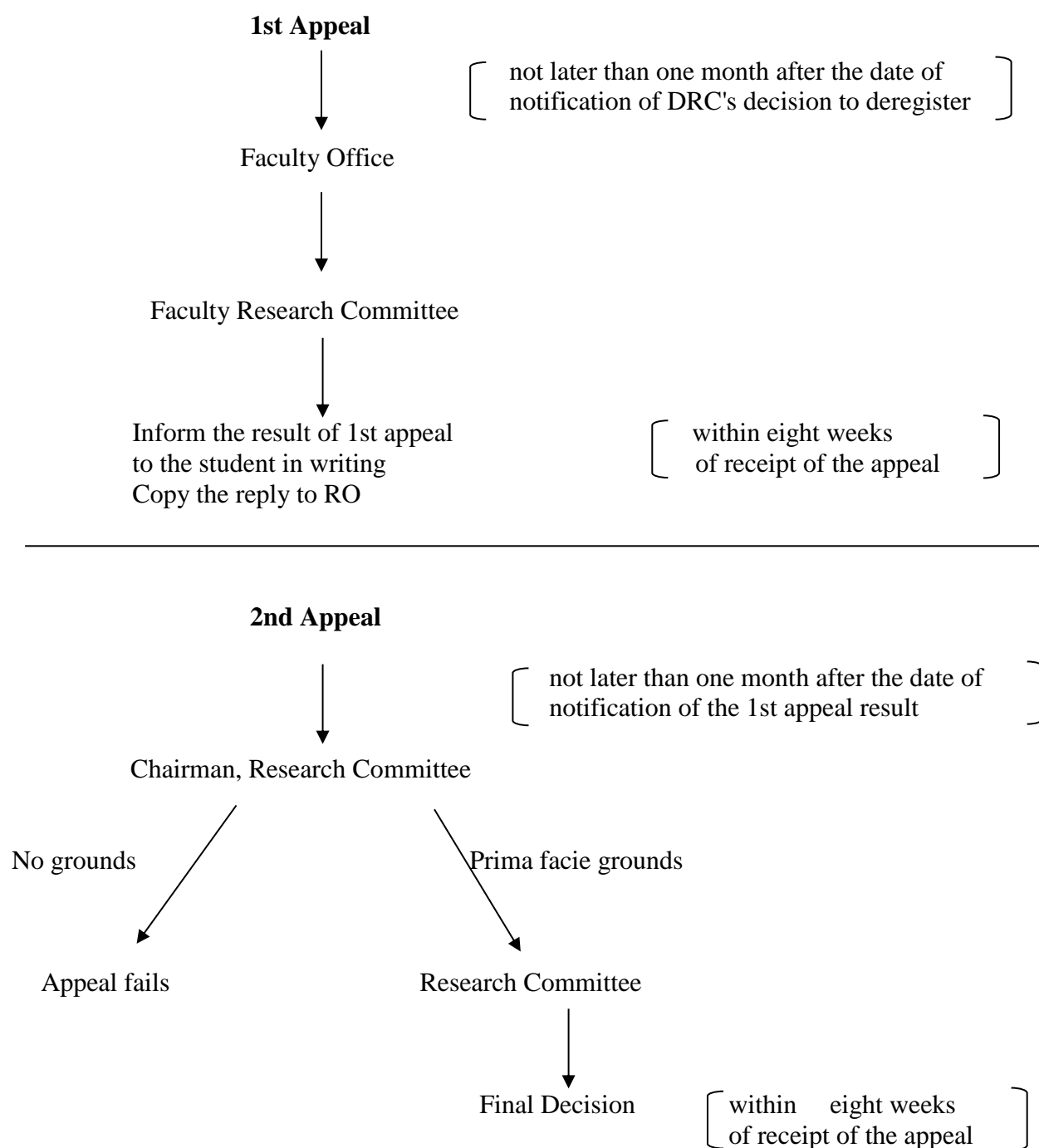
- d. The AAC may determine:
 - i. To annul the relevant decision of the SARP/DRC/SRC/RC and refer the case for decision back to SARP/DRC/SRC/RC. The subsequent decision of the SARP/DRC/SRC/RC will be referred to the Chairman of the AAC, who will decide the appropriate course of action;
 - ii. Exceptionally to annul the relevant decision of the SARP/DRC/SRC/RC and assign a revised result to the student concerned;
 - iii. To confirm the decision of the SARP/DRC/SRC/RC on any of the following grounds:
 - the evidence presented does not support the case;
 - the evidence presented would not have materially affected the decision of the SARP/DRC/SRC/RC;
 - any administrative/procedural irregularity identified would not have materially affected the decision of the SARP/DRC/SRC/RC;
 - iv. To ask the RC to re-consider the operation and wording of the University's academic regulations pertaining to research degree programmes;
 - v. By the authority delegated to it by the Senate, to make decisions on the student's progression or award outside the regulations of the University. The AAC shall report all these cases to the Senate for information; or
 - vi. To make such other decisions that fall within its terms of reference.

24.15 The decisions of the AAC shall be final within the University.

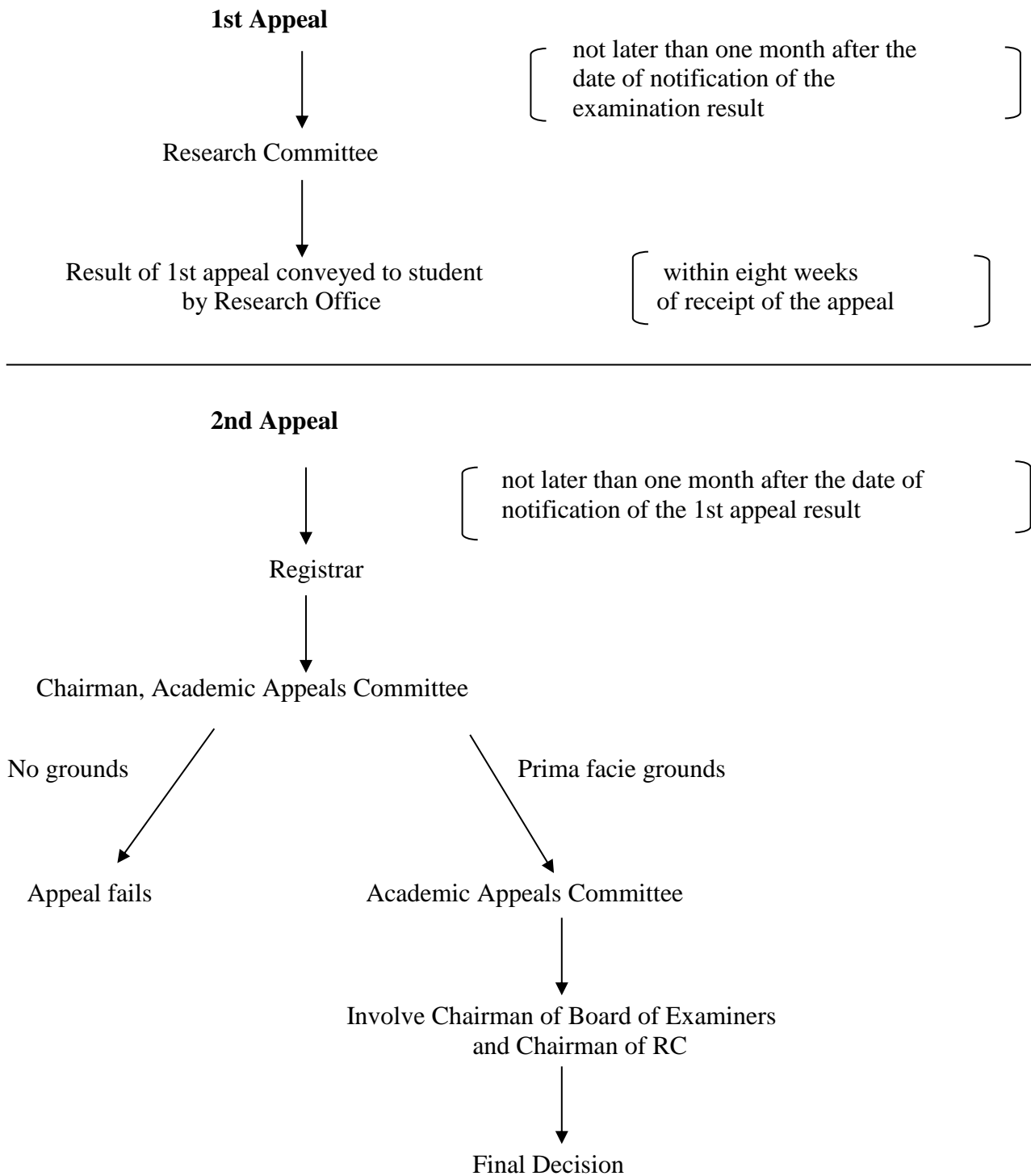
24.16 The procedures are outlined in the attached flow charts (Annexes A3.1, A3.2 and A3.3).

(August 2019)

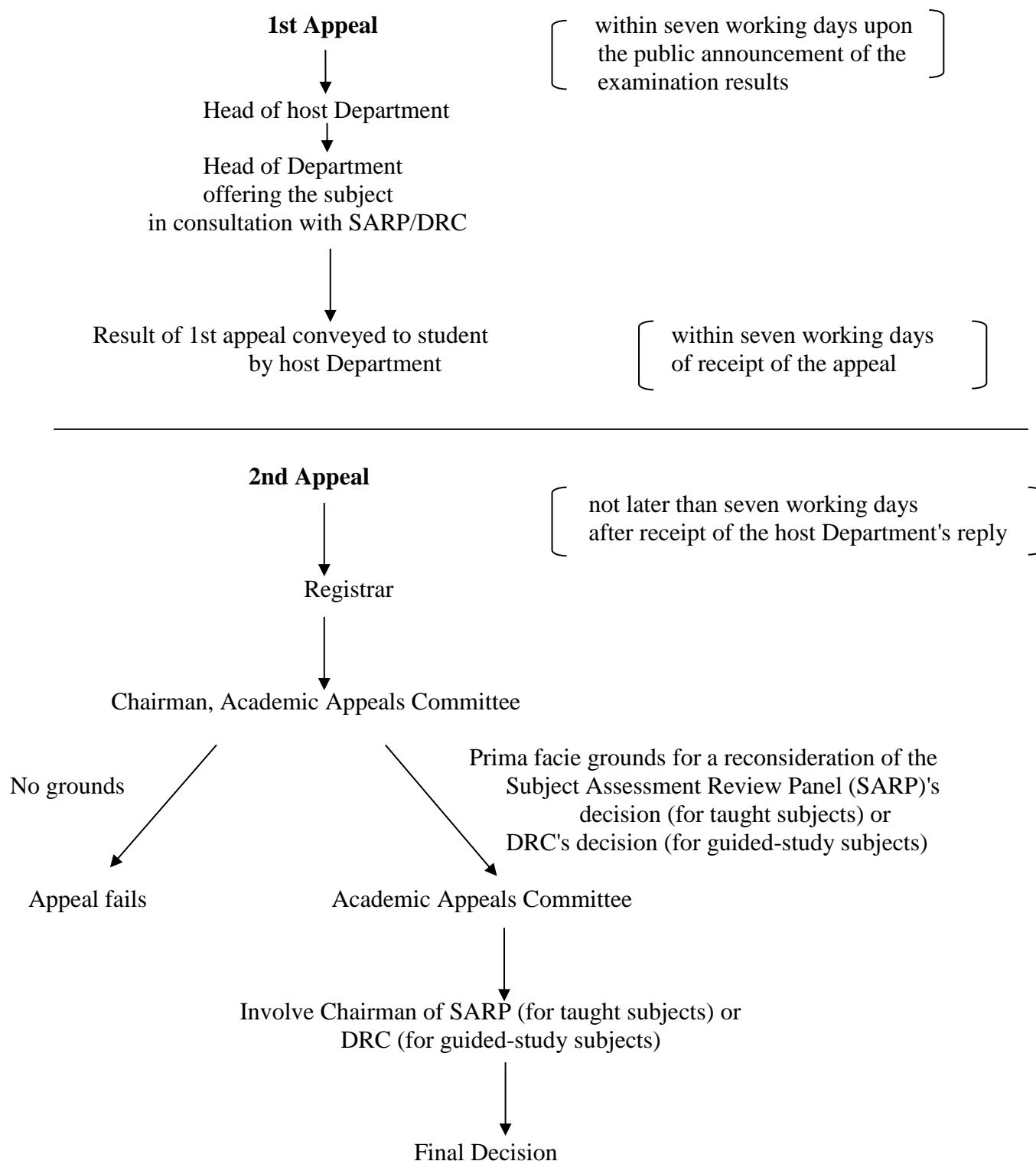
**Procedures for Appeals from Research Students Against Decisions of
De-registration**



Procedures for Appeals from Research Students Against the Result of the Thesis Examination



Procedures for Appeals from Research Students Against Examination Results of Individual Taught Subjects including Guided-study Subjects



THE HONG KONG POLYTECHNIC UNIVERSITY

Research Committee

**A FRAMEWORK FOR JOINT PHD PROGRAMMES LEADING
TO DUAL AWARDS
(APPLICABLE TO STUDENTS ADMITTED BEFORE 1 JULY 2014)**

Definition

1. The “Joint PhD Programme” refers to the joint offer of a PhD programme between PolyU and another institution of good standing. Upon satisfactory completion of study, the student will receive two award parchments issued each by PolyU and the partner institution. There will be a footnote printed on the PolyU award parchment stating that the programme is jointly run by PolyU and the partner institution. The partner institution is expected to do the same as far as practicable. As a student will receive two parchments, and in the light of different programme requirements imposed by the partner institution on the joint PhD programme, the student is required to satisfy the programme requirements of both PolyU and the partner institution.
2. This paper outlines the framework to be followed only by PolyU for offering a joint PhD programme and does not intend to describe how the partner institution should regulate the joint programme. There may be reciprocal arrangement in that PolyU students may be allowed to enrol in a joint PhD programme. The joint PhD programme is for students admitted under the category of “beyond the UGC 40% cap” (Note 1), so they do not require the UGC RPg quota.

Purpose

3. 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.
4. In view of the above, before entering a joint programme agreement with an institution, PolyU should consider if the above purposes are met. In choosing the collaborating institution, academic complementarity should also be taken into account.

Approval

5. The introduction of a joint PhD degree requires the approval of the Senate. Subsequently, decisions on the partner institution will be made by the Senate on a case-by-case basis, upon vetting and recommendation by the Research Committee (RC).
6. Partner institutions should be selected according to the criteria stated in (3) and (4) above and approved by the Faculty/School concerned, and an agreement will be signed between the Presidents of the two universities for each joint PhD programme before applications from students to study the joint PhD programme of the two universities are considered.

Student Admission

7. Admission of students to the joint PhD programme should be approved through the normal admission procedures. Students admitted should satisfy PolyU’s minimum entrance requirements and English proficiency requirement, if applicable. However, students of a joint PhD programme from a particular partner institution may be allowed up to the time of confirmation of registration to fulfill PolyU’s English proficiency requirement.

8. When applying for admission, the applicant must attach a research proposal and a study plan detailing the periods of study at PolyU and the partner institution. The research proposal and the study plan must be approved by both institutions.
9. Regardless of his/her physical location, the student's registration date will be the date s/he assumes study at either of the two institutions. To cater for the different normative period of study adopted in different institutions, the normal period of study of a particular joint PhD programme is taken as the longer between the normal period of PolyU and that of the partner institution.

Residence Requirement and Source of Funding

10. The student should fulfil PolyU's residence requirement (the required residence period is a minimum cumulative period of 12 months based at PolyU). During the student's stay in Hong Kong, he or she may receive a studentship or certain financial support from the host Department.

Fees, Financial Awards and Student Services

11. During the student's study in Hong Kong, he or she will be required to pay tuition for a six-month period every half-year. The departments concerned have the responsibility to inform both the Research Office (RO) and Finance Office the duration of stay of this group of students. If the period of stay in PolyU is less than six months, the unused portion of the fee paid will be used for subsequent stay in PolyU. A student will be required to pay the sum of the tuition fee in proportion to the exact duration of stay in PolyU, rounding up to one month.
12. The student will also be required to pay other relevant fees, for example, an examination fee should be paid upon thesis submission. Students failing to submit their thesis to RO by the end of the normal period of study and are continuing their study in Hong Kong must pay a continuation fee for a six-month period every half-year, until submission of thesis. If a student is able to submit his/her thesis to RO within any six-month period for which they have paid the tuition/continuation fee, any unused whole-month portion of the fee will be refunded in cash, after offsetting the examination fee.
13. Students financed by external funds are not eligible to apply for postgraduate studentships, research tuition scholarships and conference grants provided by UGC/RGC funds to ensure there is no cross subsidy advocated by the UGC (see note 1 below).
14. Students in the joint PhD programme will be treated the same as regular research students in terms of student support services provided by the University. A student identity card will be issued upon first arrival in Hong Kong.

Regulation and Academic Requirement

15. Students should observe PolyU's regulations and guidelines at all times.
16. Students should fulfil the normal coursework requirement of 15 credits (students of the Faculty of Business should earn 19 credits), which can be taken at either PolyU or the partner institution. Students also need to apply for confirmation of registration, subject to a formal assessment, preferably during the first half of their normal period of study. However, as different students (from different partner institutions) may propose different periods of stay at PolyU, the confirmation of registration should be treated flexibly. They also need to submit a progress report as required by PolyU by the stipulated date. By the end of the maximum study period, students must submit a thesis to RO for assessment. The maximum period of study is taken as the longer between the maximum period of study of PolyU and that of the partner institution.

Supervision

17. A supervisor will be appointed from each of the institutions to supervise the student throughout his/her PhD study. The Chief Supervisor of the partner institution shall be considered as a Co-supervisor of the PhD

student when the registration takes effect at PolyU. The PolyU Chief Supervisor is expected to travel to the partner institution on a regular basis to provide adequate supervision.

18. The Faculty Research Committee/School Board will approve the membership of PolyU's supervision team, if applicable.
19. The supervisors of both institutions should, among other things:
 - Monitor the student's study progress
 - Assess the assessment report submitted for confirmation of registration and the annual progress reports
 - Make recommendations concerning the student's suitability to continue the PhD study

Medium of Thesis Presentation and Thesis Assessment

20. In view of the fact that a PolyU PhD degree will be awarded, the thesis assessment should follow PolyU's regulations closely, despite that the student needs to submit a thesis that also needs to fulfil the assessment requirements of the partner institution. The normal medium of thesis presentation and oral defence is English.
21. A Board of Examiners (BoE) shall be formed to assess the thesis and conduct the oral examination. The panel should comprise:
 - BoE Chair (from PolyU)
 - One internal examiner (PolyU Chief Supervisor)
 - Two external examiners (appointed from institutions other than the two institutions concerned). At least one of the two examiners shall preferably be a local – a subject expert who is based in Hong Kong.
 - The Chief Supervisor of the partner institution may attend the oral examination as a member of the BoE. In case voting is necessary, the supervisory team may cast one vote only.
22. The BoE Chair is responsible for chairing the oral examination. He/she shall also be a gatekeeper ensuring the presentation quality of the thesis before it is sent out for external assessment.

De-registration

23. If a student is de-registered by the partner institution for a specific reason, his registration for the joint programme lapses automatically. However, the RC will consider the case and decide on an individual basis if the student can be registered as a "normal" PolyU RPg student, to be governed by the "normal" PolyU's Regulations and Administrative Procedures for PhD Studies.

Intellectual Property Rights

24. The intellectual property rights of the patent are equally shared by the two institutions. Each party may use such property for research and scholarly purposes. The intellectual property generated from the student's research should be jointly owned by the two institutions and the associated costs shared equally. Either party can use the intellectual property for any research and scholarly purposes. Either party can use the intellectual property for commercial purposes ("Commercialisation Party") provided that it must inform and agree with the other party before any agreement is signed with other third party/parties. The Commercialisation Party is allowed to deduct 15% of the income and benefits generated to cover the commercialisation costs and then share the remaining portion on equal basis with the other party. Any special arrangements with patent protection that is outside the above scope shall be administered in accordance with the policy on Management of Intellectual Property (see note 2 below). The order of authorship should be mutually agreed by both supervisors of the partner institution and PolyU. Where ever possible, the partner institution and PolyU should take turns to claim first institutional authorship of the research papers from each joint PhD programme.
25. Students should abide by the University's intellectual property policy.

Exemption from the Guidelines

26. Requests for exemption from any of the guidelines given above or requests for inclusion of additional requirements should be forwarded to the RC for consideration to accommodate different circumstances that may arise from signing agreements with different partner institutions.
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Note:

1. According to the UGC, “Institutions may enrol additional students beyond the 40% cap if the additional full direct costs incurred (defined as all direct marginal costs incurred arising from the enrolment of the additional student(s), including studentships, and additional costs for student supervision) are met from non-UGC/RGC funds, including higher tuition fees”.
2. Policy on Management of Intellectual Property:
 - (a) Both parties shall agree if patent application is to be lodged with relevant authority. The party that is more convenient to lodge such application shall do so on behalf of both parties. The patent application shall be under the joint name of both parties and all expense shall be equally shared by both parties.
 - (b) If one party chooses not to proceed with patent application in one particular jurisdiction (“Declining Party”) and the other party agrees to assume all costs involved (“Accepting Party”), then the rights of the Declining Party shall be reduced to 25% and the rights of the Accepting Party shall be increased to 75% in that jurisdiction only. The rights of the Declining Party in the other jurisdiction that it has shared costs shall remain the same.
 - (c) If both parties decline to file patent protection and allow the researchers to personally bear the costs for such patent application, then the share of commercial benefits shall be 34% to both parties, 66% to the researchers. Both institutions shall equally share the 34% portion of the commercial benefits generated. Each party shall share its portion of the benefit with its own researchers only in accordance with its corporate policy.

(Updated in February 2013)

THE HONG KONG POLYTECHNIC UNIVERSITY

Research Committee

**A FRAMEWORK FOR JOINT PHD PROGRAMMES LEADING
TO DUAL AWARDS
(APPLICABLE TO STUDENTS ADMITTED BETWEEN 1 JULY 2014 AND 30
JUNE 2017)**

Definition

1. The “Joint PhD Programme” refers to the joint offer of a PhD programme between PolyU and another institution of good standing. Upon satisfactory completion of study, the student will receive two award parchments issued each by PolyU and the partner institution. There will be a footnote printed on the PolyU award parchment stating that the programme is jointly run by PolyU and the partner institution. The partner institution is expected to do the same as far as practicable. As a student will receive two parchments, and in the light of different programme requirements imposed by the partner institution on the joint PhD programme, the student is required to satisfy the programme requirements of both PolyU and the partner institution.
2. This paper outlines the framework to be followed only by PolyU for offering a joint PhD programme and does not intend to describe how the partner institution should regulate the joint programme. There may be reciprocal arrangement in that PolyU students may be allowed to enrol in a joint PhD programme. The joint PhD programme is for students admitted under the category of “beyond the UGC 40% cap” (Note 1), so they do not require the UGC RPg quota.

Purpose

3. 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.
4. In view of the above, before entering a joint programme agreement with an institution, PolyU should consider if the above purposes are met. In choosing the collaborating institution, academic complementarity should also be taken into account.

Approval

5. The introduction of a joint PhD degree requires the approval of the Senate. Subsequently, decisions on the partner institution will be made by the Senate on a case-by-case basis, upon vetting and recommendation by the Research Committee (RC). An agreement between PolyU and the partner institution must be signed within 36 months of approval granted by Senate. Failing this, approval will be invalidated automatically.
6. Partner institutions should be selected according to the criteria stated in (3) and (4) above and approved by the Faculty/School concerned, and an agreement will be signed between the Presidents of the two universities for each joint PhD programme before applications from students to study the joint PhD programme of the two universities are considered.

Student Admission

For Incoming Students

7. Admission of students to the joint PhD programme should be approved through the normal admission procedures. Students admitted should satisfy PolyU’s minimum entrance requirements and English proficiency requirement, if applicable. However, students of a joint PhD programme from a particular partner

institution may be allowed up to the time of confirmation of registration to fulfill PolyU's English proficiency requirement.

8. When applying for admission, the applicant must attach a research proposal and a study plan detailing the periods of study at PolyU and the partner institution. The research proposal and the study plan must be approved by both institutions.

For Outgoing Students

9. Students of any disciplines are eligible for application.

10. Stage of Study

Normally, all full-time PhD students within the first half of the normal study period can apply. However, different partner institutions may stipulate different requirements on the remaining time of the normal study period. These institution-specific requirements will be stated in the call for applications.

11. Language Requirement

Students must have already completed the Research Language Skills Assessment and passed at least one-third of the language enhancement subjects required.

Students must also have satisfied the language requirement imposed by the partner institution.

12. Coursework Requirement

Students must have already completed at least one-third of the coursework requirement in PolyU.

Normal Study Period

13. Regardless of his/her physical location, the student's registration date will be the date s/he assumes study at either of the two institutions. To cater for the different normative period of study adopted in different institutions, the normal period of study of a particular joint PhD programme is taken as the longer between the normal period of PolyU and that of the partner institution.

Residence Requirement and Source of Funding

14. Incoming students shall spend no less than 18 months (in blocks of at least 6 months) in PolyU. During the student's stay in Hong Kong, he or she may receive a studentship or certain financial support from the host Department.
15. Outgoing students shall spend no less than 12 months (in blocks of at least 6 months) at the partner institution. The research and study activities will be carried out at both PolyU and the partner institution. During the student's stay in the partner institution, he or she will not receive studentship from PolyU.

Fees, Financial Awards and Student Services

For Incoming Students

16. Students are normally required to pay tuition to PolyU while based at PolyU. During the student's study in Hong Kong, he or she will be required to pay tuition for a six-month period every half-year. The departments concerned have the responsibility to inform both the Research Office (RO) and Finance Office the duration of stay of this group of students. If the period of stay in PolyU is less than six months, the unused portion of the fee paid will be used for subsequent stay in PolyU. A student will be required to pay the sum of the tuition fee in proportion to the exact duration of stay in PolyU, rounding up to one month.
17. The student will also be required to pay other relevant fees, for example, an examination fee should be paid upon thesis submission. Students failing to submit their thesis to RO by the end of the normal period of

study and are continuing their study in Hong Kong must pay a continuation fee for a six-month period every half-year, until submission of thesis. If a student is able to submit his/her thesis to RO within any six-month period for which they have paid the tuition/continuation fee, any unused whole-month portion of the fee will be refunded in cash, after offsetting the examination fee.

18. Students of the joint PhD programmes are not eligible to apply for postgraduate studentships, research tuition scholarships and conference grants provided by UGC/RGC funds to ensure there is no cross subsidy advocated by the UGC (see note 1 below).
19. Students in the joint PhD programme will be treated the same as regular research students in terms of student support services provided by the University. A student identity card will be issued upon first arrival in Hong Kong.

For Outgoing Students

20. Students will normally be required to pay the tuition fees to PolyU during their studies at the partner institution, unless it is stated otherwise in the partnership agreement.
21. Students will not be allowed to use Associated Money provided by PolyU during their studies at the partner institution.
22. Subject to the approval of the D/SRC, students may use Conference Grant provided by PolyU during their studies at the partner institution on condition that they must adhere to the prevailing regulations governing the use of Conference Grant.
23. Students will be provided financial support as follows:
 - a. Irrespective of the number of trips to be taken, travel expenses will be supported based on the actual amount spent on going to and returning from the partner institution once only and will be capped at HK\$10,000.
 - b. A monthly allowance of HK\$5,000, capped at HK\$30,000; and
 - c. Financial support on medical coverage and/or settlement arrangements.
24. Accommodation, health insurance and visa will be arranged by individual students.

Regulation and Academic Requirement

25. Students are required to complete one single piece of research to fulfil the award requirements of both universities and should observe the regulations and guidelines of both universities at all times.
26. Students should fulfil the normal coursework requirement detailed below, which can be taken at either PolyU or the partner institution:

	Coursework requirement *	Details
PhD with Master entry	15 credits	1 credit from HTI6081 + 3 credits from attending seminars + 2 credits from Practicum + 9 credits from other subjects (no more than 6 credits from Guided-study subjects)
PhD with Bachelor entry	22 credits	1 credit from HTI6081 + 4 credits from attending seminars + 2 credits from Practicum + 15 credits

		from other subjects (no more than 9 credits from Guided-study subjects)
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Note:

* *This is the coursework requirement of PolyU. The coursework requirements of individual programmes may be different from the University requirements.*

27. Incoming students are required to submit a study plan within the first 6 months of study to both universities.
28. Incoming students also need to apply for confirmation of registration, subject to a formal assessment, preferably during the first half of their normal period of study. Application for extension of confirmation of registration would only be considered on medical grounds. However, as different students (from different partner institutions) may propose different periods of stay at PolyU, the confirmation of registration would be treated with higher flexibility. However, the students' intention must indicate clearly in the study plan on when they plan to apply for confirmation of registration. They also need to submit a progress report as required by PolyU by the stipulated date. By the end of the maximum study period, students must submit a thesis to RO for assessment. The maximum period of study is taken as the longer between the maximum period of study of PolyU and that of the partner institution.

Supervision

29. A supervisor will be appointed from each of the institutions to supervise the student throughout his/her PhD study. The Chief Supervisor of the partner institution shall be considered as a Co-supervisor of the PhD student when the registration takes effect at PolyU. The PolyU Chief Supervisor is expected to travel to the partner institution on a regular basis to provide adequate supervision.
30. The Faculty Research Committee/School Board will approve the membership of PolyU's supervision team, if applicable.
31. The supervisors of both institutions should, among other things:
 - Monitor the student's study progress
 - Assess the assessment report submitted for confirmation of registration and the annual progress reports
 - Make recommendations concerning the student's suitability to continue the PhD study

Medium of Thesis Presentation and Thesis Assessment

32. A student should only be allowed to submit his/her thesis for assessment with the approval of the supervisors of both institutions.
33. It is preferable to set up one oral examination to assess the student's thesis. If two oral examinations are to be set up, the Chief Supervisors from both universities should be present at both oral examinations. This requirement should also be applied to other interim assessments/examinations to be conducted during the study of the student as far as possible. The means of presence of the Chief Supervisors should be governed by the regulation of the university in which the examination is to be held.
34. In view of the fact that a PolyU PhD degree will be awarded, the thesis assessment should follow PolyU's regulations closely, despite that the student needs to submit a thesis that also needs to fulfil the assessment requirements of the partner institution. The normal medium of thesis presentation and oral defence in PolyU is English.
35. In PolyU, a Board of Examiners (BoE) shall be formed to assess the thesis and conduct the oral examination. The panel should comprise:

- BoE Chair (from PolyU)
 - Two external examiners (appointed from institutions other than the two institutions concerned).
 - The Chief Supervisors of both universities are required to attend the oral examination as non-voting members of the BoE. The PolyU supervisor should be present in person whereas the supervisor from the partner institution may do so either in person or through video facilities (e.g. skype).
 - Other members of the supervisory team may also attend the oral examination as observers.
36. The BoE Chair is responsible for chairing the oral examination. He/she shall also be a gatekeeper ensuring the presentation quality of the thesis before it is sent out for external assessment. The BoE Chair has no voting right.

De-registration

37. If a student is de-registered by or withdraws from either partner institutions for a specific reason, his/her registration for the joint programme lapses automatically. The student's application for re-admission to either institution should only be considered after one year from the de-registration/withdrawal.

Intellectual Property Rights

38. The intellectual property generated from the student's research should be jointly owned by the two institutions and the associated costs shared equally. Either party can use the intellectual property for any research and scholarly purposes. Either party can use the intellectual property for commercial purposes ("Commercialisation Party") provided that it must inform and agree with the other party before any agreement is signed with other third party/parties. The Commercialisation Party is allowed to deduct 15% of the income and benefits generated to cover the commercialisation costs and then share the remaining portion on equal basis with the other party. Any special arrangements with patent protection that is outside the above scope shall be administered in accordance with the policy on Management of Intellectual Property (see note 2 below).
39. The order of authorship should be mutually agreed by both supervisors of the partner institution and PolyU. Where ever possible, the partner institution and PolyU should take turns to claim first institutional authorship of the research papers from each joint PhD programme.
40. Students should abide by the University's intellectual property policy.

Exemption from the Guidelines

41. Requests for exemption from any of the guidelines given above or requests for inclusion of additional requirements should be forwarded to the RC for consideration to accommodate different circumstances that may arise from signing agreements with different partner institutions.

Note:

1. According to the UGC, "Institutions may enrol additional students beyond the 40% cap if the additional full direct costs incurred (defined as all direct marginal costs incurred arising from the enrolment of the additional student(s), including studentships, and additional costs for student supervision) are met from non-UGC/RGC funds, including higher tuition fees".
2. Policy on Management of Intellectual Property:

- (a) Both parties shall agree if patent application is to be lodged with relevant authority. The party that is more convenient to lodge such application shall do so on behalf of both parties. The patent application shall be under the joint name of both parties and all expense shall be equally shared by both parties.
- (b) If one party chooses not to proceed with patent application in one particular jurisdiction (“Declining Party”) and the other party agrees to assume all costs involved (“Accepting Party”), then the rights of the Declining Party shall be reduced to 25% and the rights of the Accepting Party shall be increased to 75% in that jurisdiction only. The rights of the Declining Party in the other jurisdiction that it has shared costs shall remain the same.
- (c) If both parties decline to file patent protection and allow the researchers to personally bear the costs for such patent application, then the share of commercial benefits shall be 34% to both parties, 66% to the researchers. Both institutions shall equally share the 34% portion of the commercial benefits generated. Each party shall share its portion of the benefit with its own researchers only in accordance with its corporate policy.

(Updated in March 2017)

THE HONG KONG POLYTECHNIC UNIVERSITY

Research Committee

**A FRAMEWORK FOR JOINT PHD PROGRAMMES LEADING
TO DUAL AWARDS (APPLICABLE TO STUDENTS ADMITTED FROM
2018/19 COHORT ONWARDS)**

Definition

1. The “Joint PhD Programme” refers to the joint offer of a PhD programme between PolyU and another institution of good standing. Upon satisfactory completion of study, the student will receive two award parchments issued each by PolyU and the partner institution. There will be a footnote printed on the PolyU award parchment stating that the programme is jointly run by PolyU and the partner institution. The partner institution is expected to do the same as far as practicable. As a student will receive two parchments, and in the light of different programme requirements imposed by the partner institution on the joint PhD programme, the student is required to satisfy the programme requirements of both PolyU and the partner institution.
2. This paper outlines the framework to be followed only by PolyU for offering a joint PhD programme and does not intend to describe how the partner institution should regulate the joint programme. There may be reciprocal arrangement in that PolyU students may be allowed to enrol in a joint PhD programme. The joint PhD programme is for students admitted under the category of “beyond the UGC 40% cap” (Note 1), so they do not require the UGC RPg quota.

Purpose

3. 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.
4. In view of the above, before entering a joint programme agreement with an institution, PolyU should consider if the above purposes are met. In choosing the collaborating institution, academic complementarity should also be taken into account.

Approval

5. The introduction of a joint PhD degree requires the approval of the Senate. Subsequently, decisions on the partner institution will be made by the Senate on a case-by-case basis, upon vetting and recommendation by the Research Committee (RC). An agreement between PolyU and the partner institution must be signed within 36 months of approval granted by Senate. Failing this, approval will be invalidated automatically.
6. Partner institutions should be selected according to the criteria stated in (3) and (4) above and approved by the Faculty/School concerned, and an agreement will be signed between the Presidents of the two institutions for each joint PhD programme before applications from students to study the joint PhD programme of the two institutions are considered.

Student Admission

For Incoming Students

7. Admission of students to the joint PhD programme should be approved through the normal admission procedures. Students admitted should satisfy PolyU's minimum entrance requirements and English proficiency requirement, if applicable. However, students of a joint PhD programme from a particular partner institution may be allowed up to the time of confirmation of registration to fulfill PolyU's English proficiency requirement.
8. When applying for admission, the applicant must attach a research proposal and a study plan detailing the periods of study at PolyU and the partner institution. The research proposal and the study plan must be approved by both institutions.

For Outgoing Students

9. Students of any disciplines are eligible for application.
10. Stage of Study

Normally, all full-time PhD students within the first half of the normal study period can apply. However, different partner institutions may stipulate different requirements on the remaining time of the normal study period. These institution-specific requirements will be stated in the call for applications.

11. Language Requirement

Before thesis submission, students are required to take and pass two English enhancement subjects, namely ELC6001 "Presentation Skills for Research Students" and ELC6002 "Thesis Writing for Research Students". For exemption, RPg students need to pass the Research Language Skills Assessment (RLSA)*

Students must also have satisfied the language requirement imposed by the partner institution.

Note:

** With strong justification, the Chief Supervisor could recommend, for Vice President (Research Development)'s special consideration, his/her RPg student for exemption without sitting the Research Language Skills Assessment (RLSA). The Vice President (Research Development)'s decision will be final and not subject to appeal.*

12. Coursework Requirement

Students must have already completed at least one-third of the coursework requirement in PolyU.

Normal and Maximum Study Period

13. Starting from the 2018/19 academic year, the duration of normal and maximum study period in PolyU will be counted from the date the student registers at PolyU.

For students whose entry qualification is a Master's degree with a significant research component, their normal study period will be 3 years and their maximum study period will be 5 years in PolyU. For students without a Master's degree with a significant research component at the time of admission, their normal study period will be 4 years and their maximum study period will be 6 years in PolyU.

Residence Requirement and Source of Funding

14. Incoming students shall spend at least 3 consecutive semesters including 1 summer term in PolyU to complete the required coursework and the research work. During the student's stay in Hong Kong, he or she may receive a studentship or certain financial support from the host Department.
15. Outgoing students shall spend at least 2 consecutive semesters (including 1 summer term, if applicable) at the partner institution. The research and study activities will be carried out at both PolyU and the partner institution. During the student's stay in the partner institution, he or she will not receive studentship from PolyU.

Fees, Financial Awards and Student Services

For Incoming Students

16. Students are normally required to pay tuition fee to PolyU while based at PolyU. During the student's study in Hong Kong, he or she will be required to pay tuition for every semester. The tuition fee must be paid at the start of each semester during the normal period of study and is non-refundable. The departments concerned have the responsibility to inform both the Research Office (RO) and Finance Office the duration of stay of this group of students.
17. The student will also be required to pay other relevant fees, for example, an examination fee should be paid upon thesis submission. Students failing to submit their thesis to the DRC by the end of the normal study period will be required to pay a continuation fee on a semester/term basis (at the commencement of Semester 1, Semester 2 and Summer Term) until submission of thesis. Continuation fee paid is non-refundable.
18. Students of the joint PhD programmes are not eligible to apply for postgraduate studentships, research tuition scholarships and conference grants provided by UGC/RGC funds to ensure there is no cross subsidy advocated by the UGC (see note 1 below).
19. Students in the joint PhD programme will be treated the same as regular research students in terms of student support services provided by the University. A student identity card will be issued upon first arrival in Hong Kong.

For Outgoing Students

20. Students will normally be required to pay the tuition fees to PolyU during their studies at the partner institution, unless it is stated otherwise in the partnership agreement.
21. Students will not be allowed to use Associated Money provided by PolyU during their studies at the partner institution.
22. Subject to the approval of the D/SRC, students may use Conference Grant provided by PolyU during their studies at the partner institution on condition that they must adhere to the prevailing regulations governing the use of Conference Grant.
23. Students will be provided financial support as follows:
 - a) Irrespective of the number of trips to be taken, travel expenses will be supported based on the actual amount spent on going to and returning from the partner institution once only and will be capped at HK\$10,000.
 - b) A monthly allowance of HK\$5,000, capped at HK\$30,000; and
 - c) Financial support on medical coverage and/or settlement arrangements.
24. Accommodation, health insurance and visa will be arranged by individual students.

Regulation and Academic Requirement

25. Students are required to complete one single piece of research to fulfil the award requirements of both universities and should observe the regulations and guidelines of both universities at all times.
26. Students should fulfil the normal coursework requirement detailed below, which can be taken at either PolyU or the partner institution:

	Coursework requirement *	Details
PhD with Master entry	15 credits	1 credit from HTI6081 + 3 credits from attending seminars + 2 credits from Practicum + 9 credits from other subjects (no more than 6 credits from Guided-study subjects)
PhD with Bachelor entry	22 credits	1 credit from HTI6081 + 4 credits from attending seminars + 2 credits from Practicum + 15 credits from other subjects (no more than 9 credits from Guided-study subjects)

Note:

This is the University coursework requirement. The coursework requirements of individual programmes may be different from the University requirements.

The normal deadline for confirmation of registration for a 3-year/4-year full-time joint PhD student is at the end of the first 3/first 4 semesters of his/her normal study period.

27. Incoming students are required to submit a detailed study plan within the first 6 months of study to both universities.
28. Incoming students also need to apply for confirmation of registration, subject to a formal assessment, preferably during the first half of their normal period of study. Application for extension of confirmation of registration would only be considered on medical grounds. By the end of the maximum study period, students must submit a thesis to RO for assessment.

Supervision

29. A supervisor will be appointed from each of the institutions to supervise the student throughout his/her PhD study. The Chief Supervisor of the partner institution shall be considered as a Co- supervisor of the PhD student when the registration takes effect at PolyU. The PolyU Chief Supervisor is expected to travel to the partner institution on a regular basis to provide adequate supervision.
30. The Faculty Research Committee/School Board will approve the membership of PolyU's supervision team, if applicable.
31. The supervisors of both institutions should, among other things:
 - Monitor the student's study progress
 - Assess the assessment report submitted for confirmation of registration and the annual progress reports
 - Make recommendations concerning the student's suitability to continue the PhD study

Medium of Thesis Presentation and Thesis Assessment

32. A student should only be allowed to submit his/her thesis for assessment with the approval of the supervisors of both institutions.
33. It is preferable to set up one oral examination to assess the student's thesis. If two oral examinations are to be set up, the Chief Supervisors from both universities should be present at both oral examinations. This requirement should also be applied to other interim assessments/examinations to be conducted during the study of the student as far as possible. The means of presence of the Chief Supervisors should be governed by the regulation of the university in which the examination is to be held.
34. In view of the fact that a PolyU PhD degree will be awarded, the thesis assessment should follow PolyU's regulations closely, despite that the student needs to submit a thesis that also needs to fulfil the assessment requirements of the partner institution. The normal medium of thesis presentation and oral defence in PolyU is English.
35. In PolyU, a Board of Examiners (BoE) shall be formed to assess the thesis and conduct the oral examination. The panel should comprise:
 - BoE Chair (from PolyU)
 - Two external examiners (appointed from institutions other than the two institutions concerned).
 - The Chief Supervisors of both universities are required to attend the oral examination as non-voting members of the BoE. The PolyU supervisor should be present in person whereas the supervisor from the partner institution may do so either in person or through video facilities (e.g. skype).
 - Other members of the supervisory team may also attend the oral examination as observers.
36. The BoE Chair is responsible for chairing the oral examination. He/she shall also be a gatekeeper ensuring the presentation quality of the thesis before it is sent out for external assessment. The BoE Chair has no voting right.

De-registration

37. If a student is de-registered by or withdraws from either partner institutions for a specific reason, his registration for the joint programme lapses automatically. The student's application for re-admission to either institution should only be considered after one year from the de-registration/withdrawal.

Intellectual Property Rights

38. The intellectual property generated from the student's research should be jointly owned by the two institutions and the associated costs shared equally. Either party can use the intellectual property for any research and scholarly purposes. Either party can use the intellectual property for commercial purposes ("Commercialisation Party") provided that it must inform and agree with the other party before any agreement is signed with other third party/parties. The Commercialisation Party is allowed to deduct 15% of the income and benefits generated to cover the commercialisation costs and then share the remaining portion on equal basis with the other party. Any special arrangements with patent protection that is outside the above scope shall be administered in accordance with the policy on Management of Intellectual Property (see note 2 below).
39. The order of authorship should be mutually agreed by both supervisors of the partner institution and PolyU. Where ever possible, the partner institution and PolyU should take turns to claim first institutional authorship of the research papers from each joint PhD programme.

40. Students should abide by the University's intellectual property policy.

Exemption from the Guidelines

41. Requests for exemption from any of the guidelines given above or requests for inclusion of additional requirements should be forwarded to the RC for consideration to accommodate different circumstances that may arise from signing agreements with different partner institutions.

Note:

1. According to the UGC, "Institutions may enrol additional students beyond the 40% cap if the additional full direct costs incurred (defined as all direct marginal costs incurred arising from the enrolment of the additional student(s), including studentships, and additional costs for student supervision) are met from non-UGC/RGC funds, including higher tuition fees".
2. Policy on Management of Intellectual Property:
 - a) Both parties shall agree if patent application is to be lodged with relevant authority. The party that is more convenient to lodge such application shall do so on behalf of both parties. The patent application shall be under the joint name of both parties and all expense shall be equally shared by both parties.
 - b) If one party chooses not to proceed with patent application in one particular jurisdiction ("Declining Party") and the other party agrees to assume all costs involved ("Accepting Party"), then the rights of the Declining Party shall be reduced to 25% and the rights of the Accepting Party shall be increased to 75% in that jurisdiction only. The rights of the Declining Party in the other jurisdiction that it has shared costs shall remain the same.
 - c) If both parties decline to file patent protection and allow the researchers to personally bear the costs for such patent application, then the share of commercial benefits shall be 34% to both parties, 66% to the researchers. Both institutions shall equally share the 34% portion of the commercial benefits generated. Each party shall share its portion of the benefit with its own researchers only in accordance with its corporate policy.

(Updated in November 2018)

REGULATIONS FOR THE JOINT DOCTOR OF PHILOSOPHY PROGRAMMES LEADING TO DUAL AWARDS (APPLICABLE TO STUDENTS ADMITTED BEFORE 1 JULY 2014)

Preamble

The “Joint Doctor of Philosophy (PhD) Programme” refers to the joint offer of a PhD programme between The Hong Kong Polytechnic University (PolyU) and another institution of good standing. Upon satisfactory completion of study, the student will receive a PhD award jointly granted by PolyU and the Partner Institution. Two award parchments will be issued; one by PolyU and the other by the Partner Institution.

definition

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.

purpose

The programme of research is designed in such a way to enable the student to acquire competence in research methods and scholarship and to display sustained independent effort and independent original thought.

*design of the
programme*

The degree of PhD shall be awarded to a student who, on completion of an approved programme of study and research, presents a thesis embodying the results of his/her research and satisfies the examiners in an oral examination (and other examinations if required) in matters relevant to the subject of the thesis.

successful PhD

Students are required to satisfactorily investigate or evaluate a chosen area, to show understanding of the context and significance of the work, and to present a clear, complete thesis of a quality worthy of publication.*

Students are expected in addition to produce evidence and argument to support an original proposition that results in a significant contribution to knowledge.

Approval may be given for a thesis to be accompanied by materials other than in the written form.

*presentation of
other material*

The thesis shall be presented in English. Permission must be sought, normally at the point of admission, if another language, which is considered more appropriate to the subject, is to be used in the presentation of the thesis.

language of thesis

R1 Admission Requirements

R1.1 To register for the degree of PhD, a student shall normally hold a postgraduate degree containing a significant research component, such as a dissertation, conferred by PolyU or a recognised university.

*minimum entrance
requirements*

R1.2 In exceptional circumstances students other than those stipulated in R1.1 may be permitted to register. For example, students with a Bachelor’s degree with First Class Honours, or the equivalent, may be admitted directly to the PhD programme. Such students may be required to pass an examination.

*waiver of entrance
requirements*

R1.3 Applicants who have not obtained a degree of which the language of instruction was English from a recognised university are normally required to obtain a score of 6.0 or above in IELTS (International English Language Testing System); a TOEFL (Test of English as a

*language
requirements*

* Publication is broadly defined to include all forms of dissemination of the research findings, subject to peer endorsement or public recognition, in the public domain.

Foreign Language) score of 550 or above, a computer-based TOEFL (after 1998) score of 213 or above, or an internet-based TOEFL score of 79 or above before confirmation of registration. All English language test scores are considered valid for five years after the date of the test. Consideration will be given to acceptable scores obtained in other internationally recognised public examinations, such as GRE (Graduate Record Examination) or GMAT (Graduate Management Admission Test), as deemed appropriate.

R1.4	A student who is registered for the joint PhD programme shall not be concurrently registered for another programme of studies that leads to an award in PolyU, the Partner Institution or elsewhere, without prior approval.	<i>no concurrent registration without approval</i>
R2	Supervision	
R2.1	A student registered for the joint PhD programme shall follow an approved programme of research and coursework under two Chief Supervisors, one from PolyU and the other from the Partner Institution (who will be considered as Co-supervisor of PolyU when registration takes effect at PolyU) and, if appropriate, PolyU Co-supervisors in addition to the Chief Supervisor from the Partner Institution.	<i>supervisory arrangements</i>
R3	Confirmation of Registration	
R3.1	A successful applicant shall first be registered provisionally for the degree of PhD.	<i>provisional registration</i>
R3.2	Students are required to apply for confirmation of registration, subject to formal assessment, any time during their study in Hong Kong within the normal period of study.	<i>confirmation of registration</i>
R3.3	The registration shall be (a) confirmed; (b) terminated or (c) exceptionally extended to remain provisional.	
R4	Normal Period of Study	
R4.1	The normal period of the full-time study is taken as the longer between the normal period of study of PolyU and that of the Partner Institution.	<i>normal period of study</i>
R5	Maximum Period of Study	
R5.1	The maximum period of the full-time study is taken as the longer between the maximum period of study of PolyU and that of the Partner Institution.	<i>maximum period of study</i>
R5.2	A student who is not able to submit his/her thesis for examination within the normal period of study as expected, must submit the thesis at a date within the maximum period of study.	<i>completion beyond the normal period</i>
R5.3	Extension of the maximum period of study shall not be permitted. The student shall be deregistered from the programme if he/she fails to submit the thesis upon expiry of the maximum period of study.	<i>extension of the maximum period not permitted</i>
R5.4	Any extra period allowed for revision or resubmission of the thesis under R13.3 shall not count towards the maximum period of study.	
R6	Deferment of Study	
R6.1	A student registering for the joint PhD programme will not normally be allowed to defer his/her study during or after the normal period of study except on the basis of certified health problems. Deferment will not count towards the period of study.	<i>deferment of study</i>
R7	Residence Requirement	
R7.1	Permission may be granted for the research to be conducted outside Hong Kong and the Partner Institution. However, students must spend at least 12 months (aggregate) of their studies at PolyU.	
R8	Leave	

R8.1	With the prior agreement of the PolyU Chief Supervisor, a full-time student may take vacation leave of up to four weeks per study year.	<i>vacation leave</i>
R9	Coursework Requirements	
R9.1	A student must fulfill the coursework requirements of his/her degree. He/She should earn 15 credits, of which no more than nine credits should be from Guided-study subjects. (Students of the Faculty of Business should earn 19 credits, of which no more than nine credits should be from Guided-study subjects.)	<i>credit requirement</i>
R9.2	A student can take levels four, five or six subjects offered by PolyU under existing taught programmes, or subjects tailor-made to suit the needs of research students (normally Guided-study subjects). All of the subjects taken will be assigned a grade.	<i>level of subjects</i>
R9.3	<i>Credit Transfer</i> Students may be given credits for recognised previous study undertaken before admission to the joint PhD programme. If the credits to be transferred from previous study have been gained from outside PolyU, they will not be included in the calculation of the qualifying GPA. The validity period for credit transfer for research degree programmes is defined to be five years from the year of attainment at the time of admission to the joint programme. That is, a student can be given credit transfer if he/she has obtained the credits within five years before admission. Credit transfer for study done at the Partner Institution and outside PolyU during the student's research postgraduate studies in PolyU with prior approval is regarded as an acceptable way to gain credits. An appropriate grade will be assigned and the grade gained for such credit transfer will be included in the calculation of the required qualifying GPA (see R9.4 below).	<i>credit transfer</i>
R9.4	All students need to complete their coursework with a qualifying GPA of 3.0 or above before submission of their thesis for examination. The qualifying GPA, which is capped at 4.0, is computed as follows: $\text{Qualifying GPA} = \frac{\sum \text{Subject Grade Point} \times \text{Subject Credit Value}}{\sum \text{Subject Credit Value}}$ <p>Where the Qualifying GPA is the result of the accumulated value of the subject grade point multiplied by the subject credit value divided by the total credit value for those subjects. Only the best 15 credits will count towards the calculation.</p> <p>(For students enrolling in the Faculty of Business:</p> <p>Where the Qualifying GPA is the result of the accumulated value of the subject grade point multiplied by the subject credit value divided by the total credit value for those subjects. Only the best 19 credits will count towards the calculation.)</p>	<i>Qualifying GPA</i>
R9.5	Students may take more subjects than required in order to improve their GPA to reach the qualifying GPA, or in order to strengthen their knowledge.	
R9.6	Subjects taken after submission of the thesis will not contribute to the qualifying GPA.	
R9.7	Students may retake only those subjects in which they have obtained a grade "C+" or below. They may retake a subject once only.	<i>retake of a subject</i>
R9.8	If a student retakes a subject, the credits associated with the subject will count only once towards the credit requirements. Moreover, the better grade obtained and the associated credits will be used to calculate the qualifying GPA, if applicable.	
R9.9	A student may be exempted from taking a compulsory subject if he/she has successfully completed a similar subject previously in another programme or if he/she already has the associated knowledge/skills via work experience, etc. If a student is exempted from taking a	<i>subject exemption</i>

compulsory subject, the credits associated with the exempted subject will not count towards the award requirements. It will therefore be necessary for the student to take another subject in order to satisfy the credit requirement.

R9.10	The assessment regulations conform to PolyU's General Assessment Regulations (GAR) for credit-based programmes except for the special way in which the qualifying GPA, which is capped at 4.0, is calculated as mentioned in Regulations R9.4 and R9.8 and for the retaking of a subject as mentioned in Regulation R9.7. (PolyU's GAR for credit-based programmes are available from https://www2.polyu.edu.hk/as/Staff/ARP/b1.pdf .)	
R10	Progress Report	
R10.1	Students shall submit progress reports as required from time to time by PolyU.	<i>reporting progress</i>
R11	Deregistration	
R11.1	A student may be deregistered in the following circumstances : a. if his/her progress is considered unsatisfactory; or b. if the maximum period of study is exceeded; or c. if his/her thesis is deemed unsatisfactory.	<i>deregistration</i>
R12	Thesis Submission	
R12.1	A student shall submit a notice of intention to take the thesis examination, including a thesis title and brief description, when the thesis is ready or nearly ready for examination.	<i>notice of intention to take thesis examination</i>
R12.2	A student shall submit his/her thesis to RO after it has been approved by both Chief Supervisors.	<i>submission of thesis</i>
R12.3	Under very exceptional circumstances, a student shall be allowed to make a written request to the Research Committee (RC) for submitting a thesis for examination without the prior approval of his/her PolyU Chief Supervisor.	<i>Submission of thesis without prior approval of Chief Supervisor</i>
R12.4	Upon receipt of the written request from a student without the prior approval of his/her PolyU Chief Supervisor for thesis submission, the RC shall invite: d. the PolyU Chief Supervisor to provide the RC with a written explanation of his/her assessment of the thesis; e. the student concerned to respond to the comments made by the PolyU Chief Supervisor; and f. the relevant Departmental Research Committee (DRC) and Faculty Research Committee (FRC)/School Board to comment on the application. Each party will be allowed one month to complete the task. Documents received will then be presented to RC for consideration within four months.	
R13	Examinations of Thesis	
R13.1	<i>Internal Examiners</i>	<i>composition of the Board of Examiners</i>
R13.1.1a	<u>The Chairman of the Board of Examiners (BoE) shall be appointed by the Head of Department/Dean of School or Dean of Faculty/School Board Chairman. He/She shall be at the Associate Professor level or above, or the equivalent, and is expected to have gained successful supervision experience at postgraduate level at PolyU or elsewhere.</u>	
R13.1.1b	The Chairman of the BoE shall be appointed by the Head of Department/Dean of School or Dean of Faculty/School Board Chairman. He/She shall be at the Associate Professor level or above, or the equivalent, and from a broadly related discipline. He/She is also expected to have gained successful supervision experience at postgraduate level at PolyU or elsewhere.	

The main duties of the BoE Chair are (1) to uphold the integrity of the exam process and (2) to act as a gatekeeper to ensure quality of the thesis.

R13.1.2 The PolyU Chief Supervisor shall be a member of the BoE but shall not be the Chairman of the Board.

R13.1.3 Both the BoE Chair and the Chief Supervisor have no voting right.

R13.2 *External Examiners*

R13.2.1 There shall be two external examiners who are not members of PolyU or the Partner Institution. They should preferably not come from the same academic department of the same university. Special cases with justifications will be presented to the RC for consideration

R13.2.2 Both external examiners shall have successful PhD supervision experience as Chief Supervisors and shall normally be at the Associate Professor level or above, or the equivalent.

R13.2.3 External examiners should have appropriate expertise related to the research programme, shall not have acted previously as the student's supervisor, and shall be in a position to be impartial.

R13.2.4 In those cases where appropriate expertise is not available at the levels of seniority specified in R13.2.2, then an examiner at a lower level may be appointed provided he/she has an appropriate scholarly record of distinction in the relevant field.

R13.2.5 Special approval will have to be obtained from the BoE Chair and the FRC/School Board Chair if qualifications of nominated external examiners deviate from the above stipulations. In case a nominee holds an "Honorary" academic title, the nomination will have to be approved by the RC Chair.

R13.3 *Examination of Thesis*

R13.3.1 The thesis submitted shall be read by the Chairman of the BoE who shall decide whether the thesis should be sent out to the external examiners.

R13.3.2 The Chairman of the BoE may require the student to revise and resubmit the thesis before it is considered acceptable to be sent out to the external examiners. The student is limited to two sets of revisions and a maximum of six months shall be allowed each time.

R13.3.3 In the event that the BoE Chair finds the presentation quality and/or language proficiency of the thesis unsatisfactory, s/he should refer it back to the student, via the PolyU Chief Supervisor, for revision, without the need to list out the editorial changes required. The Chief Supervisor is required to re-assess the revised thesis and to approve it, in writing, for external assessment. However, if the BoE Chair asks a student to make revisions to the thesis that involves technical problems, the thesis must be re-assessed by the BoE Chair before it can be sent out for external assessment.

R13.3.4 In the event that the Chairman of the BoE finds the thesis unacceptable for release to the external examiners after two sets of revisions, the thesis shall be read by the external examiners nevertheless.

R13.3.5 The oral examination is compulsory. The BoE shall decide whether any additional form of examination is necessary.

*form of
examinations*

R13.3.6 The BoE, following reading of the thesis, shall recommend:

*initial stage
of examination*

a. that the thesis form an adequate basis for an oral examination (and other examinations as required); or

*approve oral
examination*

c. that the thesis be revised once within twelve months and resubmitted for the oral examination (and other examinations as required); or

revision required

	c. that the thesis be deemed unsatisfactory, no resubmission be permitted, and that the student fails.	<i>failure</i>
R13.3.7	If the BoE cannot reach a consensus view, the BoE Chair shall invite the PolyU Chief Supervisor to nominate an additional external examiner to assess the thesis. The nomination should be endorsed by the BoE Chair and appointed by the RC Chair. S/he should be informed of the background leading to the appointment and his/her view on the thesis constitutes the deciding vote. This additional external examiner will be invited to attend the oral examination.	<u><i>absence of consensus</i></u>
R13.3.8	Following the oral examination (and other examinations as required), the BoE shall recommend to the RC:	<i>final stage of examination</i>
	a. that the student be awarded the degree of PhD; or	<i>approved without revision</i>
	b. that the student be awarded the degree of PhD subject to minor amendments being made to the thesis or an additional assignment being completed to the satisfaction of the Chairman of the BoE or his/her nominee by a specified date but normally within a period not longer than three months; or	<i>minor revision</i>
	d. that the student revise and resubmit the thesis and/or that another oral examination and/or other form of examination be required. The student is limited to one opportunity of re-examination within 12 months; or	<i>revision and re-examination</i>
	d. the student be awarded the degree of MPhil; or	<i>award of MPhil</i>
	e. that the thesis be deemed unsatisfactory, no resubmission be permitted, and that the student fails.	<i>failure</i>
	The report detailing the recommendation of the BoE shall be copied to the DRC Chair, who shall alert the RC to problematic cases and provide necessary information when required.	
R13.3.9	If there is no consensus view among members of the BoE after the oral examination or re-examination, the Chairman of the Board shall present the case to the RC which shall make a final decision.	
R14	Confirmation of Award	
R14.1	The RC shall confirm on behalf of the Senate the award of the degree of PhD to a student who has satisfied all the requirements for the degree.	<i>RC to confirm award</i>
R15	Complaints and Appeals	
R15.1	A student may make a written complaint about his/her study circumstances, or make an appeal against a decision to deregister or against an examination result (including the examination of a taught subject, a Guided-study subject and the thesis defence) by writing to the appropriate authority in the University.	<i>written complaints/ appeals</i>
Note:	The authority to interpret these Regulations rests with the University Research Committee.	

November 2017

ADMINISTRATIVE PROCEDURES FOR THE JOINT DOCTOR OF PHILOSOPHY PROGRAMME LEADING TO DUAL AWARDS (APPLICABLE TO STUDENTS ADMITTED BEFORE 1 JULY 2014)

Note:	While PolyU reserves the right to change these administrative procedures without prior notice as a result of new policies or amendments to the degree regulations as and when they arise, PolyU will consult the Partner Institution to ensure the changes will not affect the students' studies at the Partner Institution.	
P1	Admission	
P1.1	An applicant shall submit an application (Form RC/1) to the Departmental Research Committee (DRC) via the Partner Institution and the Research Office (RO).	
P1.2	An applicant shall set out as systematically and fully as practicable the intended programme of work as it is seen at that time. Any significant changes to the programme of research such as the project title require the approval of the DRC. RO shall be notified of the changes by the DRC.	<i>programme plan; DRC to approve subsequent changes</i>
P1.3	If the programme of research forms part of a group project, the applicant shall clearly indicate what contribution he/she will make and the extent to which the work is to be carried out in collaboration with others.	<i>groupwork</i>
P1.4	The applicant shall describe the work he/she will carry out in the Partner Institution, other industrial, commercial, professional or research establishment, if any, as against the PolyU host department to which he/she is attached.	<i>institutional collaboration</i>
P1.5	An applicant is normally not allowed to be registered for another programme of studies that leads to an award. Exceptional approval from the Research Committee (RC), via his/her PolyU Chief Supervisor and DRC, is required for concurrent registration. Failure to obtain approval may lead to disciplinary action including discontinuation of study at PolyU.	<i>RC to approve concurrent registration</i>
P1.6	The DRC, on receipt of an application to register for the research degree programme, shall approve or reject the application. The DRC shall forward approved applications (see P2 below) to the RO.	<i>DRC to consider the application</i>
P1.7	The Head of the PolyU host department shall certify on Form RDC/1A provision of adequate facilities to enable the student to conduct and complete the research programme in an efficient and safe manner.	<i>responsibility of PolyU host department</i>
P1.8	The English language requirements under Regulation R1.3 may be waived by the FRC/School Board at the request of the PolyU Chief Supervisor with acceptable justification and endorsement from the DRC.	<i>waiver of language requirements</i>
P1.9	The DRC shall consider the appropriateness of an internationally recognised public examination and the corresponding score achieved by the applicant if IELTS or TOEFL scores are not provided.	<i>DRC to consider equivalent examination result</i>
P1.10	An intention to present the thesis in a language other than English will be considered, preferably on admission. Strong justifications on academic grounds must be provided to substantiate that the use of English will adversely affect the clarity of the thesis should another language be used. Applications shall be endorsed by the DRC, approved by the FRC/School Board and copied, for information, to the RC Chairman, who may veto the decision of the FRC/School Board.	<i>Thesis not in English</i>
P2	Supervision	
P2.1	An applicant is required to submit an application, together with a detailed research proposal (Form RDC/1A) and a detailed study plan (Form RC/J4). The DRC shall consider the research proposal, study plan and application that includes the proposed Chief Supervisors (one from	<i>submission of a detailed research proposal and study plan</i>

PolyU and the other from the Partner Institution), and forward them to the FRC/School Board for approval as appropriate.

An offer letter will be issued to the student, in which the names of the Chief Supervisors and the project title will be stated. The student, if eligible, will start receiving the stipend when he/she commences the programme of study in Hong Kong.

P2.2	The PolyU Chief Supervisor shall	<i>qualifications of PolyU Chief Supervisor</i>
	a. be a *full-time academic staff of the department in which the student will be registered;	
	b. not be registered for a research degree while acting as Chief Supervisor;	
	c. have proven research experience and quality research output in an appropriate field of study related to the programme; and	
	d. normally have successful experience of MPhil/PhD supervision.	
P2.3	The PolyU Co-supervisor (who is not the Chief Supervisor from the Partner Institution) shall	<i>qualifications of Co-supervisor</i>
	a. not be registered for a research degree while acting as Co-supervisor; and	
	b. have proven research experience in an appropriate field of study related to the programme.	
P2.4	If the PolyU Chief Supervisor does not have successful experience in supervising MPhil or PhD students, a PolyU Co-supervisor (who is not the Chief Supervisor from the Partner Institution) with such experience shall be appointed. The DRC shall state the justification if this requirement is to be waived.	<i>supervision experience</i>
P2.5	The DRC in making its appointment should consider the current supervisory loading of the proposed PolyU supervisors.	<i>loading of supervisor</i>
P2.6	Any changes in the appointment of PolyU supervisor(s) must be approved by the DRC. RO shall be notified of the changes by the DRC.	<i>change of PolyU supervisor(s)</i>
P3	Confirmation of Registration	
P3.1	Confirmation of registration is expected to take place preferably during the first half of the normal period of study. The student, before confirmation of registration, is required to submit a written report and make a presentation to a panel formed by the DRC. The panel shall include both Chief Supervisors and at least one academic staff member of PolyU, other than the supervisors of the student. The panel shall assess the student's progress during his/her provisional registration period. It will also consider the recommendations made by the English Language Centre (ELC) concerning the student's English proficiency. The latter applies only to students who have taken the assessment. If the student's command of the English language is not up to the required standard, as judged by the ELC, the panel may, in serious cases, recommend a deferment of confirmation of registration. The panel shall provide a written assessment of the report and the student's presentation to the DRC. The student can be given another opportunity to revise his/her report and make a second presentation within three months of the first assessment if he/she does not perform satisfactorily in the first assessment.	<i>student report required</i> <i>assessment of progress</i> <i>assessment of English proficiency</i> <i>panel assessment report required</i>
P3.2	The DRC shall	<i>DRC to approve registration or otherwise</i>
	a. confirm registration after the formal assessment of the student; and/or	
	b. reject the application and deregister the student; or	

* including those senior executives who are appointed to a non-academic position and are offered a concurrent appointment as academic staff members by the University.

- c. extend the period of provisional registration.

The DRC shall inform RO of the decision taken.

P4 Transfer between Full-time and Part-time Modes of Study

- P4.1 Students are expected to devote full-time effort to their studies during their stay in Hong Kong. However, applications for transfer of registration between full-time and part-time modes of study shall be proposed jointly by both Chief Supervisors and be approved by the DRC on an exceptional basis. RO shall be notified of the transfer arrangements by the DRC. The student will be informed of the revised normal and maximum periods of study. *DRC to approve change in mode*

P5 Completion beyond Normal Period of Study

- P5.1 If a student is unable to complete his/her study within the normal study period, he/she shall notify the DRC Chair via the Chief Supervisor in writing before the normal study period expires, indicating the reasons and the expected completion date, which should fall within the maximum study period. The DRC Chair shall act on the Chief Supervisor's recommendations to approve or disapprove the student's request for continuing his/her study beyond the normal study period (but within the maximum study period), and inform RO of his/her decision. *DRC to be informed of extension within maximum period of study*

P6 Deferment of Study

- P6.1 Applications for deferment shall be endorsed by both Chief Supervisors and approved by the DRC. The DRC shall notify RO of the deferment via the standard form for deferment. *DRC to approve deferment*

P7 Residence Requirement

- P7.1 Student's study plan at PolyU, Partner Institution and elsewhere shall be approved by the DRC at admission stage. RO should also be notified of the study plan.

P8 Leave of Absence

- P8.1 Students' applications for leave of absence shall be approved by the PolyU Chief Supervisor. A record for each application approved shall be kept in the Department. The leave taken in Hong Kong will count towards the residence period. *PolyU Chief Supervisor to approve leave of absence*

P9 Coursework Requirements

- P9.1 Students are required to pass a compulsory subject entitled *Ethics: Research, Professional & Personal Perspectives* before thesis submission. This is a one-credit subject which will count towards the credit requirement. They should consult the PolyU Chief Supervisor regarding the coursework study programme to be undertaken. The finalised programme should be approved by the PolyU Chief Supervisor. *PolyU Chief Supervisor to approve coursework study programme*

- P9.2 Guided-study subjects are those in which normally no lecturing is done and in which the student is required by the subject supervisor to read specified monographs and journal publications; the student and subject supervisor frequently meet to discuss the progress made by the student in the subject. The weighting assigned for coursework should be less than the weighting assigned for the examination. Coursework normally consists of assignments and presentations. Examination is compulsory and normally includes both written and oral. At the end of the semester, the student is examined by the subject supervisor and another staff member who is knowledgeable about the topic. A grade will be given in the same way as for regular taught subjects in Form RC/27. All Guided-study subjects will be at level 6 and their code number will be between 6800 and 6999.

P9.3 Credit Transfer

- P9.3.1 *Transfer of credits of subjects at postgraduate level earned from recognised previous studies*

Applications for the transfer of credits from recognised previous studies prior to the registration of the joint programme will be proposed by the DRC with justifications and approved by the HoD/DoS. Credits to be transferred may have been gained from within PolyU,

HoD/DoS to approve transfer of credits from

the Partner Institution or elsewhere and only earned credits of subjects at postgraduate level will be acceptable for transfer. RO will be informed of such approval.

recognised previous study

P9.3.2 *Transfer of credits taken at postgraduate level outside PolyU and Partner Institution after admission to PolyU*

Transfer of credits for studies taken at postgraduate level outside PolyU and the Partner Institution during a student's studies in PolyU will be endorsed by the DRC Chair and approved by the HoD/DoS. The student will submit an application (Form RC/48), via his/her PolyU Chief Supervisor, to RO initiating the transfer.

DRC to endorse and HoD/DoS to approve the transfer

The transfer of grades will be in accordance with the conversion table below and the grade gained will be included in the calculation of the qualifying GPA:

Grade Obtained Outside PolyU after Admission	Grade Transferred to PolyU	Grade Point	Interpretation
A+	A+	4.5	Exceptionally Outstanding
A	A	4	Outstanding
A-	A	4	Outstanding
B+	B+	3.5	Very good
B	B	3	Good
B-	B	3	Good
C+	C+	2.5	Wholly satisfactory
C	C	2	Satisfactory
C-	C	2	Satisfactory
D+	D+	1.5	Barely satisfactory
D	D	1	Barely adequate
D-	D	1	Barely adequate
E	F	0	Inadequate
F	F	0	Inadequate

P9.3.3 *Transfer of credits from Partner Institution*

There is no limit on the number of credits to be approved for transfer. Credits taken at either of the two universities after admission to the joint programme shall be recognised by both universities. For subjects taken at the Partner Institution without a grade, the DRC shall assign an appropriate grade for the approval of the HoD/DoS which shall also vet the validity of the credits. Applications can be made using Form RC/33 or RC/48.

DRC to assign an appropriate grade and HoD/DoS to vet validity of credits and approve grades assigned

P9.3.4 *Minimum number of credits with a letter grade*

Students may take subjects to be given a "pass" or "fail" grade, instead of a letter grade. The student will submit an application (Form RC/48), via his/her PolyU Chief Supervisor, to RO initiating the transfer. The application will be endorsed by the DRC Chair and approved by the HoD/DoS. The grade gained will not be included in the calculation of the qualifying GPA. A student must complete/transfer at least six credits with a letter grade including credits taken at the Partner Institution with an assigned grade subsequently approved by the HoD/DoS to allow for a meaningful calculation of the qualifying GPA.

completion/transfer of at least six credits with a letter grade

P9.4 *Students will register for subjects before the start of a semester. Whether a student can add a subject will depend on the availability of vacancies in the subject and the approval of the PolyU Chief Supervisor. Similarly, a student can drop a subject if it is approved by the PolyU Chief Supervisor. The student will effect the subject registration/deletion. After the add/drop period, RO will check the results of the add/drop changes against the approved study programme of individual students. Students' add/drop changes will automatically be cancelled if those changes have not yet been approved by the PolyU Chief Supervisor.*

PolyU Chief Supervisor to approve changes in subject registration during add/drop period

P9.5	After the add/drop period, further enrolment of subjects will normally not be entertained. Exceptional cases with good justification and to which the subject lecturer agrees will require the DRC's approval up to the end of the 4 th week after the commencement of the semester.	<i>DRC to approve changes in subject registration after add/drop period</i>
P9.6	Subject exemption is decided by the DRC but students can also apply for it. In order to satisfy the credit requirement, it is necessary for the student to take another subject, to be approved by the PolyU Chief Supervisor, in place of the exempted subject.	<i>DRC to approve subject exemption</i>
P9.7	On meeting the two conditions in R9.7 and R9.8, students may retake a subject without the formal approval of the PolyU Chief Supervisor.	
P9.8	The grades obtained by students on taught subjects will be considered and endorsed by the Subject Assessment Review Panel (SARP) of the department offering the subject. The grades obtained by the students on Guided-study subjects will be considered and endorsed by the relevant DRC based on the assessment reports (Form RC/27).	
P10	Monitoring of Progress	
P10.1	Students and their supervisors are required to submit progress reports as required from time to time by PolyU.	<i>progress report required</i>
P10.2	The DRC shall, on receipt of the report, evaluate and assess the progress of the student. In the event that the student's progress is unsatisfactory, the case together with the DRC's recommendations shall be submitted to the FRC/School Board for information.	<i>DRC to monitor progress</i>
P11	Deregistration	
P11.1	A recommendation for deregistration as a result of unsatisfactory progress may be proposed by the PolyU Chief Supervisor and approved by the DRC. The DRC Chairman cannot take action by himself/herself on this issue.	<i>DRC to approve deregistration</i>
P11.2	A recommendation for deregistration made by the Board of Examiners (BoE) shall be approved or rejected by the RC [see Regulations R13.3.5(c) and R13.3.7(e)].	
P12	Thesis Submission	
P12.1	A student and the supervisors concerned, including the Chief Supervisor of the Partner Institution, will complete and submit Form RDC/2B as 'Notice of Intention to Take Thesis Examination' to RO via the DRC when the thesis is ready or nearly ready for examination. This notice is to be accompanied by a brief description of the thesis (or the work done). The PolyU Chief Supervisor shall nominate external examiners and submit supporting information. Upon receipt of the notice, RO shall set up a BoE. Students are advised to submit the notice well in advance of the intended thesis submission date so that the BoE is in place to examine the thesis upon its submission.	<i>form required; DRC to approve thesis title and brief description</i>
P12.2	The two Chief Supervisors shall approve the thesis as acceptable for submission for examination.	<i>Chief Supervisors' approval for submission</i>
P12.3	A student shall initially submit an electronic copy of the thesis to RO with the PolyU Chief Supervisors' confirmation that the thesis is ready for submission (Form RC/18). The thesis must be presented in accordance with the Regulations on the Format and Presentation of Theses for the Joint PhD Programmes Leading to Dual Awards. When the thesis is found acceptable by the BoE Chairman, the electronic copy of the thesis shall be sent to the RO. After satisfying the award requirement, the student must prepare an electronic copy of the final version of the thesis to be sent to the University Library and other parties concerned via the RO.	
P12.4	Written requests to the RC for submitting a thesis for examination without the prior approval of the PolyU Chief Supervisor should be accompanied with:	<i>Submission of thesis without prior approval</i>

	<ul style="list-style-type: none"> a. an electronic copy of the thesis; and b. detailed justification for the request via Form RC/62. 	<i>of PolyU Chief Supervisor</i>
P12.5	<p>Before a submitted thesis can be sent to external examiners, it must meet PolyU's English language standard expectations. To meet these expectations, the thesis must:</p> <ul style="list-style-type: none"> i. at all times clearly convey its content and meanings through an accurate use of the English language; j. follow a clear and appropriate organisation at all levels: overall (as shown by the Table of Contents and all text-headings); within chapters and within sections; between chapters and sections; at paragraph level; and at clause and sentence levels; k. follow acceptable conventions of standard English syntax; l. use both common and specialist vocabulary accurately and consistently; m. be fully spell-checked so that typographical errors have been removed; n. be free of errors such as incorrect layout, mislabelling or inadequate labelling of tables and other visuals, failure to maintain consistent levels of numbering of section and sub-section headings, etc; o. use punctuation with understanding of its function as an essential aid to comprehension; and p. have an accurate and complete set of references (and appendices, if applicable) conforming to a style manual acceptable to the PolyU Chief Supervisor. 	<i>English standard expectation</i>
P12.6	If a thesis is to remain confidential for a period of time after completion of the work, an application shall be submitted to the DRC by any interested party before the submission of the thesis for examination. A thesis may be kept confidential normally for a maximum of two years.	<i>confidentiality</i>
P13	Examination of Thesis	
P13.1	The DRC Chair shall be responsible for the nomination of the BoE Chair, in consultation with the Chief Supervisor, for the approval of the HoD/DoS. In the event that the HoD/DoS is one of the supervisors of the student, the Dean of Faculty/Chairman of School Board or his/her nominee shall be the Chairman of the BoE. In the case where both the HoD/DoS and the Dean of Faculty/Chairman of School Board are the supervisors, the Chairman of the RC or his/her nominee shall be the Chairman of the BoE.	
P13.2	The nomination of external examiners will be endorsed by the Chairman of the BoE and approved by the Chairman of the FRC/School Board. In the event that the Chairman of the BoE is the Chairman of the FRC/School Board, the external examiners will be approved by the RC Chairman.	<i>Chairman, FRC/School Board to approve the nomination</i>
P13.3	On receipt of the thesis, the PolyU Chief Supervisor shall submit a report on the thesis within two weeks. As soon as the PolyU Chief Supervisor's report is received, the Chairman of the BoE shall be asked to confirm within two weeks whether the thesis provides a prima facie basis to be sent to the external examiners for consideration.	<i>PolyU Chief Supervisor to submit a report; Chairman, BoE to review the thesis</i>
P13.4	In the event that the Chairman requires revision to the thesis before it is sent to the external examiners, the recommendation together with its justification shall be considered by the PolyU Chief Supervisor. If the PolyU Chief Supervisor agrees to the recommendation, the student shall be asked to revise the thesis as instructed. The student shall be given a maximum of six months to carry out each set of revisions, and each thesis is limited to two sets of revisions. In the event that there are divergent opinions between the Chairman of the BoE and the PolyU Chief Supervisor, the case shall be considered by the Chairman of the FRC/School Board, who shall decide on an appropriate action to take. In the event that the Chairman of the FRC/School Board is the Chairman of the BoE, the case shall be considered by the Chairman of the RC.	

P13.5 If the BoE Chairman finds the thesis unacceptable after two sets of revisions, this information will be conveyed to the external examiners when the thesis is released to them for reading.

P13.6 Each external examiner shall be asked to read the thesis and submit a report on the thesis within six weeks. If both of them agree that the thesis forms an adequate basis for an oral examination, RO shall arrange for the examination.

examiners to review the thesis

P13.7 If the BoE cannot reach a consensus view, the Chairman of the BoE shall invite the PolyU Chief Supervisor to nominate an additional external examiner to assess the thesis.

absence of consensus

P13.8 The BoE shall conduct the oral examination. Participation requirements and voting right of the BoE are listed as follows:

BoE Chair	PolyU Chief supervisor	Co-supervisor(s)	External examiners
The BoE Chair must participate in the viva in person. S/he has no voting right.	The PolyU Chief Supervisor must participate in the viva in person. S/he has no voting right.	Co-supervisors may or may not attend the viva. They have no voting right.	Both examiners must participate in the viva. At least one of them shall attend the viva in person and the other one may attend the viva either in person or through video facilities. In exceptional circumstances when one of the examiners is unable to attend the viva either in person or through video facilities due to an unexpected event or illness, the viva shall be video-taped. The video, together with the BoE report, shall be sent to the external examiner who was absent from the viva for review. Should the outcome of the examination need to be put to a vote, each external examiner may cast one vote. A consensus is required for all decisions.

P13.9 If a unanimous decision cannot be reached, each member of the BoE will be required to submit a report and recommendation for the consideration of the RC. The RC may set up a review panel to consider the case.

P14 **Confirmation of Award**

P14.1 Upon receipt of the decision made by the Partner Institution on whether the student has successfully completed all the requirements, the recommendation of the BoE shall be considered and approved by the RC. Chairman's action is not possible.

RC to approve

P15 **Complaints and Appeals**

P15.1 Complaints of research students, such as problems encountered in the supervision and provision of research facilities, shall be handled by the relevant DRC. The DRC should consider the complaint and formulate appropriate actions to resolve the problems. The DRC should then inform the student and RO of the actions taken. If the complaints are against the DRC, they should be handled by the relevant FRC/School Board. After resolving the problems, the FRC/School Board should inform the student and RO of the actions taken.

P15.2 Research students may appeal against a decision to deregister or against an examination result (including the examination result of a taught subject, a Guided-study subject and the thesis defence).

P15.3 The procedures for research students to appeal against a decision are detailed as follows:

- b. Students on research degrees shall be informed at the time of their registration of the grounds for appeal and of the procedures whereby appeals are considered. In particular, they shall

be made aware of their responsibility to make known to the RC or its delegate of such factors as they believe have detrimentally and materially affected their results prior to the meeting of the RC or its delegate.

- b. A student appealing against a decision shall pay a fee, applicable in the academic year. The fee shall be refunded if the appeal is upheld.
- c. A research student can make an appeal against a decision to deregister him/her or against an examination result within one month of the date of notification of the result. The appeal should be accompanied by a copy of the receipt for the appeal fee. He/She should provide the following information, together with other relevant documents, in support of the appeal:
 - (v) name in English and Chinese
 - (vi) student number
 - (vii) affiliated department
 - (viii) grounds for appeal
- d. An appeal against deregistration should be sent to the relevant Faculty Office. The appeal shall be considered by the whole FRC/School Board, i.e., chairman's action is not allowed. Any member of the FRC/School Board who is a supervisor of the student cannot take part in the FRC/School Board discussion and decision on the case. The FRC/School Board will inform RO of its decision, which will advise the student of the result of his/her appeal within eight weeks of receipt of the appeal.

If the appellant is dissatisfied with the FRC's/School Board's decision, he/she may appeal further in writing to the RC not later than one month (from the date of notification of the first appeal result) after receipt of the decision of the FRC/School Board from the Secretary, RC. The Chairman of the RC shall determine whether there are prima facie grounds for a re-consideration of the FRC's/School Board's decision, and if so, shall refer it to the RC. The RC will consider the appeal and notify the student of the result within eight weeks of receipt of the appeal. Any member of the RC who is a supervisor of the student cannot take part in the RC discussion and decision on the case. If the RC Chairman considers that there are no grounds for the case, the appeal shall fail.

- e. For an appeal against the result of the thesis examination, the student shall appeal directly to the RC by writing to the Secretary, RC. The RC will consider the appeal and notify the student of the result within eight weeks of receipt of the appeal. Any member of the RC who is a supervisor of the student cannot take part in the RC discussion and decision on the case.

If the appellant is not satisfied with the decision of the RC on his/her appeal, he/she may appeal against the RC's decision by submitting a second appeal to the Registrar not later than one month (from the date of notification of the first appeal result) after receipt of the decision of the RC. The Registrar shall refer the case to the Chairman of the Academic Appeals Committee (AAC), who shall determine whether there are prima facie grounds for a re-consideration of the RC's decision, and if so, shall refer it to the AAC. If the AAC Chairman considers that there are no grounds for the case, the appeal shall fail.

The Chairman of the AAC may invite the Chairman of the BoE and/or the Chairman of the RC to submit to the AAC, prior to the meeting, comments relevant to the case under discussion, and/or may invite either or both Chairmen to attend the meeting of the AAC at which the case is being considered.

- f. For an appeal against the examination result of a taught subject/Guided-study subject, the student should make his/her appeal in writing first to his/her Head of Department within seven working days upon the public announcement of the examination result. The Head of Department shall refer the appeal to the Head of Department offering the subject.

The appeal should be accompanied by a copy of the fee receipt, for inspection by the subject offering Department. The student should give a complete account of the grounds for the appeal in the letter, and provide any supporting evidence.

The subject offering Department shall inform the host Department of the appeal result as soon as possible to enable the host Department to convey the result of the appeal to the student within seven working days of receipt of the appeal.

If the appellant is dissatisfied with the decision, he/she may then appeal in writing to the Registrar not later than seven working days after receipt of his/her Department's reply. He/She should provide the following information together with other relevant documents in support of the appeal:

- name;
- student number;
- mode and level of study;
- examination/subject results appealing against; and
- grounds for appeal.

The Registrar shall refer the case to the Chairman of the AAC, who shall determine whether there are prima facie grounds for a re-consideration of the decision of the SARP if the subject in question is a taught subject, or the DRC if the subject in question is a Guided-study subject. If so, the Registrar shall refer it to the AAC. If the AAC Chairman considers that there are no grounds, the appeal shall fail.

The Chairman of the relevant SARP/DRC may be invited by the AAC to submit, prior to the meeting, comments relevant to the case under discussion, and to attend the meeting of the AAC at which the case is being considered.

h. In all cases where any appeal is considered by the AAC, the following will apply:

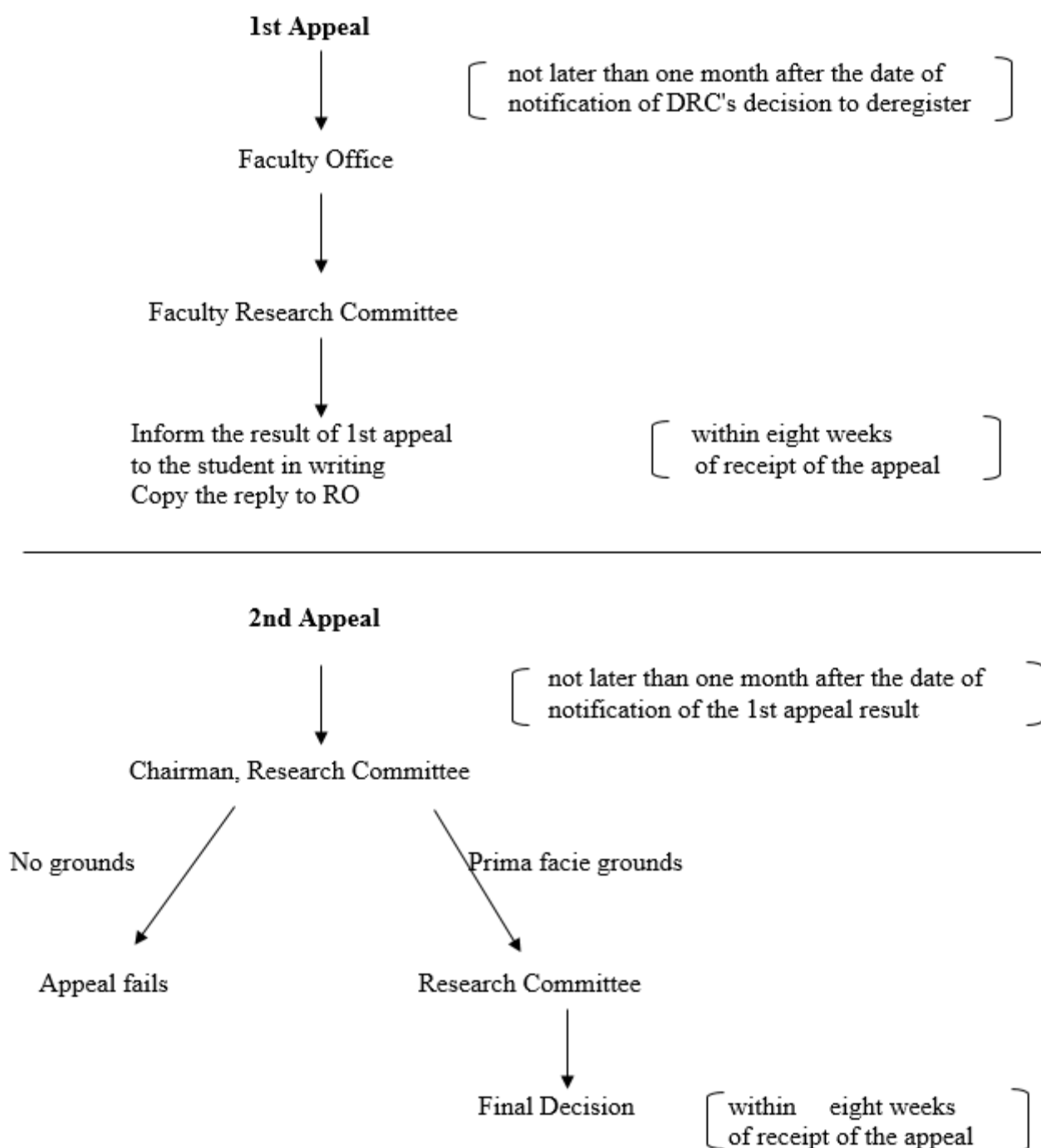
- (i) The appellant may be required to appear before the AAC.
- (ii) The appellant shall have the right to appear before the AAC. He/She shall also have the right to be accompanied and/or to be represented by one other person if he/she so chooses.
- (iii) The AAC may, acting under the powers delegated to it by the Senate, and in the following circumstances, review a decision reached by the SARP/DRC/RC:
 1. If a student requests such a review and establishes to the satisfaction of the AAC that his/her performance was adversely affected by illness or other factors which he/she was unable, or for valid reasons, unwilling to divulge before the SARP/DRC/RC reached its decision, and of which the SARP/DRC/RC was unaware. The request from the student must be supported by medical certificates or other documentary evidence;
 2. If the AAC is satisfied with the evidence produced by the student or any other person that there has been a material administrative error, or that the assessment has not been conducted in accordance with the prevalent regulations of the University, or that other procedural irregularity has occurred.
- (iv) The AAC may determine:
 1. To annul the relevant decision of the SARP/DRC/RC and refer the case for decision back to the SARP/DRC/RC. The subsequent decision of the SARP/DRC/RC will be referred to the Chairman of the AAC, who will decide the appropriate course of action;
 2. Exceptionally to annul the relevant decision of the SARP/DRC/RC and assign a revised result to the student concerned;
 3. To confirm the decision of the SARP/DRC/RC on any of the following grounds:
 - 3.1 the evidence presented does not support the case;

- 3.2 the evidence presented under paragraph g(iii)1 above would not have materially affected the decision of the SARP/DRC/RC;
 - 3.3 any irregularity identified under paragraph g(iii)2 above would not have materially affected the decision of the SARP/DRC/RC;
 - 4. To ask the RC to re-consider the operation and wording of the University's academic regulations pertaining to research degree programmes;
 - 5. By the authority delegated to it by the Senate, to make decisions on the student's progression or award outside the regulations of the University. The AAC shall report all these cases to the Senate for information; or
 - 6. To make such other decisions that fall within its terms of reference.
- (v) The decisions of the AAC shall be final within the University.

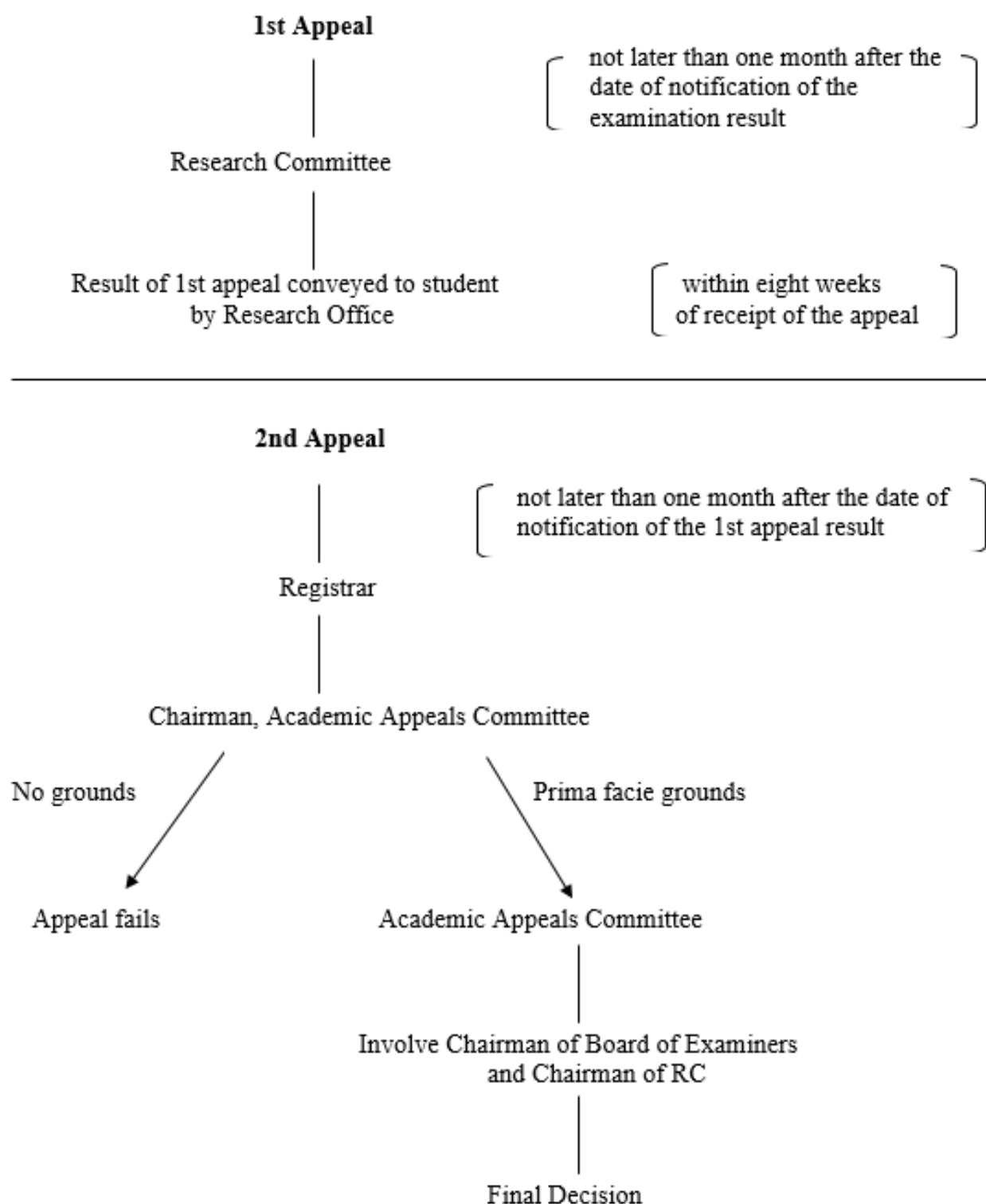
The procedures are outlined in the attached flow charts (Appendices C1.1, C1.2 and C1.3).

(Updated in August 2019)

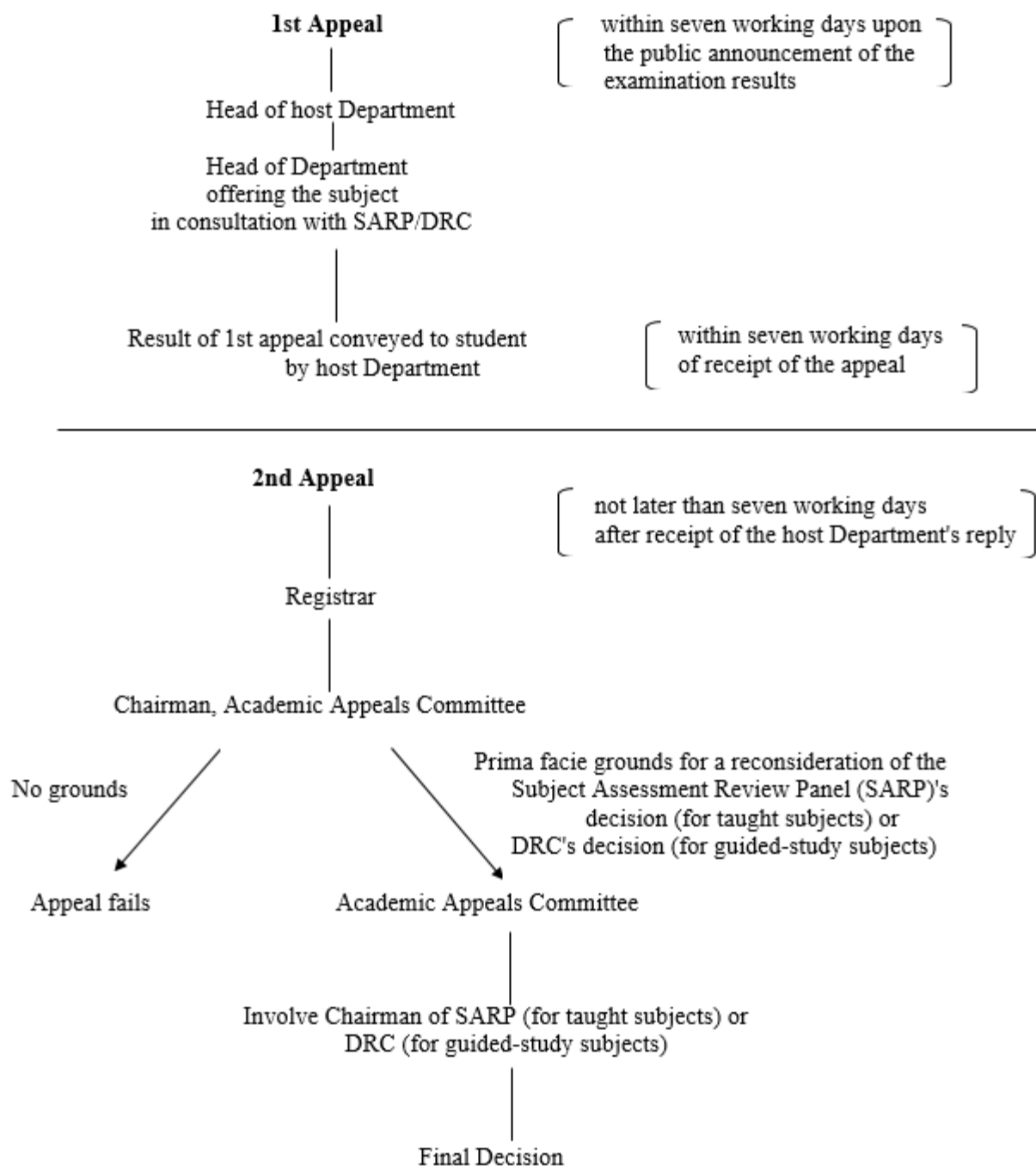
**Procedures for Appeals from Research Students Against Decisions of
De-registration**



Procedures for Appeals from Research Students Against the Result of the Thesis Examination



Procedures for Appeals from Research Students Against Examination Results of Individual Taught Subjects including Guided-study Subjects



REGULATIONS FOR THE JOINT DOCTOR OF PHILOSOPHY PROGRAMMES LEADING TO DUAL AWARDS (APPLICABLE TO STUDENTS ADMITTED BETWEEN 1 JULY 2014 AND 30 JUNE 2017)

Preamble

The “Joint Doctor of Philosophy (PhD) Programme” refers to the joint offer of a PhD programme between The Hong Kong Polytechnic University (PolyU) and another institution of good standing. Upon satisfactory completion of study, the student will receive a PhD award jointly granted by PolyU and the Partner Institution. Two award parchments will be issued; one by PolyU and the other by the Partner Institution.

definition

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.

purpose

The programme of research is designed in such a way to enable the student to acquire competence in research methods and scholarship and to display sustained independent effort and independent original thought.

design of the programme

The degree of PhD shall be awarded to a student who, on completion of an approved programme of study and research, presents a thesis embodying the results of his/her research and satisfies the examiners in an oral examination (and other examinations if required) in matters relevant to the subject of the thesis.

successful PhD

Students are required to satisfactorily investigate or evaluate a chosen area, to show understanding of the context and significance of the work, and to present a clear, complete thesis of a quality worthy of publication.*

Students are expected in addition to produce evidence and argument to support an original proposition that results in a significant contribution to knowledge.

Approval may be given for a thesis to be accompanied by materials other than in the written form.

presentation of other material

The thesis shall be presented in English. Permission must be sought, normally at the point of admission, if another language, which is considered more appropriate to the subject, is to be used in the presentation of the thesis.

language of thesis

R1 Admission Requirements

R1.1 To register for the degree of PhD, a student shall normally hold a postgraduate degree containing a significant research component, such as a dissertation, conferred by PolyU or a recognised university.

minimum entrance requirements

R1.2 In exceptional circumstances students other than those stipulated in R1.1 may be permitted to register. For example, students with a Bachelor’s degree with First Class Honours, or the equivalent, may be admitted directly to the PhD programme. Such students may be required to pass an examination.

waiver of entrance requirements

R1.3 Applicants who have not obtained a degree of which the language of instruction was English from a recognised university are normally required to obtain an overall IELTS (International English Language Testing System) score of at least 6.5 (with score for writing component at 6.0 or above); a TOEFL (Test of English as a Foreign Language) score of 575 or above (with a score of at least 4 out of 6 in the Test of Written English), or an internet-based TOEFL score of

language requirements

* Publication is broadly defined to include all forms of dissemination of the research findings, subject to peer endorsement or public recognition, in the public domain.

90 or above (with a writing score of 23 or above). All English language test scores are considered valid for five years after the date of the test. Consideration will be given to acceptable scores obtained in other internationally recognised public examinations, such as GRE (Graduate Record Examination) or GMAT (Graduate Management Admission Test), as deemed appropriate.

R1.4	A student who is registered for the joint PhD programme shall not be concurrently registered for another programme of studies that leads to an award in PolyU, the Partner Institution or elsewhere, without prior approval.	<i>no concurrent registration without approval</i>
R2	Supervision	
R2.1	A student registered for the joint PhD programme shall follow an approved programme of research and coursework under two Chief Supervisors, one from PolyU and the other from the Partner Institution (who will be considered as Co-supervisor of PolyU when registration takes effect at PolyU) and, if appropriate, PolyU Co-supervisors in addition to the Chief Supervisor from the Partner Institution.	<i>supervisory arrangements</i>
R3	Confirmation of Registration	
R3.1	A successful applicant shall first be registered provisionally for the degree of PhD.	<i>provisional registration</i>
R3.2	Students are required to apply for confirmation of registration, subject to formal assessment, any time during their study in Hong Kong within the normal period of study.	<i>confirmation of registration</i>
R3.3	The registration shall be (a) confirmed; (b) terminated or (c) exceptionally extended to remain provisional.	
R4	Normal Period of Study	
R4.1	The normal period of the full-time study is taken as the longer between the normal period of study of PolyU and that of the Partner Institution.	<i>normal period of study</i>
R5	Maximum Period of Study	
R5.1	The maximum period of the full-time study is taken as the longer between the maximum period of study of PolyU and that of the Partner Institution.	<i>maximum period of study</i>
R5.2	A student who is not able to submit his/her thesis for examination within the normal period of study as expected, must submit the thesis at a date within the maximum period of study.	<i>completion beyond the normal period</i>
R5.3	Extension of the maximum period of study shall not be permitted. The student shall be deregistered from the programme if he/she fails to submit the thesis upon expiry of the maximum period of study.	<i>extension of the maximum period not permitted</i>
R5.4	Any extra period allowed for revision or resubmission of the thesis under R13.3 shall not count towards the maximum period of study.	
R6	Deferment of Study	
R6.1	A student registering for the joint PhD programme will not normally be allowed to defer his/her study during or after the normal period of study except on the basis of certified health problems. Deferment will not count towards the period of study.	<i>deferment of study</i>
R7	Residence Requirement	
R7.1	Permission may be granted for the research to be conducted outside Hong Kong and the Partner Institution. However, students must spend at least 12 months (aggregate) of their studies at PolyU.	
R8	Leave	

R8.1 With the prior agreement of the PolyU Chief Supervisor, a full-time student may take vacation leave of up to four weeks per study year. *vacation leave*

R9 Coursework/Credit Requirements

R9.1 The University coursework requirements are: *credit requirement*

Category	Coursework requirement	Details
PhD with Master's entry	15 credits	1 credit from ⁱ HTI6081 + 3 credits from attending seminars + 2 credits from Practicum + 9 credits from other subjects (no more than 6 credits from Guided-study subjects)
PhD with Bachelor's entry	22 credits	1 credit from HTI6081 + 4 credits from attending seminars + 2 credits from Practicum + 15 credits from other subjects (no more than 9 credits from Guided-study subjects)

The coursework requirements of individual programmes may be different from the University requirements. Students should check with their affiliated department for the individual programme requirements.

R9.2 All of the subjects taken will be assigned a grade. *level of subjects*

R9.3 *Practicum*

Students must complete two Practicum credits before thesis submission.

To earn one credit, students will be required to engage in teaching/research supporting activities assigned by the HoD/DoS or his/her delegate for 6 hours/week in any 13-week semester. Students are allowed to complete these two credits any time before submission of thesis. They can choose to complete these two credits in two different semesters or within the same semester, subject to the approval of the Chief Supervisor. Stipend recipients and TPS Assistantship recipients are allowed to fulfill part of their departmental training requirement and teaching assistant duties, respectively, through the completion of these compulsory Practicum credits.

Students who are required to undertake teaching supporting activities are required to complete the training programmes organised by the Educational Development Centre, English Language Centre/Chinese Language Centre (as required) before the commencement of any teaching supporting activities.

R9.4 *Research Seminars/Workshops/Conferences*

To earn one credit, students are required to attend at least 10 research seminars per year, in addition to workshops/conferences, and to submit a report, to the Chief Supervisor, of no less than 1,500 words (excluding references) on one of the attended seminars.

Students are recommended to complete one credit per year for completing the requirement, with an overall assessment grade of Pass and Fail. However, as deemed appropriate by the Chief Supervisor, they will be allowed to complete at most two credits per year to fulfill the research credit requirement.

The total credits to be earned by different categories of students will be:

PhD with Master's entry : 3 credits
PhD with Bachelor's entry : 4 credits

R9.5 *Credit Transfer* *credit transfer*

ⁱ HTI6081 is a compulsory one-credit subject entitled *Ethics: Research, Professional and Personal Perspectives*

R9.5.1	Credits which have already been used to contribute to a previous award should not be transferred to contribute to this PhD award with the following exceptions: a. all returning students will be allowed to transfer the grade obtained in the subject “HTI6081 Ethics: Research, Professional & Personal Perspectives” to the new RPg programme regardless of its level, provided that the grade was attained within five years of re-admission; b. all PhD students with Master’s entry will be allowed to transfer one credit from his/her previous attendance in seminars.	<i>credit transfer</i>
R9.5.2	Students may be given credits for recognised previous study undertaken before admission to the joint PhD programme.	
R9.5.3	If the credits to be transferred from previous study have been gained from outside PolyU, they will not be included in the calculation of the qualifying GPA.	
R9.5.4	Credit transfer for study done at the Partner Institution and outside PolyU during the student’s research postgraduate studies in PolyU with prior approval is regarded as an acceptable way to gain credits. An appropriate grade will be assigned and the grade gained for such credit transfer will be included in the calculation of the required qualifying GPA (see R9.6 below).	
R.9.5.5	The validity period for credit transfer for research degree programmes is defined to be five years from the year of attainment at the time of admission to the joint programme.	<i>validity period</i>
R9.6	Students need to complete their coursework with a qualifying GPA of 3.0 or above before submission of their thesis for examination. The qualifying GPA is the result of the accumulated value of the subject grade point multiplied by the subject credit value divided by the total credit value for those subjects. It is capped at 4.0 and is computed as follows: $\text{Qualifying GPA} = \frac{\sum \text{Subject Grade Point} \times \text{Subject Credit Value}}{\sum \text{Subject Credit Value}}$	<i>Qualifying GPA</i>
Where	a. credits earned from all compulsory subjects, except those assessed with a “Pass” or “Fail” grade (such as Practicum and Seminars), will be included in the calculation of Qualifying GPA; b. the best grade points will be chosen for the calculation of the Qualifying GPA for credits earned for elective subjects; c. the following subjects will be excluded from the calculation of Qualifying GPA: <ul style="list-style-type: none"> • exempted subjects • ungraded subjects • incomplete subjects • subjects for which credit transfer has been approved, but without any grade assigned subjects from which a student has been allowed to withdraw (i.e., those with the grade “W”)..	
R9.7	Students may take more subjects than required in order to improve their GPA or in order to strengthen their knowledge.	
R9.8	Subjects taken after submission of the thesis will not contribute to the qualifying GPA.	
R9.9	Students may retake any subject for the purpose of improving their grade without having to seek approval, but they must retake a compulsory subject which they have failed, i.e. obtained an F grade. Students wishing to retake passed subjects will be accorded a lower priority than those who are required to retake (due to failure in a compulsory subject) and can only do so if places are available.	<i>retake of a subject</i>

R9.10	In cases where a student takes another subject to replace a failed elective subject, the fail grade will be taken into account in the calculation of the GPA, despite the passing of the replacement subject.	
R9.11	A student may be exempted from taking a compulsory subject if he/she has successfully completed a similar subject previously in another programme or if he/she already has the associated knowledge/skills via work experience, etc. If a student is exempted from taking a compulsory subject, the credits associated with the exempted subject will not count towards the award requirements. It will therefore be necessary for the student to take another subject in order to satisfy the credit requirement.	<i>subject exemption</i>
R9.12	The assessment regulations conform to PolyU's General Assessment Regulations (GAR) for credit-based programmes except for the special way in which the qualifying GPA, which is capped at 4.0, is calculated as mentioned in Regulations R9.6 and R9.7 and for the retaking of a subject as mentioned in Regulations R9.9 and R9.10. (PolyU's GAR for credit-based programmes are available from https://www2.polyu.edu.hk/as/Staff/ARP/b1.pdf .)	
R10	Progress Report	
R10.1	Students shall submit progress reports as required from time to time by PolyU.	<i>reporting progress</i>
R11	Deregistration	
R11.1	A student may be deregistered in the following circumstances : a. if his/her progress is considered unsatisfactory; or b. if the maximum period of study is exceeded; or c. if his/her thesis is deemed unsatisfactory.	<i>deregistration</i>
R12	Thesis Submission	
R12.1	A student shall submit a notice of intention to take the thesis examination, including a thesis title and brief description, when the thesis is ready or nearly ready for examination.	<i>notice of intention to take thesis examination</i>
R12.2	A student shall submit his/her thesis to the Research Office after it has been approved by both Chief Supervisors.	<i>submission of thesis</i>
R12.3	Under very exceptional circumstances, a student shall be allowed to make a written request to the Research Committee (RC) for submitting a thesis for examination without the prior approval of his/her PolyU Chief Supervisor. The written request should be accompanied with: a. a completed thesis; and b. detailed justification for the request.	<i>Submission of thesis without prior approval of PolyU Chief Supervisor</i>
R12.4	Upon receipt of the written request from a student without the prior approval of his/her PolyU Chief Supervisor for thesis submission, the RC shall invite: g. the PolyU Chief Supervisor to provide the RC with a written explanation of his/her assessment of the thesis; h. the student concerned to respond to the comments made by the PolyU Chief Supervisor; and i. the relevant Departmental Research Committee and Faculty Research Committee/School Board to comment on the application. Each party will be allowed one month to complete the task. Documents received will then be presented to RC for consideration within four months.	
R.12.5	A thesis may be kept confidential normally for a maximum of two years.	<i>Confidentiality</i>

R13 Examinations of Thesis

R13.1 Internal Examiners

*composition
of the Board of
Examiners*

R13.1.1 The Chairman of the Board of Examiners (BoE) shall be appointed by the Head of Department/Dean of School or Dean of Faculty/School Board Chairman. He/She shall be at the Associate Professor level or above, or the equivalent, and from a broadly related discipline. He/She is also expected to have gained successful supervision experience at postgraduate level at PolyU or elsewhere. The main duties of the BoE Chair are (1) to uphold the integrity of the exam process and (2) to act as a gatekeeper to ensure quality of the thesis.

R13.1.2 The PolyU Chief Supervisor shall be a member of the BoE but shall not be the Chairman of the Board. The Chief Supervisor of the Partner Institution may also attend the oral examination as a member of the BoE.

R13.1.3 Both the BoE Chair and the Chief Supervisor have no voting right.

R13.2 External Examiners

R13.2.1 There shall be two external examiners who are not members of PolyU or the Partner Institution.

R13.2.2 Both external examiners shall have successful PhD supervision experience as Chief Supervisors and shall normally be at the Associate Professor level or above, or the equivalent.

R13.2.3 External examiners should have appropriate expertise related to the research programme, shall not have acted previously as the student's supervisor, and shall be in a position to be impartial.

R13.2.4 Special approval will have to be obtained from the BoE Chair and the FRC/School Board Chair if qualifications of nominated external examiners deviate from the above stipulations. In case a nominee holds an "Honorary" academic title, the nomination will have to be approved by the RC Chair.

R13.3 Examination of Thesis

R13.3.1 The thesis submitted shall be read by the Chairman of the BoE who shall decide whether the thesis should be sent out to the external examiners.

R13.3.2 The Chairman of the BoE may require the student to revise and resubmit the thesis before it is considered acceptable to be sent out to the external examiners. The student is limited to two sets of revisions and a maximum of six months shall be allowed each time.

R13.3.3 In the event that the BoE Chair finds the presentation quality and/or language proficiency of the thesis unsatisfactory, s/he should refer it back to the student, via the PolyU Chief Supervisor, for revision, without the need to list out the editorial changes required. The PolyU Chief Supervisor is required to re-assess the revised thesis and to approve it, in writing, for external assessment. However, if the BoE Chair asks a student to make revisions to the thesis that involves technical problems, the thesis must be re-assessed by the BoE Chair before it can be sent out for external assessment.

R13.3.4 In the event that the Chairman of the BoE finds the thesis unacceptable for release to the external examiners after two sets of revisions, the thesis shall be read by the external examiners nevertheless.

R13.3.5 The oral examination is compulsory. The BoE shall decide whether any additional form of examination is necessary.

*form of
examinations*

R13.3.6 The BoE, following reading of the thesis, shall recommend:

*initial stage
of examination*

a. that the thesis form an adequate basis for an oral examination (and other examinations as required); or

*approve oral
examination*

e. that the thesis be revised once within twelve months and resubmitted for the oral

revision required

examination (and other examinations as required); or

- c. that the thesis be deemed unsatisfactory, no resubmission be permitted, and that the student fails. *failure*

R13.3.7 If the BoE cannot reach a consensus view, the BoE Chair shall invite the PolyU Chief Supervisor to nominate an additional external examiner to assess the thesis. The nomination should be endorsed by the BoE Chair and appointed by the RC Chair. S/he should be informed of the background leading to the appointment and his/her view on the thesis constitutes the deciding vote. This additional external examiner will be invited to attend the oral examination. *absence of consensus*

R13.3.8 Following the oral examination (and other examinations as required), the BoE shall recommend to the RC: *final stage of examination*

- a. that the student be awarded the degree of PhD; or *approved without revision*

- b. that the student be awarded the degree of PhD subject to minor amendments being made to the thesis or an additional assignment being completed to the satisfaction of the Chairman of the BoE or his/her nominee by a specified date but normally within a period not longer than three months; or *minor revision*

- f. that the student revise and resubmit the thesis and/or that another oral examination and/or other form of examination be required. The student is limited to one opportunity of re-examination within 12 months; or *revision and re-examination*

- d. that the student be awarded the degree of MPhil and no resubmission be permitted; or *award of MPhil candidate*

- e. that the thesis be deemed unsatisfactory, no resubmission be permitted, and that the student fails. *failure*

R13.3.9 The report detailing the recommendation of the BoE shall be copied to the DRC Chair, who shall alert the RC to problematic cases and provide necessary information when required.

R13.3.10 If there is no consensus view among members of the BoE after the oral examination or re-examination, the Chairman of the Board shall present the case to the RC which shall make a final decision.

R14 **Confirmation of Award**

R14.1 The RC shall confirm on behalf of the Senate the award of the degree of PhD to a student who has satisfied all the requirements for the degree. *RC to confirm award*

R15 **Complaints and Appeals**

R15.1 A student may make a written complaint about his/her study circumstances, or make an appeal against a decision to deregister or against an examination result (including the examination of a taught subject, a Guided-study subject and the thesis defence) by writing to the appropriate authority in the University. *written complaints/ appeals*

Note: The authority to interpret these Regulations rests with the University Research Committee.

(Updated in September 2017)

ADMINISTRATIVE PROCEDURES FOR THE JOINT DOCTOR OF PHILOSOPHY PROGRAMME LEADING TO DUAL AWARDS (APPLICABLE TO STUDENTS ADMITTED BETWEEN 1 JULY 2014 AND 30 JUNE 2017)

Note: While PolyU reserves the right to change these administrative procedures without prior notice as a result of new policies or amendments to the degree regulations as and when they arise, PolyU will consult the Partner Institution to ensure the changes will not affect the students' studies at the Partner Institution.

P1 Admission

- | | | |
|-------|--|--|
| P1.1 | An applicant shall submit an application (Form RC/1) to the Departmental Research Committee (DRC) via the Partner Institution and the Research Office (RO). | |
| P1.2 | An applicant shall set out as systematically and fully as practicable the intended programme of work as it is seen at that time. Any significant changes to the programme of research such as the project title require the approval of the DRC. RO shall be notified of the changes by the DRC. | <i>programme plan;
DRC to approve
subsequent changes</i> |
| P1.3 | If the programme of research forms part of a group project, the applicant shall clearly indicate what contribution he/she will make and the extent to which the work is to be carried out in collaboration with others. | <i>groupwork</i> |
| P1.4 | The applicant shall describe the work he/she will carry out in the Partner Institution, other industrial, commercial, professional or research establishment, if any, as against the PolyU host department to which he/she is attached. | <i>institutional
collaboration</i> |
| P1.5 | An applicant is normally not allowed to be registered for another programme of studies that leads to an award. Exceptional approval from the Research Committee (RC), via his/her PolyU Chief Supervisor and DRC, is required for concurrent registration. Failure to obtain approval may lead to disciplinary action including discontinuation of study at PolyU. | <i>RC to approve
concurrent
registration</i> |
| P1.6 | The DRC, on receipt of an application to register for the research degree programme, shall approve or reject the application. The DRC shall forward approved applications (see P2 below) to the RO. | <i>DRC to consider
the application</i> |
| P1.7 | The Head of the PolyU host department shall certify on Form RDC/1A provision of adequate facilities to enable the student to conduct and complete the research programme in an efficient and safe manner. | <i>responsibility of
PolyU host department</i> |
| P1.8 | The English language requirements under Regulation R1.3 may be waived by the FRC/School Board at the request of the PolyU Chief Supervisor with acceptable justification and endorsement from the DRC. | <i>waiver of language
requirements</i> |
| P1.9 | The DRC shall consider the appropriateness of an internationally recognised public examination and the corresponding score achieved by the applicant if IELTS or TOEFL scores are not provided. | <i>DRC to consider
equivalent examination
result</i> |
| P1.10 | An intention to present the thesis in a language other than English will be considered, preferably on admission. Strong justifications on academic grounds must be provided to substantiate that the use of English will adversely affect the clarity of the thesis should another language be used. Applications shall be endorsed by the DRC, approved by the FRC/School Board and copied, for information, to the RC Chairman, who may veto the decision of the FRC/School Board. | <i>Thesis not in English</i> |

P2 Supervision

- | | |
|------|--|
| P2.1 | A student registered for the Joint PhD shall follow an approved programme of research and coursework under a Chief Supervisor and, if appropriate, Co-supervisors. |
| P2.2 | The Chief Supervisor shall |

- a. be a *full-time academic staff of the department (except visiting or temporary academic staff) in which the student will be registered;
- b. not be registered for a research degree while acting as Chief Supervisor;
- c. have proven research experience and quality research output in an appropriate field of study related to the programme; and
- d. normally have successful experience of RPg supervision.

P2.3 The Co-supervisor shall

- a. not be registered for a research degree while acting as Co-supervisor; and
- b. have proven research experience in an appropriate field of study related to the programme.

P2.3.1 A Co-supervisor shall be appointed under the following circumstances:

- a. the Chief Supervisor does not have successful supervision experience as Chief Supervisor of RPg students;
- b. the Chief Supervisor is appointed on a fixed-term contract and the expiry date of his/her current contract falls within the normal study period of his/her newly recruited RPg student; or
- c. the Chief Supervisor will reach his/her retirement age within the normal study period of his/her newly recruited RPg student.

P2.3.2 Under circumstance described in 2.3.1 a above, the Co-supervisor to be appointed should have successful supervision experience as Chief Supervisor of RPg students and is responsible for ensuring that an appropriate level of supervision is provided to the research student.

P2.3.3 Under circumstances described in 2.3.1 b & c above, the Co-supervisor should be willing to take up the supervision of the RPg student as and when the Chief Supervisor leaves the University.

P2.4 The DRC in making its appointment should consider the current supervisory loading of the proposed supervisors.

P2.5 Colleagues appointed on the Teaching Track and those appointed in affiliated/supporting units (e.g. language centres, research centres, non-academic departments) should only be eligible to act as Co-supervisor(s) of RPg students.

P2.6 In the event that the Chief Supervisor, as determined by the DRC, is not able to continue to supervise the RPg student before the student completes his/her study, the University will arrange, in consultation with potential supervisor(s) and the student, another Chief Supervisor for the student. However, if an appropriate Chief Supervisor cannot be identified, the student's study will have to be discontinued.

P2.7 Any changes in the appointment of supervisor(s) must be approved by the DRC. RO should be notified of such changes within one week.

P2.8 The above regulations shall be strictly observed by Departments/Schools/Faculties. Any special cases which cannot be handled straightly according to the regulations should be considered by the DRC/FRC, in consultation with RO, on a case-by-case basis.

P3 **Confirmation of Registration**

* including those senior executives who are appointed to a non-academic position and are offered a concurrent appointment as academic staff members by the University.

P3.1	Confirmation of registration is expected to take place preferably during the first half of the normal period of study. The student, before confirmation of registration, is required to submit a written report and make a presentation to a panel formed by the DRC. The panel shall include both Chief Supervisors and at least one academic staff member of PolyU, other than the supervisors of the student. The panel shall assess the student's progress during his/her provisional registration period. It will also consider the requirement imposed by the English Language Centre (ELC) concerning the student's English proficiency. If the student's command of the English language is not up to the required standard, as judged by the ELC, the panel may, in serious cases, recommend a deferment of confirmation of registration. The panel shall provide a written assessment of the report and the student's presentation to the DRC. The student can be given another opportunity to revise his/her report and make a second presentation within three months of the first assessment if he/she does not perform satisfactorily in the first assessment.	<i>student report required</i> <i>assessment of progress</i> <i>assessment of English proficiency</i> <i>panel assessment report required</i>
P3.2	The DRC shall a. confirm registration after the formal assessment of the student; and/or b. reject the application and deregister the student; or c. extend the period of provisional registration. The DRC shall inform RO of the decision taken.	<i>DRC to approve registration or otherwise</i>
P4	Transfer between Full-time and Part-time Modes of Study	
P4.1	Students are expected to devote full-time effort to their studies during their stay in Hong Kong. However, applications for transfer of registration between full-time and part-time modes of study shall be proposed jointly by both Chief Supervisors and be approved by the DRC on an exceptional basis. RO shall be notified of the transfer arrangements by the DRC. The student will be informed of the revised normal and maximum periods of study.	<i>DRC to approve change in mode</i>
P5	Completion beyond Normal Period of Study	
P5.1	If a student is unable to complete his/her study within the normal study period, he/she shall notify the DRC Chair via the Chief Supervisor in writing before the normal study period expires, indicating the reasons and the expected completion date, which should fall within the maximum study period. The DRC Chair shall act on the Chief Supervisor's recommendations to approve or disapprove the student's request for continuing his/her study beyond the normal study period (but within the maximum study period), and inform RO of his/her decision.	<i>DRC to be informed of extension within period</i>
P6	Deferment of Study	
P6.1	Applications for deferment shall be endorsed by both Chief Supervisors and approved by the DRC. The DRC shall notify RO of the deferment via the standard form for deferment.	<i>DRC to approve deferment</i>
P7	Residence Requirement	
P7.1	Student's study plan at PolyU, Partner Institution and elsewhere shall be approved by the DRC at admission stage. RO should also be notified of the study plan.	
P8	Leave of Absence	
P8.1	Students' applications for leave of absence shall be approved by the PolyU Chief Supervisor. The Departments must keep the leave record of each of their on-going students and present it to the Research Office when students submit their thesis for examination. The leave taken in Hong Kong will count towards the residence period.	<i>PolyU Chief Supervisor to approve leave of absence</i>
P9	Coursework Requirements	
P9.1	Students are required to pass a compulsory subject entitled <i>Ethics: Research, Professional & Personal Perspectives</i> before thesis submission. This is a one-credit subject which will count towards the credit requirement. They should consult the PolyU Chief Supervisor regarding the	<i>PolyU Chief Supervisor to approve coursework study programme</i>

coursework study programme to be undertaken. The finalised programme should be approved by the PolyU Chief Supervisor.

P9.2 Guided-study subjects are those in which normally no lecturing is done and in which the student is required by the subject supervisor to read specified monographs and journal publications; the student and subject supervisor frequently meet to discuss the progress made by the student in the subject. The weighting assigned for coursework should be less than the weighting assigned for the examination. Coursework normally consists of assignments and presentations. Examination is compulsory and normally includes both written and oral. At the end of the semester, the student is examined by the subject supervisor and another staff member who is knowledgeable about the topic. A grade will be given in the same way as for regular taught subjects in Form RC/27. All Guided-study subjects will be at level 6 and their code number will be between 6800 and 6999.

P9.3 To earn one Practicum credit, students will be required to engage in teaching/research supporting activities assigned by the HoD/DoS or his/her delegate for 6 hours/week in any 13-week semester. Students are allowed to complete these two credits any time before thesis submission. They can choose to complete these two credits in two different semesters or within the same semester, subject to the approval of the PolyU Chief Supervisor. Stipend recipients and TPS Assistantship recipients are allowed to fulfill part of their departmental training requirement and teaching assistant duties, respectively, through the completion of these compulsory Practicum credits.

Before undertaking teaching supporting activities, students must complete the training programmes organised by the Educational Development Centre, English Language Centre and Chinese Language Centre.

P9.4 Research seminars may or may not be organised by the host department and are expected to last not less than an hour each. The topic of the seminar reported on should not be related directly to the thesis title of the student.

Chief Supervisors are required to assess the report (with a pass or failure grade). Students failing to submit a report to the satisfaction of their Chief Supervisor are required to make a re-submission until a pass grade is obtained. The Chief Supervisor has to pass the record of the seminars attended by their students and the report with a pass grade to RO for custody at the end of each academic year.

P9.5 *Credit Transfer*

P9.5.1 *Transfer of credits of subjects at postgraduate level that have not been used to contribute to an award*

Applications for the transfer of credits from recognised previous studies will be proposed by the DRC with justifications and approved by the HoD/DoS. Credits to be transferred may have been gained from within or outside the University and only earned credits of subjects at postgraduate level that have not been used to contribute to an award will be acceptable for transfer. Approval will normally be given for the transfer of a maximum of nine credits. RO will be informed of such approval.

HoD/DoS to approve transfer of credits from recognised previous study

P9.5.2 *Transfer of credits taken at postgraduate level outside PolyU and Partner Institution after admission to PolyU*

Transfer of credits for studies taken at postgraduate level outside PolyU and the Partner Institution during a student's studies in PolyU will be endorsed by the DRC Chair and approved by the HoD/DoS. The student will submit an application (Form RC/48), via his/her PolyU Chief Supervisor, to RO initiating the transfer.

DRC to endorse and HoD/DoS to approve the transfer

The transfer of grades will be in accordance with the conversion table below and the grade gained will be included in the calculation of the qualifying GPA:

Grade Obtained Outside PolyU after Admission	Grade Transferred to PolyU	Grade Point	Interpretation
A+	A+	4.5	Exceptionally Outstanding
A	A	4	Outstanding

A-	A	4	Outstanding
B+	B+	3.5	Very good
B	B	3	Good
B-	B	3	Good
C+	C+	2.5	Wholly satisfactory
C	C	2	Satisfactory
C-	C	2	Satisfactory
D+	D+	1.5	Barely satisfactory
D	D	1	Barely adequate
D-	D	1	Barely adequate
E	F	0	Inadequate
F	F	0	Inadequate

P9.5.3 *Transfer of credits from Partner Institution*

There is no limit on the number of credits to be approved for transfer. Credits taken at either of the two universities after admission to the joint programme shall be recognised by both universities. For subjects taken at the Partner Institution without a grade, the DRC shall assign an appropriate grade for the approval of the HoD/DoS which shall also vet the validity of the credits. Applications can be made using Form RC/33 or RC/48.

DRC to assign an appropriate grade and HoD/DoS to vet validity of credits and approve grades assigned

Minimum number of credits with a letter grade

Students may take subjects to be given a “pass” or “fail” grade, instead of a letter grade. The student will submit an application (Form RC/48), via his/her PolyU Chief Supervisor, to RO initiating the transfer. The application will be endorsed by the DRC Chair and approved by the HoD/DoS. The grade gained will not be included in the calculation of the qualifying GPA. A student must complete/transfer at least six credits with a letter grade including credits taken at the Partner Institution with an assigned grade subsequently approved by the HoD/DoS Board to allow for a meaningful calculation of the qualifying GPA.

completion/transfer of at least six credits with a letter grade

P9.6 Students will register for subjects before the start of a semester. Whether a student can add a subject will depend on the availability of vacancies in the subject and the approval of the PolyU Chief Supervisor. Similarly, a student can drop a subject if it is approved by the PolyU Chief Supervisor. The student will effect the subject registration/deletion. After the add/drop period, RO will check the results of the add/drop changes against the approved study programme of individual students. Students’ add/drop changes will automatically be cancelled if those changes have not yet been approved by the PolyU Chief Supervisor.

PolyU Chief Supervisor to approve changes in subject registration during add/drop period

P9.7 After the add/drop period, further enrolment of subjects will normally not be entertained. Exceptional cases with good justification and to which the subject lecturer agrees will require the DRC’s approval up to the end of the 4th week after the commencement of the semester.

DRC to approve changes in subject registration after add/drop period

P9.8 Subject exemption is decided by the DRC but students can also apply for it. In order to satisfy the credit requirement, it is necessary for the student to take another subject, to be approved by the PolyU Chief Supervisor, in place of the exempted subject.

DRC to approve subject exemption

P9.9 The number of retakes of a subject is not restricted. Only the grade obtained in the final attempt of retaking (even if the retake grade is lower than the original grade for originally passed subject) will be included in the calculation of the Qualifying GPA. If students have passed a subject but failed after retake, credits accumulated for passing the subject in a previous attempt will remain valid for satisfying the credit requirement for award. (The grades obtained in previous attempts will only be reflected in transcript of studies.)

P9.10 The grades obtained by students on taught subjects will be considered and endorsed by the Subject Assessment Review Panel (SARP) of the department offering the subject. The grades obtained by the students on Guided-study subjects will be considered and endorsed by the relevant DRC based on the assessment reports (Form RC/27).

P10 **Monitoring of Progress**

P10.1 Students and their supervisors are required to submit progress reports as required from time to time by PolyU.

progress report required

P10.2	The DRC shall, on receipt of the report, evaluate and assess the progress of the student. In the event that the student's progress is unsatisfactory, the case together with the DRC's recommendations shall be submitted to the FRC/School Board for information.	<i>DRC to monitor progress</i>
P11	Deregistration	
P11.1	A recommendation for deregistration as a result of unsatisfactory progress may be proposed by the PolyU Chief Supervisor and approved by the DRC. The DRC Chairman cannot take action by himself/herself on this issue.	<i>DRC to approve deregistration</i>
P11.2	A recommendation for deregistration made by the Board of Examiners (BoE) shall be approved or rejected by the RC [see Regulations R13.3.6(c) and R13.3.8(e)].	
P12	Thesis Submission	
P12.1	A student and the supervisors concerned, including the Chief Supervisor of the Partner Institution, will complete and submit Form RDC/2B as 'Notice of Intention to Take Thesis Examination' to RO via the DRC when the thesis is ready or nearly ready for examination. This notice is to be accompanied by a brief description of the thesis (or the work done). The PolyU Chief Supervisor shall nominate external examiners and submit supporting information. Upon receipt of the notice, RO shall set up a BoE. Students are advised to submit the notice well in advance of the intended thesis submission date so that the BoE is in place to examine the thesis upon its submission.	<i>form required; DRC to approve thesis title and brief description</i>
P12.2	The two Chief Supervisors shall approve the thesis as acceptable for submission for examination.	<i>Chief Supervisors' approval for submission</i>
P12.3	A student shall initially submit an electronic copy of the thesis to RO with the PolyU Chief Supervisors' confirmation that the thesis is ready for submission (Form RC/18). The thesis must be presented in accordance with the Regulations on the Format and Presentation of Theses for the Joint PhD Programmes Leading to Dual Awards. When the thesis is found acceptable by the BoE Chairman, the electronic copy of the thesis shall be sent to the RO. After satisfying the award requirement, the student must prepare an electronic copy of the final version of the thesis to be sent to the University Library and other parties concerned via the RO.	
P12.4	Written requests to the RC for submitting a thesis for examination without the prior approval of the PolyU Chief Supervisor should be accompanied with:	<i>Submission of thesis without prior approval of PolyU Chief Supervisor</i>
a.	an electronic copy of the thesis; and	
b.	detailed justification for the request via Form RC/62.	
P12.5	Before a submitted thesis can be sent to external examiners, it must meet PolyU's English language standard expectations. To meet these expectations, the thesis must:	<i>English standard expectation</i>
q.	at all times clearly convey its content and meanings through an accurate use of the English language;	
r.	follow a clear and appropriate organisation at all levels: overall (as shown by the Table of Contents and all text-headings); within chapters and within sections; between chapters and sections; at paragraph level; and at clause and sentence levels;	
s.	follow acceptable conventions of standard English syntax;	
t.	use both common and specialist vocabulary accurately and consistently;	
u.	be fully spell-checked so that typographical errors have been removed;	
v.	be free of errors such as incorrect layout, mislabelling or inadequate labelling of tables and other visuals, failure to maintain consistent levels of numbering of section and sub-section headings, etc;	

- w. use punctuation with understanding of its function as an essential aid to comprehension; and
- x. have an accurate and complete set of references (and appendices, if applicable) conforming to a style manual acceptable to the PolyU Chief Supervisor.

- P12.6 If a thesis is to remain confidential for a period of time after completion of the work, an application shall be submitted to the DRC by any interested party before the submission of the thesis for examination. A thesis may be kept confidential normally for a maximum of two years. *confidentiality*
- P13 **Examination of Thesis**
- P13.1 The DRC Chair shall be responsible for the nomination of the BoE Chair, in consultation with the Chief Supervisor, for the approval of the HoD/Dean of School. In the event that the HoD/Dean of School is one of the supervisors of the student, the Dean of Faculty/Chairman of School Board or his/her nominee shall be the Chairman of the BoE. In the case where both the HoD/Dean of School and the Dean of Faculty/Chairman of School Board are the supervisors, the Chairman of the RC or his/her nominee shall be the Chairman of the BoE.
- P13.2 The nomination of external examiners will be endorsed by the Chairman of the BoE and approved by the Chairman of the FRC/School Board. In the event that the Chairman of the BoE is the Chairman of the FRC/School Board, the external examiners will be approved by the RC Chairman. *Chairman, FRC/School Board to approve the nomination*
- P13.3 On receipt of the thesis, the PolyU Chief Supervisor shall submit a report on the thesis within two weeks. As soon as the PolyU Chief Supervisor's report is received, the Chairman of the BoE shall be asked to confirm within two weeks whether the thesis provides a prima facie basis to be sent to the external examiners for consideration. *PolyU Chief Supervisor to submit a report; Chairman, BoE to review the thesis*
- P13.4 In the event that the Chairman requires revision to the thesis before it is sent to the external examiners, the recommendation together with its justification shall be considered by the PolyU Chief Supervisor. If the PolyU Chief Supervisor agrees to the recommendation, the student shall be asked to revise the thesis as instructed. The student shall be given a maximum of six months to carry out each set of revisions, and each thesis is limited to two sets of revisions. In the event that there are divergent opinions between the Chairman of the BoE and the PolyU Chief Supervisor, the case shall be considered by the Chairman of the FRC/School Board, who shall decide on an appropriate action to take. In the event that the Chairman of the FRC/School Board is the Chairman of the BoE, the case shall be considered by the Chairman of the RC.
- P13.5 If the BoE Chairman finds the thesis unacceptable after two sets of revisions, this information will be conveyed to the external examiners when the thesis is released to them for reading.
- P13.6 Each external examiner shall be asked to read the thesis and submit a report on the thesis within six weeks. If both of them agree that the thesis forms an adequate basis for an oral examination, RO shall arrange for the examination. *examiners to review the thesis*
- P13.7 If the BoE cannot reach a consensus view, the Chairman of the BoE shall invite the PolyU Chief Supervisor to nominate an additional external examiner to assess the thesis. *absence of consensus*
- P13.8 The BoE shall conduct the oral examination. Participation requirements and voting right of the BoE are listed as follows:

BoE Chair	PolyU Chief supervisor	Co-supervisor(s)	External examiners
The BoE Chair must participate in the viva in person. S/he has no voting right.	The PolyU Chief Supervisor must participate in the viva in person. S/he has no voting right.	Co-supervisors may or may not attend the viva. They have no voting right.	Both examiners must participate in the viva. At least one of them shall attend the viva in person and the other one may attend the viva either in person or through video facilities. In exceptional circumstances when one of the examiners is unable to attend the viva either in person or through video facilities due to an unexpected event or illness, the viva shall be video-taped. The video, together with the BoE

			<p>report, shall be sent to the external examiner who was absent from the viva for review.</p> <p>Should the outcome of the examination need to be put to a vote, each external examiner may cast one vote. A consensus is required for all decisions.</p>
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P13.9 If a unanimous decision cannot be reached, each member of the BoE will be required to submit a report and recommendation for the consideration of the RC. The RC may set up a review panel to consider the case.

P14 Confirmation of Award

P14.1 Upon receipt of the decision made by the Partner Institution on whether the student has successfully completed all the requirements, the recommendation of the BoE shall be considered and approved by the RC. Chairman's action is not possible. *RC to approve*

P15 Complaints and Appeals

P15.1 Complaints of research students, such as problems encountered in the supervision and provision of research facilities, shall be handled by the relevant DRC. The DRC should consider the complaint and formulate appropriate actions to resolve the problems. The DRC should then inform the student and RO of the actions taken. If the complaints are against the DRC, they should be handled by the relevant FRC/School Board. After resolving the problems, the FRC/School Board should inform the student and RO of the actions taken.

P15.2 Research students may appeal against a decision to deregister or against an examination result (including the examination result of a taught subject, a Guided-study subject and the thesis defence).

P15.3 The procedures for research students to appeal against a decision are detailed as follows:

- c. Students on research degrees shall be informed at the time of their registration of the grounds for appeal and of the procedures whereby appeals are considered. In particular, they shall be made aware of their responsibility to make known to the RC or its delegate of such factors as they believe have detrimentally and materially affected their results prior to the meeting of the RC or its delegate.
- b. A student appealing against a decision shall pay a fee, applicable in the academic year. The fee shall be refunded if the appeal is upheld.
- c. A research student can make an appeal against a decision to deregister him/her or against an examination result within one month of the date of notification of the result. The appeal should be accompanied by a copy of the receipt for the appeal fee. He/She should provide the following information, together with other relevant documents, in support of the appeal:
 - (ix) name in English and Chinese
 - (x) student number
 - (xi) affiliated department
 - (xii) grounds for appeal
- d. An appeal against deregistration should be sent to the relevant Faculty Office. The appeal shall be considered by the whole FRC/School Board, i.e., chairman's action is not allowed. Any member of the FRC/School Board who is a supervisor of the student cannot take part in the FRC/School Board discussion and decision on the case. The FRC/School Board will inform RO of its decision, which will advise the student of the result of his/her appeal within eight weeks of receipt of the appeal.

If the appellant is dissatisfied with the FRC's/School Board's decision, he/she may appeal further in writing to the RC not later than one month (from the date of notification of the first appeal result) after receipt of the decision of the FRC/School Board from the

Secretary, RC. The Chairman of the RC shall determine whether there are prima facie grounds for a re-consideration of the FRC's/School Board's decision, and if so, shall refer it to the RC. The RC will consider the appeal and notify the student of the result within eight weeks of receipt of the appeal. Any member of the RC who is a supervisor of the student cannot take part in the RC discussion and decision on the case. If the RC Chairman considers that there are no grounds for the case, the appeal shall fail.

- e. For an appeal against the result of the thesis examination, the student shall appeal directly to the RC by writing to the Secretary, RC. The RC will consider the appeal and notify the student of the result within eight weeks of receipt of the appeal. Any member of the RC who is a supervisor of the student cannot take part in the RC discussion and decision on the case.

If the appellant is not satisfied with the decision of the RC on his/her appeal, he/she may appeal against the RC's decision by submitting a second appeal to the Registrar not later than one month (from the date of notification of the first appeal result) after receipt of the decision of the RC. The Registrar shall refer the case to the Chairman of the Academic Appeals Committee (AAC), who shall determine whether there are prima facie grounds for a re-consideration of the RC's decision, and if so, shall refer it to the AAC. If the AAC Chairman considers that there are no grounds for the case, the appeal shall fail.

The Chairman of the AAC may invite the Chairman of the BoE and/or the Chairman of the RC to submit to the AAC, prior to the meeting, comments relevant to the case under discussion, and/or may invite either or both Chairmen to attend the meeting of the AAC at which the case is being considered.

- f. For an appeal against the examination result of a taught subject/Guided-study subject, the student should make his/her appeal in writing first to his/her Head of Department within seven working days upon the public announcement of the examination result. The Head of Department shall refer the appeal to the Head of Department offering the subject.

The appeal should be accompanied by a copy of the fee receipt, for inspection by the subject offering Department. The student should give a complete account of the grounds for the appeal in the letter, and provide any supporting evidence.

The subject offering Department shall inform the host Department of the appeal result as soon as possible to enable the host Department to convey the result of the appeal to the student within seven working days of receipt of the appeal.

If the appellant is dissatisfied with the decision, he/she may then appeal in writing to the Registrar not later than seven working days after receipt of his/her Department's reply. He/She should provide the following information together with other relevant documents in support of the appeal:

- name;
- student number;
- mode and level of study;
- examination/subject results appealing against; and
- grounds for appeal.

The Registrar shall refer the case to the Chairman of the AAC, who shall determine whether there are prima facie grounds for a re-consideration of the decision of the SARP if the subject in question is a taught subject, or the DRC if the subject in question is a Guided-study subject. If so, the Registrar shall refer it to the AAC. If the AAC Chairman considers that there are no grounds, the appeal shall fail.

The Chairman of the relevant SARP/DRC may be invited by the AAC to submit, prior to the meeting, comments relevant to the case under discussion, and to attend the meeting of the AAC at which the case is being considered.

- i. In all cases where any appeal is considered by the AAC, the following will apply:

- (i) The appellant may be required to appear before the AAC.
- (ii) The appellant shall have the right to appear before the AAC. He/She shall also have the right to be accompanied and/or to be represented by one other person if he/she so chooses.
- (iii) The AAC may, acting under the powers delegated to it by the Senate, and in the following circumstances, review a decision reached by the SARP/DRC/RC:
 - 1. If a student requests such a review and establishes to the satisfaction of the AAC that his/her performance was adversely affected by illness or other factors which he/she was unable, or for valid reasons, unwilling to divulge before the SARP/DRC/RC reached its decision, and of which the SARP/DRC/RC was unaware. The request from the student must be supported by medical certificates or other documentary evidence;
 - 2. If the AAC is satisfied with the evidence produced by the student or any other person that there has been a material administrative error, or that the assessment has not been conducted in accordance with the prevalent regulations of the University, or that other procedural irregularity has occurred.
- (iv) The AAC may determine:
 - 1. To annul the relevant decision of the SARP/DRC/RC and refer the case for decision back to the SARP/DRC/RC. The subsequent decision of the SARP/DRC/RC will be referred to the Chairman of the AAC, who will decide the appropriate course of action;
 - 2. Exceptionally to annul the relevant decision of the SARP/DRC/RC and assign a revised result to the student concerned;
 - 3. To confirm the decision of the SARP/DRC/RC on any of the following grounds:
 - 3.1 the evidence presented does not support the case;
 - 3.2 the evidence presented under paragraph g(iii)1 above would not have materially affected the decision of the SARP/DRC/RC;
 - 3.3 any irregularity identified under paragraph g(iii)2 above would not have materially affected the decision of the SARP/DRC/RC;
 - 4. To ask the RC to re-consider the operation and wording of the University's academic regulations pertaining to research degree programmes;

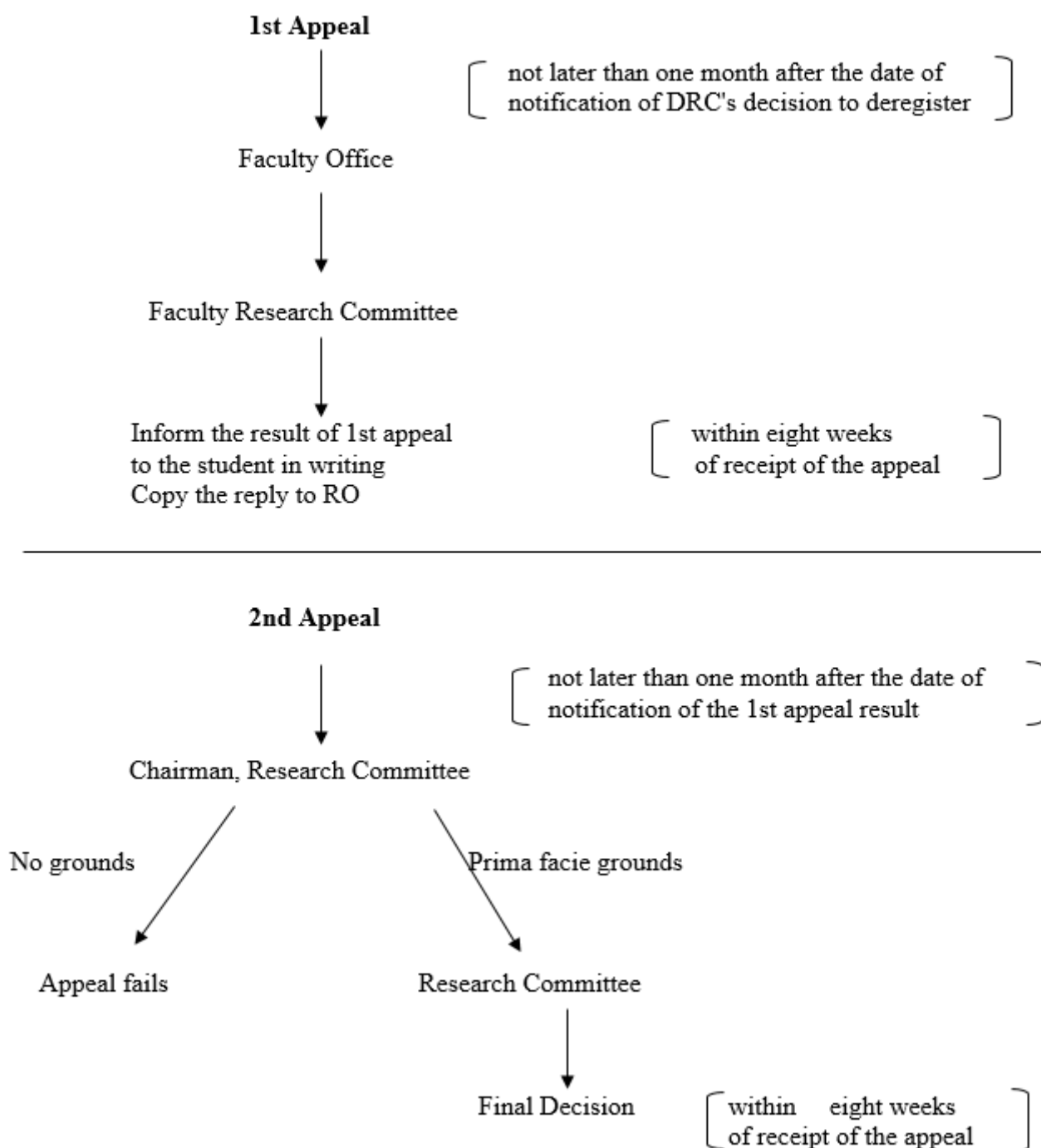
5. By the authority delegated to it by the Senate, to make decisions on the student's progression or award outside the regulations of the University. The AAC shall report all these cases to the Senate for information; or
6. To make such other decisions that fall within its terms of reference.

(v) The decisions of the AAC shall be final within the University.

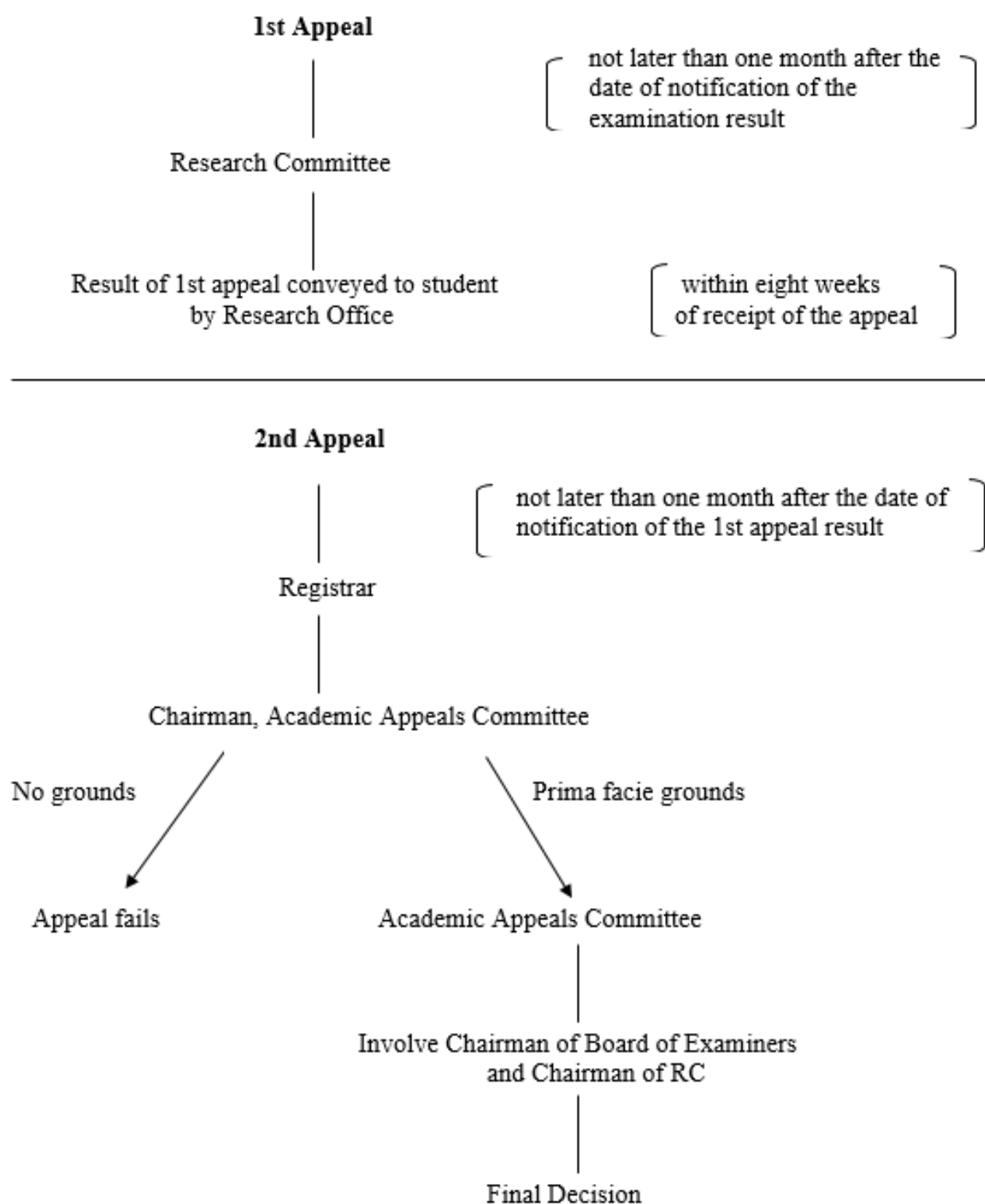
The procedures are outlined in the attached flow charts (Appendices C2.1, C2.2 and C2.3).

(Updated in August 2019)

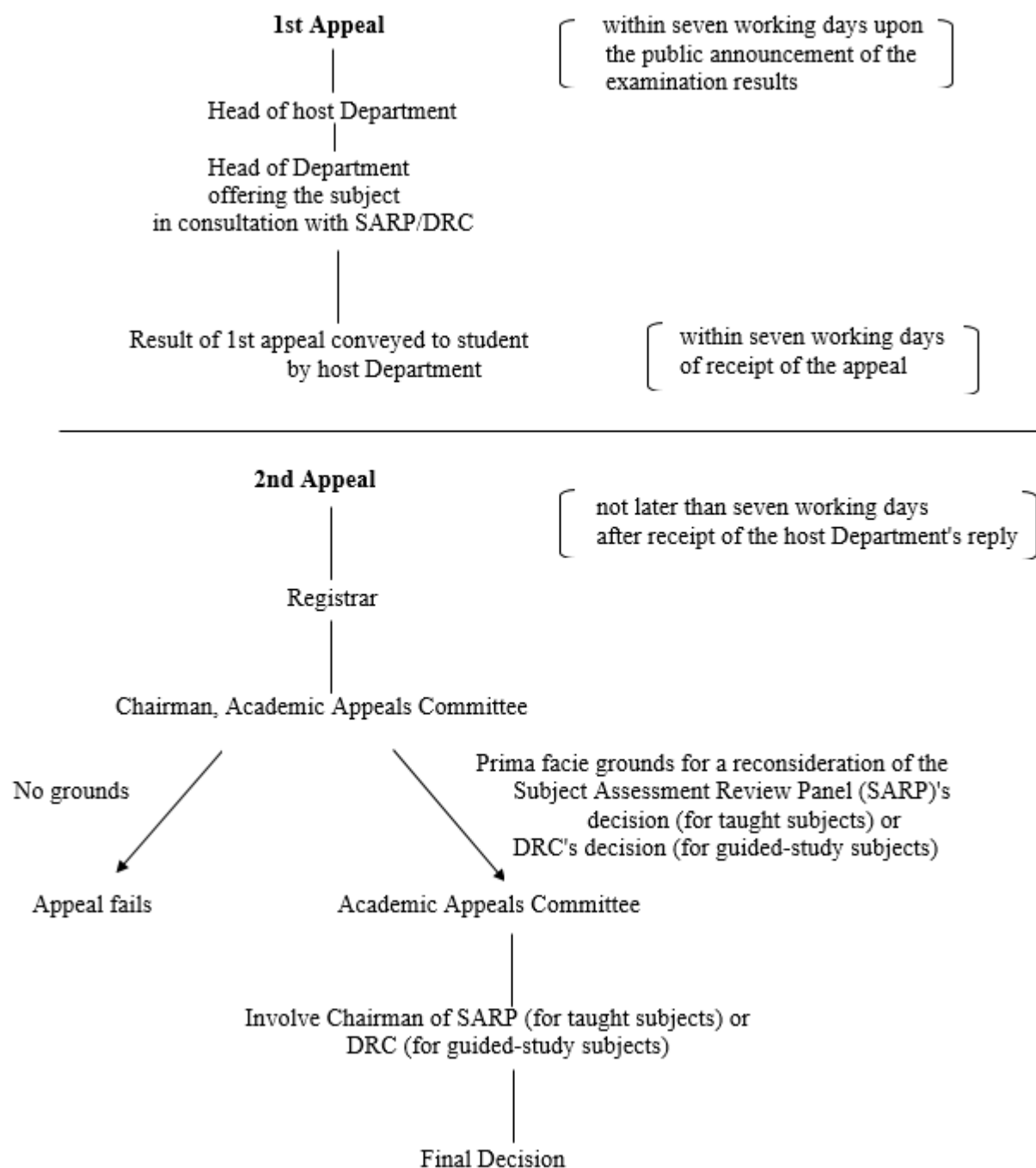
**Procedures for Appeals from Research Students Against Decisions of
De-registration**



Procedures for Appeals from Research Students Against the Result of the Thesis Examination



Procedures for Appeals from Research Students Against Examination Results of Individual Taught Subjects including Guided-study Subjects



REGULATIONS FOR THE JOINT DOCTOR OF PHILOSOPHY PROGRAMMES LEADING TO DUAL AWARDS (APPLICABLE TO STUDENTS ADMITTED ON OR AFTER 1 JULY 2017)

Preamble

The “Joint Doctor of Philosophy (PhD) Programme” refers to the joint offer of a PhD programme between The Hong Kong Polytechnic University (PolyU) and another institution of good standing. Upon satisfactory completion of study, the student will receive a PhD award jointly granted by PolyU and the Partner Institution. Two award parchments will be issued; one by PolyU and the other by the Partner Institution.

definition

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.

purpose

The programme of research is designed in such a way to enable the student to acquire competence in research methods and scholarship and to display sustained independent effort and independent original thought.

design of the programme

The degree of PhD shall be awarded to a student who, on completion of an approved programme of study and research, presents a thesis embodying the results of his/her research and satisfies the examiners in an oral examination (and other examinations if required) in matters relevant to the subject of the thesis.

successful PhD

Students are required to satisfactorily investigate or evaluate a chosen area, to show understanding of the context and significance of the work, and to present a clear, complete thesis of a quality worthy of publication.*

Students are expected in addition to produce evidence and argument to support an original proposition that results in a significant contribution to knowledge.

Approval may be given for a thesis to be accompanied by materials other than in the written form.

presentation of other material

The thesis shall be presented in English. Permission must be sought, normally at the point of admission, if another language, which is considered more appropriate to the subject, is to be used in the presentation of the thesis.

language of thesis

R1 Admission Requirements

R1.1 To register for the degree of PhD, a student shall normally hold a postgraduate degree containing a significant research component, such as a dissertation, conferred by PolyU or a recognised university.

minimum entrance requirements

R1.2 In exceptional circumstances students other than those stipulated in R1.1 may be permitted to register. For example, students with a Bachelor’s degree with First Class Honours, or the equivalent, may be admitted directly to the PhD programme. Such students may be required to pass an examination.

waiver of entrance requirements

R1.3 From the 2020/21 Admissions Exercise onwards

The requirements for those RPg applicants who do not have a degree for which English was the language of instruction at a recognised university are:

language requirements

* Publication is broadly defined to include all forms of dissemination of the research findings, subject to peer endorsement or public recognition, in the public domain.

- An overall score of at least 6.5 in the International English Language Testing System (IELTS); OR
- A Test of English as a Foreign Language (TOEFL) score of 80 or above for the Internet-based test or 550 or above for the paper-based test.

All English language test scores are considered valid for two years after the date of the test.

For the 2019/20 Admissions Exercise or before

Applicants who have not obtained a degree of which the language of instruction was English from a recognised university are normally required to obtain an overall IELTS (International English Language Testing System) score of at least 6.5 (with score for writing component at 6.0 or above); a TOEFL (Test of English as a Foreign Language) score of 550 or above (with a score of at least 4 out of 6 in the Test of Written English), or an internet-based TOEFL score of 80 or above (with a writing score of 23 or above). All English language test scores are considered valid for five years after the date of the test. Consideration will be given to acceptable scores obtained in other internationally recognised public examinations, such as GRE (Graduate Record Examination) or GMAT (Graduate Management Admission Test), as deemed appropriate.

- R1.4 A student who is registered for the joint PhD programme shall not be concurrently registered for another programme of studies that leads to an award in PolyU, the Partner Institution or elsewhere, without prior approval. *no concurrent registration without approval*
- R2 **Supervision**
- R2.1 A student registered for the joint PhD programme shall follow an approved programme of research and coursework under two Chief Supervisors, one from PolyU and the other from the Partner Institution (who will be considered as Co-supervisor of PolyU when registration takes effect at PolyU) and, if appropriate, PolyU Co-supervisors in addition to the Chief Supervisor from the Partner Institution. *supervisory arrangements*
- R3 **Confirmation of Registration**
- R3.1 A successful applicant shall first be registered provisionally for the degree of PhD. *provisional registration*
- R3.2 Students are required to apply for confirmation of registration, subject to formal assessment, any time during their study in Hong Kong within the normal period of study. *confirmation of registration*
- R3.3 The registration shall be (a) confirmed; (b) terminated or (c) exceptionally extended to remain provisional.
- R4 **Normal Period of Study**
- R4.1 For students admitted in the 2017/18 cohort
The normal period of the full-time study is taken as the longer between the normal period of study of PolyU and that of the Partner Institution. *normal period of study*

For students admitted from the 2018/19 cohort onwards

The duration of normal period of study in PolyU will be counted from the date the student registers at PolyU instead of that at the Partner Institution.

<u>Degree</u>	<u>Study Mode</u>	<u>Normal Study Period</u>
PhD	Full-time	3 years
		4 years*
	Part-time	6 years
		8 years*

Note:

* For PhD students admitted on the basis of a Bachelor's degree

R5 Maximum Period of Study

- R5.1 *For students admitted in the 2017/18 cohort*
The maximum period of the full-time study is taken as the longer between the maximum period of study of PolyU and that of the Partner Institution. *maximum period of study*

For students admitted from the 2018/19 cohort onwards

The duration of maximum period of study in PolyU will be counted from the date the student registers at PolyU instead of that at the Partner Institution.

Degree	Study Mode	Maximum Study Period
PhD	Full-time	5 years
		6 years*
	Part-time	7 years
		9 years*

Note:

* *For PhD students admitted on the basis of a Bachelor's degree*

- R5.2 A student who is not able to submit his/her thesis for examination within the normal period of study as expected, must submit the thesis at a date within the maximum period of study. *completion beyond the normal period*
- R5.3 Extension of the maximum period of study shall not be permitted. The student shall be deregistered from the programme if he/she fails to submit the thesis upon expiry of the maximum period of study. *extension of the maximum period not permitted*
- R5.4 Any extra period allowed for revision or resubmission of the thesis under R13.3 shall not count towards the maximum period of study.

R6 Deferment of Study

- R6.1 A student registering for the joint PhD programme will not normally be allowed to defer his/her study during or after the normal period of study except on the basis of certified health problems. Deferment will not count towards the period of study. *deferment of study*

R7 Residence Requirement

- R7.1 *For students admitted in the 2017/18 cohort*
Permission may be granted for the research to be conducted outside Hong Kong and the Partner Institution. However, students must spend at least 12 months (aggregate) of their studies at PolyU.
- For students admitted from the 2018/19 cohort onwards*
Incoming joint PhD students shall spend at least 3 consecutive semesters including 1 summer term in PolyU to complete the required coursework and the research work.
- Outgoing joint PhD students shall spend at least three regular semesters at PolyU if a relevant research Master's degree is earned prior to entering the programme, and four regular semesters if it is not.

R8 Leave

- R8.1 With the prior agreement of the PolyU Chief Supervisor, a full-time student may take vacation leave of up to four weeks per study year. *vacation leave*

R9 Coursework/Credit Requirements

- R9.1 The University coursework requirements are: *credit requirement*

Category	Coursework requirement	Details
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PhD with Master's entry	15 credits	1 credit from ⁱ HTI6081 + 3 credits from attending seminars + 2 credits from Practicum + 9 credits from other subjects (no more than 6 credits from Guided-study subjects)
PhD with Bachelor's entry	22 credits	1 credit from HTI6081 + 4 credits from attending seminars + 2 credits from Practicum + 15 credits from other subjects (no more than 9 credits from Guided-study subjects)

The coursework requirements of individual programmes may be different from the University requirements. Students should check with their affiliated department for the individual programme requirements.

R9.2 All of the subjects taken will be assigned a grade. *level of subjects*

R9.3 *Practicum*

Students must complete two Practicum credits before thesis submission.

To earn one credit, students will be required to engage in teaching/research supporting activities assigned by the HoD/DoS or his/her delegate for 6 hours/week in any 13-week semester. Students are allowed to complete these two credits any time before submission of thesis. They can choose to complete these two credits in two different semesters or within the same semester, subject to the approval of the Chief Supervisor. Stipend recipients and TPS Assistantship recipients are allowed to fulfill part of their departmental training requirement and teaching assistant duties, respectively, through the completion of these compulsory Practicum credits.

Students who are required to undertake teaching supporting activities are required to complete the training programmes organised by the Educational Development Centre, English Language Centre/Chinese Language Centre (as required) before the commencement of any teaching supporting activities.

R9.4 *Research Seminars/Workshops/Conferences*

To earn one credit, students are required to attend at least 10 research seminars per year, in addition to workshops/conferences, and to submit a report, to the Chief Supervisor, of no less than 1,500 words (excluding references) on one of the attended seminars.

Students are recommended to complete one credit per year for completing the requirement, with an overall assessment grade of Pass and Fail. However, as deemed appropriate by the Chief Supervisor, they will be allowed to complete at most two credits per year to fulfill the research credit requirement.

The total credits to be earned by different categories of students will be:

PhD with Master's entry : 3 credits
PhD with Bachelor's entry : 4 credits

R9.5 *Credit Transfer* *credit transfer*

R9.5.1 Credits which have already been used to contribute to a previous award should not be transferred to contribute to this PhD award with the following exceptions: *credit transfer*

- a. all returning students will be allowed to transfer the grade obtained in the subject "HTI6081 Ethics: Research, Professional & Personal Perspectives" to the new RPg programme regardless of its level, provided that the grade was attained within five years of re-admission;

ⁱ HTI6081 is a compulsory one-credit subject entitled *Ethics: Research, Professional and Personal Perspectives*

- b. all PhD students with Master's entry will be allowed to transfer one credit from his/her previous attendance in seminars.

R9.5.2 Students may be given credits for recognised previous study undertaken before admission to the joint PhD programme.

R9.5.3 If the credits to be transferred from previous study have been gained from outside PolyU, they will not be included in the calculation of the qualifying GPA.

R9.5.4 Credit transfer for study done at the Partner Institution and outside PolyU during the student's research postgraduate studies in PolyU with prior approval is regarded as an acceptable way to gain credits. An appropriate grade will be assigned and the grade gained for such credit transfer will be included in the calculation of the required qualifying GPA (see R9.6 below).

R.9.5.5 For students admitted in the 2017/18 cohort

The validity period for credit transfer for research degree programmes is defined to be five years from the year of attainment at the time of admission to the joint programme.

validity period

For students admitted from the 2018/19 cohort onwards

The validity period for credit transfer for research degree programmes is defined to be eight years from the year of attainment at the time of admission to the joint programme.

validity period

R9.6 Students need to complete their coursework with a qualifying GPA of 3.0 or above before submission of their thesis for examination. The qualifying GPA is the result of the accumulated value of the subject grade point multiplied by the subject credit value divided by the total credit value for those subjects. It is capped at 4.0 and is computed as follows:

Qualifying GPA

$$\text{Qualifying GPA} = \frac{\sum \text{Subject Grade Point} \times \text{Subject Credit Value}}{\sum \text{Subject Credit Value}}$$

Where

- credits earned from all compulsory subjects, except those assessed with a "Pass" or "Fail" grade (such as Practicum and Seminars), will be included in the calculation of Qualifying GPA;
- the best grade points will be chosen for the calculation of the Qualifying GPA for credits earned for elective subjects;
- the following subjects will be excluded from the calculation of Qualifying GPA:
 - exempted subjects
 - ungraded subjects
 - incomplete subjects
 - subjects for which credit transfer has been approved, but without any grade assigned
 - subjects from which a student has been allowed to withdraw (i.e., those with the grade "W")..

R9.7 Students may take more subjects than required in order to improve their GPA or in order to strengthen their knowledge.

R9.8 Subjects taken after submission of the thesis will not contribute to the qualifying GPA.

R9.9 Students may retake any subject for the purpose of improving their grade without having to seek approval, but they must retake a compulsory subject which they have failed, i.e. obtained an F grade. Students wishing to retake passed subjects will be accorded a lower priority than those who are required to retake (due to failure in a compulsory subject) and can only do so if places are available.

retake of a subject

R9.10	In cases where a student takes another subject to replace a failed elective subject, the fail grade will be taken into account in the calculation of the GPA, despite the passing of the replacement subject.	
R9.11	A student may be exempted from taking a compulsory subject if he/she has successfully completed a similar subject previously in another programme or if he/she already has the associated knowledge/skills via work experience, etc. If a student is exempted from taking a compulsory subject, the credits associated with the exempted subject will not count towards the award requirements. It will therefore be necessary for the student to take another subject in order to satisfy the credit requirement.	<i>subject exemption</i>
R9.12	The assessment regulations conform to PolyU's General Assessment Regulations (GAR) for credit-based programmes except for the special way in which the qualifying GPA, which is capped at 4.0, is calculated as mentioned in Regulations R9.6 and R9.7 and for the retaking of a subject as mentioned in Regulations R9.9 and R9.10. (PolyU's GAR for credit-based programmes are available from https://www2.polyu.edu.hk/as/Staff/ARP/b1.pdf .)	
R10	Progress Report	
R10.1	<u>For students admitted in the 2017/18 cohort</u> Students shall submit progress reports as required from time to time by PolyU.	<i>reporting progress</i>
	<u>For students admitted from the 2018/19 cohort onwards</u> All students will be assessed by their academic department by the end of each Semester. DRC is required to indicate in the Student Record System if an RPg student will be allowed to proceed on with their study by end of each Semester.	
R11	Deregistration	
R11.1	A student may be deregistered in the following circumstances : a. if his/her progress is considered unsatisfactory; or b. if the maximum period of study is exceeded; or c. if his/her thesis is deemed unsatisfactory.	<i>deregistration</i>
R12	Thesis Submission	
R12.1	A student shall submit a notice of intention to take the thesis examination, including a thesis title and brief description, when the thesis is ready or nearly ready for examination.	<i>notice of intention to take thesis examination</i>
R12.2	A student shall submit his/her thesis to the Research Office after it has been approved by both Chief Supervisors.	<i>submission of thesis</i>
R12.3	Under very exceptional circumstances, a student shall be allowed to make a written request to the Research Committee (RC) for submitting a thesis for examination without the prior approval of his/her PolyU Chief Supervisor. The written request should be accompanied with: b. a completed thesis; and b. detailed justification for the request.	<i>Submission of thesis without prior approval of PolyU Chief Supervisor</i>
R12.4	Upon receipt of the written request from a student without the prior approval of his/her PolyU Chief Supervisor for thesis submission, the RC shall invite: j. the PolyU Chief Supervisor to provide the RC with a written explanation of his/her assessment of the thesis; k. the student concerned to respond to the comments made by the PolyU Chief Supervisor; and	

1. the relevant Departmental Research Committee and Faculty Research Committee/School Board to comment on the application.

Each party will be allowed one month to complete the task. Documents received will then be presented to RC for consideration within four months.

R.12.5 A thesis may be kept confidential normally for a maximum of two years.

Confidentiality

R13 **Examinations of Thesis**

R13.1 *Internal Examiners*

*composition
of the Board of
Examiners*

R13.1.1 The Chairman of the Board of Examiners (BoE) shall be appointed by the Head of Department/Dean of School or Dean of Faculty/School Board Chairman. He/She shall be at the Associate Professor level or above, or the equivalent, and from a broadly related discipline. He/She is also expected to have gained successful supervision experience at postgraduate level at PolyU or elsewhere. The main duties of the BoE Chair are (1) to uphold the integrity of the exam process and (2) to act as a gatekeeper to ensure quality of the thesis.

R13.1.2 The PolyU Chief Supervisor shall be a member of the BoE but shall not be the Chairman of the Board. The Chief Supervisor of the Partner Institution may also attend the oral examination as a member of the BoE.

R13.1.3 Both the BoE Chair and the Chief Supervisor have no voting right.

R13.2 *External Examiners*

R13.2.1 There shall be two external examiners who are not members of PolyU or the Partner Institution.

R13.2.2 Both external examiners shall have successful PhD supervision experience as Chief Supervisors and shall normally be at the Associate Professor level or above, or the equivalent.

R13.2.3 External examiners should have appropriate expertise related to the research programme, shall not have acted previously as the student's supervisor, and shall be in a position to be impartial.

R13.2.4 Special approval will have to be obtained from the BoE Chair and the FRC/School Board Chair if qualifications of nominated external examiners deviate from the above stipulations. In case a nominee holds an "Honorary" academic title, the nomination will have to be approved by the RC Chair.

R13.3 *Examination of Thesis*

R13.3.1 The thesis submitted shall be read by the Chairman of the BoE who shall decide whether the thesis should be sent out to the external examiners.

R13.3.2 The Chairman of the BoE may require the student to revise and resubmit the thesis before it is considered acceptable to be sent out to the external examiners. The student is limited to two sets of revisions and a maximum of six months shall be allowed each time.

R13.3.3 In the event that the BoE Chair finds the presentation quality and/or language proficiency of the thesis unsatisfactory, s/he should refer it back to the student, via the PolyU Chief Supervisor, for revision, without the need to list out the editorial changes required. The PolyU Chief Supervisor is required to re-assess the revised thesis and to approve it, in writing, for external assessment. However, if the BoE Chair asks a student to make revisions to the thesis that involves technical problems, the thesis must be re-assessed by the BoE Chair before it can be sent out for external assessment.

R13.3.4 In the event that the Chairman of the BoE finds the thesis unacceptable for release to the external examiners after two sets of revisions, the thesis shall be read by the external examiners nevertheless.

R13.3.5 The oral examination is compulsory. The BoE shall decide whether any additional form of examination is necessary.

*form of
examinations*

R13.3.6	The BoE, following reading of the thesis, shall recommend:	<i>initial stage of examination</i>
a.	that the thesis form an adequate basis for an oral examination (and other examinations as required); or	<i>approve oral examination</i>
g.	that the thesis be revised once within twelve months and resubmitted for the oral examination (and other examinations as required); or	<i>revision required</i>
c.	that the thesis be deemed unsatisfactory, no resubmission be permitted, and that the student fails.	<i>failure</i>
R13.3.7	If the BoE cannot reach a consensus view, the BoE Chair shall invite the PolyU Chief Supervisor to nominate an additional external examiner to assess the thesis. The nomination should be endorsed by the BoE Chair and appointed by the RC Chair. S/he should be informed of the background leading to the appointment and his/her view on the thesis constitutes the deciding vote. This additional external examiner will be invited to attend the oral examination.	<i>absence of consensus</i>
R13.3.8	Following the oral examination (and other examinations as required), the BoE shall recommend to the RC:	<i>final stage of examination</i>
a.	that the student be awarded the degree of PhD; or	<i>approved without revision</i>
b.	that the student be awarded the degree of PhD subject to minor amendments being made to the thesis or an additional assignment being completed to the satisfaction of the Chairman of the BoE or his/her nominee by a specified date but normally within a period not longer than three months; or	<i>minor revision</i>
h.	that the student revise and resubmit the thesis and/or that another oral examination and/or other form of examination be required. The student is limited to one opportunity of re-examination within 12 months; or	<i>revision and re-examination</i>
d.	that the student be awarded the degree of MPhil and no resubmission be permitted; or	<i>award of MPhil candidate</i>
e.	that the thesis be deemed unsatisfactory, no resubmission be permitted, and that the student fails.	<i>failure</i>
R13.3.9	The report detailing the recommendation of the BoE shall be copied to the DRC Chair, who shall alert the RC to problematic cases and provide necessary information when required.	
R13.3.10	If there is no consensus view among members of the BoE after the oral examination or re-examination, the Chairman of the Board shall present the case to the RC which shall make a final decision.	
R14	Confirmation of Award	
R14.1	The RC shall confirm on behalf of the Senate the award of the degree of PhD to a student who has satisfied all the requirements for the degree.	<i>RC to confirm award</i>
R15	Complaints and Appeals	
R15.1	A student may make a written complaint about his/her study circumstances, or make an appeal against a decision to deregister or against an examination result (including the examination of a taught subject, a Guided-study subject and the thesis defence) by writing to the appropriate authority in the University.	<i>written complaints/ appeals</i>

Note: The authority to interpret these Regulations rests with the University Research Committee.

(March 2019)

ADMINISTRATIVE PROCEDURES FOR THE JOINT DOCTOR OF PHILOSOPHY PROGRAMME LEADING TO DUAL AWARDS (APPLICABLE TO STUDENTS ADMITTED ON OR AFTER 1 JULY 2017)

Note: While PolyU reserves the right to change these administrative procedures without prior notice as a result of new policies or amendments to the degree regulations as and when they arise, PolyU will consult the Partner Institution to ensure the changes will not affect the students' studies at the Partner Institution.

P1 Admission

- | | | |
|-------|---|--|
| P1.1 | An applicant shall submit an application online to the relevant Departmental Research Committee (DRC) via the Academic Registry (AR)'s eAdmission System. | |
| P1.2 | An applicant is allowed one programme choice per application. If an applicant wants to apply for more programmes, s/he has to submit multiple applications and pay multiple sets of application fee. When more than one offer is made to the same applicant, the applicant will be allowed to choose between the offers. | |
| P1.3 | An applicant shall set out as systematically and fully as practicable the intended programme of work as it is seen at that time. Any significant changes to the programme of research such as the project title require the approval of the DRC. | <i>programme plan;
DRC to approve
subsequent changes</i> |
| P1.4 | If the programme of research forms part of a group project, the applicant shall clearly indicate what contribution he/she will make and the extent to which the work is to be carried out in collaboration with others. | <i>groupwork</i> |
| P1.5 | The applicant shall describe the work he/she will carry out in the Partner Institution, other industrial, commercial, professional or research establishment, if any, as against the PolyU host department to which he/she is attached. | <i>institutional
collaboration</i> |
| P1.6 | An applicant is normally not allowed to be registered for another programme of studies that leads to an award. Exceptional approval from the Research Committee (RC), via his/her PolyU Chief Supervisor and DRC, is required for concurrent registration. Failure to obtain approval may lead to disciplinary action including discontinuation of study at PolyU. | <i>RC to approve
concurrent
registration</i> |
| P1.7 | The DRC, on receipt of an application to register for the research degree programme, shall approve or reject the application. The DRC shall complete and submit Form RC/1 to the Research Office (RO) for vetting the funding sources before making offers to applicants via AS's Student Record System (SRS). After vetting the details, especially the funding sources in Form RC/1, RO will confirm with the DRC to make offers. | <i>DRC to consider
the application</i> |
| P1.8 | If the applicant holds qualifications other than those stipulated in para.1.1 and 1.2, the DRC shall decide whether an examination is required. If so, the department concerned should arrange for the examination. In the case that the DRC recommends admission of a student under para.1.3, it shall provide justification showing why the academic qualification is equivalent to the stipulated academic qualification requirement and the applicant is considered to be capable of completing the research programme. The application and justification are to be sent to the Faculty Research Committee (FRC)/School Board for approval. | |
| P1.9 | In the event that the FRC/School Board rejects an application forwarded to it by the DRC, the decision, together with its justification, shall be conveyed to the DRC. In the event that the DRC does not agree with the FRC/School Board that the application should be rejected, the case shall be forwarded to the RC for consideration. | |
| P1.10 | The English language requirements under Regulation R1.3 may be waived by the FRC/School Board at the request of the Chief Supervisor with acceptable justification and endorsement from the DRC. | <i>waiver of language
requirements</i> |
| P1.11 | The thesis should be presented in English. An intention to present the thesis in a language other than English will be considered, preferably on admission. Strong justifications on | <i>Thesis not in English</i> |

academic grounds must be provided to substantiate that the use of English will adversely affect the clarity of the thesis. Applications shall be endorsed by the DRC, approved by the FRC/School Board and copied, for information, to the RC Chairman, who may veto the decision of the FRC/School Board.

P2 Supervision

P2.1 A student registered for the Joint PhD shall follow an approved programme of research and coursework under a Chief Supervisor and, if appropriate, Co-supervisors.

P2.2 The Chief Supervisor shall

- a. be a full-time academic staff* of the department (except visiting or temporary academic staff) in which the student will be registered;

Note:

** Including those senior executives who are appointed to a non-academic position and are offered a concurrent appointment as academic staff members by the University.*

- b. not be registered for a research degree while acting as Chief Supervisor;
- c. have proven research experience and quality research output in an appropriate field of study related to the programme; and
- d. normally have successful experience of RPg supervision as Chief Supervisor.

P2.3 The Co-supervisor shall

- a. not be registered for a research degree while acting as Co-supervisor; and
- b. have proven research experience in an appropriate field of study related to the programme.

P2.3.1 A Co-supervisor shall be appointed under the following circumstances:

- a. the Chief Supervisor does not have successful supervision experience as Chief Supervisor of RPg students;
- b. the Chief Supervisor is appointed on a fixed-term contract and the expiry date of his/her current contract falls within the normal study period of his/her newly recruited RPg student; or
- c. the Chief Supervisor will reach his/her retirement age within the normal study period of his/her newly recruited RPg student.

P2.3.2 Under circumstance described in 2.3.1 a above, the Co-supervisor to be appointed should have successful supervision experience as Chief Supervisor of RPg students and is responsible for ensuring that an appropriate level of supervision is provided to the research student.

P2.3.3 Under circumstances described in 2.3.1 b & c above, the Co-supervisor should be willing to take up the supervision of the RPg student as and when the Chief Supervisor leaves the University.

P2.4 The DRC in making its appointment should consider the current supervisory loading of the proposed supervisors.

P2.5 Colleagues appointed on the Teaching Track and those appointed in affiliated/supporting units (e.g. language centres, research centres, non-academic departments) should only be eligible to act as Co-supervisor(s) of RPg students.

P2.6 In the event that the Chief Supervisor, as determined by the DRC, is not able to continue to supervise the RPg student before the student completes his/her study, the University will arrange, in consultation with potential supervisor(s) and the student, another Chief Supervisor for the student. However, if an appropriate Chief Supervisor cannot be identified, the student's study will have to be discontinued.

P2.7	Any changes in the appointment of supervisor(s) must be approved by the DRC. The office concerned ²⁶ should be notified of such changes within one week.	
P2.8	The above regulations shall be strictly observed by Departments/Schools/Faculties. Any special cases which cannot be handled straightly according to the regulations should be considered by the DRC/FRC, in consultation with RO, on a case-by-case basis.	
P3	Confirmation of Registration	
P3.1	Confirmation of registration is expected to take place preferably during the first half of the normal period of study. The student, before confirmation of registration, is required to submit a written report and make a presentation to a panel formed by the DRC. The panel shall include both Chief Supervisors and at least one academic staff member of PolyU, other than the supervisors of the student. The panel shall assess the student's progress during his/her provisional registration period. It will also consider the requirement imposed by the English Language Centre (ELC) concerning the student's English proficiency. If the student's command of the English language is not up to the required standard, as judged by the ELC, the panel may, in serious cases, recommend a deferment of confirmation of registration. The panel shall provide a written assessment of the report and the student's presentation to the DRC. The student can be given another opportunity to revise his/her report and make a second presentation within three months of the first assessment if he/she does not perform satisfactorily in the first assessment.	<i>student report required</i> <i>assessment of progress</i> <i>assessment of English proficiency</i> <i>panel assessment report required</i>
P3.2	The DRC shall <ul style="list-style-type: none"> a. confirm registration after the formal assessment of the student; and/or b. reject the application and deregister the student; or c. extend the period of provisional registration. 	<i>DRC to approve registration or otherwise</i>
P4	Transfer between Full-time and Part-time Modes of Study	
P4.1	Students are expected to devote full-time effort to their studies during their stay in Hong Kong. However, applications for transfer of registration between full-time and part-time modes of study shall be proposed jointly by both Chief Supervisors and be approved by the DRC on an exceptional basis. The office concerned ²⁷ shall be notified of the transfer arrangements by the DRC. The student will be informed of the revised normal and maximum periods of study.	<i>DRC to approve change in mode</i>
P4.2	<i>For students admitted from the 2018/19 cohort onwards</i> , their application for transfer between full-time and part-time study, once approved by the DRC Chair, will be effective from the next semester. If the DRC Chair is one of the supervisors, the application has to be approved by the FRC/School Board Chair.	
P5	Completion beyond Normal Period of Study	
P5.1	If a student is unable to complete his/her study within the normal study period, he/she shall notify the DRC Chair via the Chief Supervisor in writing before the normal study period expires, indicating the reasons and the expected completion date, which should fall within the maximum study period. The DRC Chair shall act on the Chief Supervisor's recommendations to approve or disapprove the student's request for continuing his/her study beyond the normal study period (but within the maximum study period), and inform the office concerned ¹³ of his/her decision.	<i>DRC to be informed of extension within period</i>
P6	Deferment of Study	

²⁶ The "office concerned" refers to:
For students admitted in or before the 2017/18 cohort: Research Office (RO)
For students admitted from the 2018/19 cohort onwards: General Office of Department

²⁷ The "office concerned" refers to:
For students admitted in or before the 2017/18 cohort: Research Office (RO)
For students admitted from the 2018/19 cohort onwards: General Office of Department

- P6.1 Applications for deferment shall be endorsed by both Chief Supervisors and approved by the DRC. The DRC shall notify the office concerned¹³ of the deferment via the standard form for deferment.
- P6.2 Deferment of study, if approved, is effective from the next semester.
- P6.3 Students approved for deferment of study before semester commencement will be entitled for tuition fee refund. Application for deferment of study within a semester will only be considered before the start of the examination period.
- P6.4 Resumption of study should start at the beginning of a semester.
- P6.5 Stipend will be stopped as soon as deferment commences. Following the resumption of study, stipend, if provided, will only be paid from the day the semester commences or from the first day of the month.

*DRC to approve
deferment*

P7 Residence Requirement

- P7.1 Student's study plan at PolyU, Partner Institution and elsewhere shall be approved by the DRC at admission stage. The office concerned²⁸ should also be notified of the study plan.

P8 Leave of Absence

- P8.1 Students' applications for leave of absence shall be approved by the PolyU Chief Supervisor. The Departments must keep the leave record of each of their on-going students and present it to the Research Office when students submit their thesis for examination. The leave taken in Hong Kong will count towards the residence period.

*PolyU Chief Supervisor
to approve leave of
absence*

P9 Coursework Requirements

- P9.1 Students are required to pass a compulsory subject entitled *Ethics: Research, Professional & Personal Perspectives* before thesis submission. This is a one-credit subject which will count towards the credit requirement. They should consult the PolyU Chief Supervisor regarding the coursework study programme to be undertaken. The finalised programme should be approved by the PolyU Chief Supervisor.
- P9.2 Guided-study subjects are those in which normally no lecturing is done and in which the student is required by the subject supervisor to read specified monographs and journal publications; the student and subject supervisor frequently meet to discuss the progress made by the student in the subject. The weighting assigned for coursework should be less than the weighting assigned for the examination. Coursework normally consists of assignments and presentations. Examination is compulsory and normally includes both written and oral. At the end of the semester, the student is examined by the subject supervisor and another staff member who is knowledgeable about the topic. A grade will be given in the same way as for regular taught subjects in Form RC/27. All Guided-study subjects will be at level 6 and their code number will be between 6800 and 6999.
- P9.3 To earn one Practicum credit, students will be required to engage in teaching/research supporting activities assigned by the HoD/DoS or his/her delegate for 6 hours/week in any 13-week semester. Students are allowed to complete these two credits any time before thesis submission. They can choose to complete these two credits in two different semesters or within the same semester, subject to the approval of the PolyU Chief Supervisor. Stipend recipients and TPS Assistantship recipients are allowed to fulfill part of their departmental training requirement and teaching assistant duties, respectively, through the completion of these compulsory Practicum credits.

*PolyU Chief Supervisor
to approve coursework
study programme*

²⁸ The "office concerned" refers to:
For students admitted in or before the 2017/18 cohort: Research Office (RO)
For students admitted from the 2018/19 cohort onwards: General Office of Department

Before undertaking teaching supporting activities, students must complete the training programmes organised by the Educational Development Centre, English Language Centre and Chinese Language Centre.

- P9.4 Research seminars may or may not be organised by the host department and are expected to last not less than an hour each. The topic of the seminar reported on should not be related directly to the thesis title of the student.

Chief Supervisors are required to assess the report (with a pass or failure grade). Students failing to submit a report to the satisfaction of their Chief Supervisor are required to make a re-submission until a pass grade is obtained. The Chief Supervisor has to pass the record of the seminars attended by their students and the report with a pass grade to the office concerned²⁹ for custody at the end of each academic year.

P9.5 *Credit Transfer*

- P9.5.1 *Transfer of credits of subjects at postgraduate level that have not been used to contribute to an award*

Applications for the transfer of credits from recognised previous studies will be proposed by the DRC with justifications and approved by the HoD/DoS. Only credits gained from subjects at postgraduate level that have not been used to contribute to an award will be acceptable for transfer.

HoD/DoS to approve transfer of credits from recognised previous study

For students admitted in the 2017/18 cohort

Approval will normally be given for the transfer of a maximum of nine credits. RO will be informed of such approval.

Maximum number of credits transferrable

For students admitted from the 2018/19 cohort onwards

The maximum number of credits transferrable for all students is no more than 50% of the credit requirement of the programme disregarding whether the credits were earned within or outside PolyU.

- P9.5.2 *Transfer of credits taken at postgraduate level outside PolyU and Partner Institution after admission to PolyU*

Transfer of credits for studies taken at postgraduate level outside PolyU and the Partner Institution during a student's studies in PolyU will be endorsed by the DRC Chair and approved by the HoD/DoS. The student will submit an application, via his/her PolyU Chief Supervisor, to the office concerned³⁰ initiating the transfer.

DRC to endorse and HoD/DoS to approve the transfer

The transfer of grades will be in accordance with the conversion table below and the grade gained will be included in the calculation of the qualifying GPA:

Grade Obtained Outside PolyU after Admission	Grade Transferred to PolyU	Grade Point	Interpretation
A+	A+	4.5	Exceptionally Outstanding
A	A	4	Outstanding
A-	A	4	Outstanding
B+	B+	3.5	Very good
B	B	3	Good
B-	B	3	Good
C+	C+	2.5	Wholly satisfactory
C	C	2	Satisfactory

²⁹ The "office concerned" refers to:
For students admitted in or before the 2017/18 cohort: Research Office (RO)
For students admitted from the 2018/19 cohort onwards: General Office of Department

³⁰ The "office concerned" refers to:
For students admitted in or before the 2017/18 cohort: Research Office (RO)
For students admitted from the 2018/19 cohort onwards: General Office of Department

C-	C	2	Satisfactory
D+	D+	1.5	Barely satisfactory
D	D	1	Barely adequate
D-	D	1	Barely adequate
E	F	0	Inadequate
F	F	0	Inadequate

P9.5.3 *Transfer of credits from Partner Institution*

There is no limit on the number of credits to be approved for transfer. Credits taken at either of the two universities after admission to the joint programme shall be recognised by both universities. For subjects taken at the Partner Institution without a grade, the DRC shall assign an appropriate grade for the approval of the HoD/DoS which shall also vet the validity of the credits.

DRC to assign an appropriate grade and HoD/DoS to vet validity of credits and approve grades assigned

Minimum number of credits with a letter grade

Students may take subjects to be given a “pass” or “fail” grade, instead of a letter grade. The student will submit an application (Form RC/48), via his/her PolyU Chief Supervisor, to the office concerned¹⁶ initiating the transfer. The application will be endorsed by the DRC Chair and approved by the HoD/DoS. The grade gained will not be included in the calculation of the qualifying GPA. A student must complete/transfer at least six credits with a letter grade including credits taken at the Partner Institution with an assigned grade subsequently approved by the HoD/DoS Board to allow for a meaningful calculation of the qualifying GPA.

completion/transfer of at least six credits with a letter grade

P9.6 Students will register for subjects before the start of a semester. Whether a student can add a subject will depend on the availability of vacancies in the subject and the approval of the PolyU Chief Supervisor. Similarly, a student can drop a subject if it is approved by the PolyU Chief Supervisor. The student will effect the subject registration/deletion. After the add/drop period, the office concerned³¹ will check the results of the add/drop changes against the approved study programme of individual students. Students’ add/drop changes will automatically be cancelled if those changes have not yet been approved by the PolyU Chief Supervisor.

PolyU Chief Supervisor to approve changes in subject registration during add/drop period

P9.7 After the add/drop period, further enrolment of subjects will normally not be entertained. Exceptional cases with good justification and to which the subject lecturer agrees will require the DRC’s approval up to the end of the 4th week after the commencement of the semester.

DRC to approve changes in subject registration after add/drop period

P9.8 Subject exemption is decided by the DRC but students can also apply for it. In order to satisfy the credit requirement, it is necessary for the student to take another subject, to be approved by the PolyU Chief Supervisor, in place of the exempted subject.

DRC to approve subject exemption

P9.9 The number of retakes of a subject is not restricted. Only the grade obtained in the final attempt of retaking (even if the retake grade is lower than the original grade for originally passed subject) will be included in the calculation of the Qualifying GPA. If students have passed a subject but failed after retake, credits accumulated for passing the subject in a previous attempt will remain valid for satisfying the credit requirement for award. (The grades obtained in previous attempts will only be reflected in transcript of studies.)

P9.10 The grades obtained by students on taught subjects will be considered and endorsed by the Subject Assessment Review Panel (SARP) of the department offering the subject. The grades obtained by the students on Guided-study subjects will be considered and endorsed by the relevant DRC based on the assessment reports (Form RC/27).

P10 **Monitoring of Progress**

P10.1 *For students admitted in the 2017/18 cohort*

Students and their supervisors are required to submit progress reports as required from time to time by PolyU.

progress report required

³¹ The “office concerned” refers to:
For students admitted in or before the 2017/18 cohort: Research Office (RO)
For students admitted from the 2018/19 cohort onwards: General Office of Department

The DRC shall, on receipt of the report, evaluate and assess the progress of the student. In the event that the student's progress is unsatisfactory, the case together with the DRC's recommendations shall be submitted to the FRC/School Board for information.

DRC to monitor progress

P10.2 *For students admitted from the 2018/19 cohort onwards*

All students will be assessed by their academic department by the end of each Semester. DRC is required to indicate in the Student Record System if an RPg student will be allowed to proceed on with their study by end of each Semester.

P11 **Deregistration**

P11.1 A recommendation for deregistration as a result of unsatisfactory progress may be proposed by the PolyU Chief Supervisor and approved by the DRC. The DRC Chairman cannot take action by himself/herself on this issue.

DRC to approve deregistration

P11.2 A recommendation for deregistration made by the Board of Examiners (BoE) shall be approved or rejected by the RC [see Regulations R13.3.6(c) and R13.3.8(e)].

P12 **Thesis Submission**

P12.1	A student and the supervisors concerned, including the Chief Supervisor of the Partner Institution, will complete and submit Form RDC/2B as 'Notice of Intention to Take Thesis Examination' to the office concerned ³² via the DRC when the thesis is ready or nearly ready for examination. This notice is to be accompanied by a brief description of the thesis (or the work done). The PolyU Chief Supervisor shall nominate external examiners and submit supporting information. Upon receipt of the notice, the office concerned* shall set up a BoE. Students are advised to submit the notice well in advance of the intended thesis submission date so that the BoE is in place to examine the thesis upon its submission.	<i>form required; DRC to approve thesis title and brief description</i>
P12.2	The two Chief Supervisors shall approve the thesis as acceptable for submission for examination.	<i>Chief Supervisors' approval for submission</i>
P12.3	A student shall initially submit an electronic copy of the thesis to the office concerned* with the PolyU Chief Supervisors' confirmation that the thesis is ready for submission (Form RC/18). The thesis must be presented in accordance with the Regulations on the Format and Presentation of Theses for the Joint PhD Programmes Leading to Dual Awards. When the thesis is found acceptable by the BoE Chairman, the electronic copy of the thesis shall be sent to the office concerned*. After satisfying the award requirement, the student must prepare an electronic copy of the final version of the thesis to be sent to the University Library and other parties concerned via the office concerned*.	
P12.4	Written requests to the RC for submitting a thesis for examination without the prior approval of the PolyU Chief Supervisor should be accompanied with: <ul style="list-style-type: none"> a. an electronic copy of the thesis; and b. detailed justification for the request via Form RC/62. 	<i>Submission of thesis without prior approval of PolyU Chief Supervisor</i>
P12.5	Before a submitted thesis can be sent to external examiners, it must meet PolyU's English language standard expectations. To meet these expectations, the thesis must: <ul style="list-style-type: none"> y. at all times clearly convey its content and meanings through an accurate use of the English language; z. follow a clear and appropriate organisation at all levels: overall (as shown by the Table of Contents and all text-headings); within chapters and within sections; between chapters and sections; at paragraph level; and at clause and sentence levels; aa. follow acceptable conventions of standard English syntax; bb. use both common and specialist vocabulary accurately and consistently; cc. be fully spell-checked so that typographical errors have been removed; dd. be free of errors such as incorrect layout, mislabelling or inadequate labelling of tables and other visuals, failure to maintain consistent levels of numbering of section and sub-section headings, etc; ee. use punctuation with understanding of its function as an essential aid to comprehension; and ff. have an accurate and complete set of references (and appendices, if applicable) conforming to a style manual acceptable to the PolyU Chief Supervisor. 	<i>English standard expectation</i>
P12.6	If a thesis is to remain confidential for a period of time after completion of the work, an application shall be submitted to the DRC by any interested party before the submission of the	<i>confidentiality</i>

³² The "office concerned" refers to:

For students admitted in or before the 2017/18 cohort: Research Office (RO)

For students admitted from the 2018/19 cohort onwards: General Office of Department

thesis for examination. A thesis may be kept confidential normally for a maximum of two years.

P13 Examination of Thesis

P13.1 The DRC Chair shall be responsible for the nomination of the BoE Chair, in consultation with the Chief Supervisor, for the approval of the HoD/Dean of School. In the event that the HoD/Dean of School is one of the supervisors of the student, the Dean of Faculty/Chairman of School Board or his/her nominee shall be the Chairman of the BoE. In the case where both the HoD/Dean of School and the Dean of Faculty/Chairman of School Board are the supervisors, the Chairman of the RC or his/her nominee shall be the Chairman of the BoE.

P13.2 The nomination of external examiners will be endorsed by the Chairman of the BoE and approved by the Chairman of the FRC/School Board. In the event that the Chairman of the BoE is the Chairman of the FRC/School Board, the external examiners will be approved by the RC Chairman.

Chairman, FRC/School Board to approve the nomination

P13.3 On receipt of the thesis, the PolyU Chief Supervisor shall submit a report on the thesis within two weeks. As soon as the PolyU Chief Supervisor's report is received, the Chairman of the BoE shall be asked to confirm within two weeks whether the thesis provides a prima facie basis to be sent to the external examiners for consideration.

PolyU Chief Supervisor to submit a report; Chairman, BoE to review the thesis

P13.4 In the event that the Chairman requires revision to the thesis before it is sent to the external examiners, the recommendation together with its justification shall be considered by the PolyU Chief Supervisor. If the PolyU Chief Supervisor agrees to the recommendation, the student shall be asked to revise the thesis as instructed. The student shall be given a maximum of six months to carry out each set of revisions, and each thesis is limited to two sets of revisions. In the event that there are divergent opinions between the Chairman of the BoE and the PolyU Chief Supervisor, the case shall be considered by the Chairman of the FRC/School Board, who shall decide on an appropriate action to take. In the event that the Chairman of the FRC/School Board is the Chairman of the BoE, the case shall be considered by the Chairman of the RC.

P13.5 If the BoE Chairman finds the thesis unacceptable after two sets of revisions, this information will be conveyed to the external examiners when the thesis is released to them for reading.

P13.6 Each external examiner shall be asked to read the thesis and submit a report on the thesis within six weeks. If both of them agree that the thesis forms an adequate basis for an oral examination, the office concerned³³ shall arrange for the examination.

examiners to review the thesis

P13.7 If the BoE cannot reach a consensus view, the Chairman of the BoE shall invite the PolyU Chief Supervisor to nominate an additional external examiner to assess the thesis.

absence of consensus

P13.8 The BoE shall conduct the oral examination. Participation requirements and voting right of the BoE are listed as follows:

BoE Chair	PolyU Chief supervisor	Co-supervisor(s)	External examiners
The BoE Chair must participate in the viva in person. S/he has no voting right.	The PolyU Chief Supervisor must participate in the viva in person. S/he has no voting right.	Co-supervisors may or may not attend the viva. They have no voting right.	Both examiners must participate in the viva. At least one of them shall attend the viva in person and the other one may attend the viva either in person or through video facilities. In exceptional circumstances when one of the examiners is unable to attend the viva either in person or through video facilities due to an unexpected event or illness, the viva shall be video-taped. The video, together with the BoE report, shall be sent to the external examiner who was absent from the viva for review.

³³ The "office concerned" refers to:

For students admitted in or before the 2017/18 cohort: Research Office (RO)

For students admitted from the 2018/19 cohort onwards: General Office of Department

			Should the outcome of the examination need to be put to a vote, each external examiner may cast one vote. A consensus is required for all decisions.
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P13.9 If a unanimous decision cannot be reached, each member of the BoE will be required to submit a report and recommendation for the consideration of the RC. The RC may set up a review panel to consider the case.

P14 Confirmation of Award

P14.1 Upon receipt of the decision made by the Partner Institution on whether the student has successfully completed all the requirements, the recommendation of the BoE shall be considered and approved by the RC. Chairman's action is not possible. *RC to approve*

P15 Complaints and Appeals

P15.1 Complaints of research students, such as problems encountered in the supervision and provision of research facilities, shall be handled by the relevant DRC. The DRC should consider the complaint and formulate appropriate actions to resolve the problems. The DRC should then inform the student and RO of the actions taken. If the complaints are against the DRC, they should be handled by the relevant FRC/School Board. After resolving the problems, the FRC/School Board should inform the student and RO of the actions taken.

P15.2 Research students may appeal against a decision to deregister or against an examination result (including the examination result of a taught subject, a Guided-study subject and the thesis defence).

P15.3 The procedures for research students to appeal against a decision are detailed as follows:

- d. Students on research degrees shall be informed at the time of their registration of the grounds for appeal and of the procedures whereby appeals are considered. In particular, they shall be made aware of their responsibility to make known to the RC or its delegate of such factors as they believe have detrimentally and materially affected their results prior to the meeting of the RC or its delegate.
- b. A student appealing against a decision shall pay a fee, applicable in the academic year. The fee shall be refunded if the appeal is upheld.
- c. A research student can make an appeal against a decision to deregister him/her or against an examination result within one month of the date of notification of the result. The appeal should be accompanied by a copy of the receipt for the appeal fee. He/She should provide the following information, together with other relevant documents, in support of the appeal:
 - (xiii) name in English and Chinese
 - (xiv) student number
 - (xv) affiliated department
 - (xvi) grounds for appeal
- d. An appeal against deregistration should be sent to the relevant Faculty Office. The appeal shall be considered by the whole FRC/School Board, i.e., chairman's action is not allowed. Any member of the FRC/School Board who is a supervisor of the student cannot take part in the FRC/School Board discussion and decision on the case. The FRC/School Board will inform RO of its decision, which will advise the student of the result of his/her appeal within eight weeks of receipt of the appeal.

If the appellant is dissatisfied with the FRC's/School Board's decision, he/she may appeal further in writing to the RC not later than one month (from the date of notification of the first appeal result) after receipt of the decision of the FRC/School Board from the Secretary, RC. The Chairman of the RC shall determine whether there are prima facie

grounds for a re-consideration of the FRC's/School Board's decision, and if so, shall refer it to the RC. The RC will consider the appeal and notify the student of the result within eight weeks of receipt of the appeal. Any member of the RC who is a supervisor of the student cannot take part in the RC discussion and decision on the case. If the RC Chairman considers that there are no grounds for the case, the appeal shall fail.

- e. For an appeal against the result of the thesis examination, the student shall appeal directly to the RC by writing to the Secretary, RC. The RC will consider the appeal and notify the student of the result within eight weeks of receipt of the appeal. Any member of the RC who is a supervisor of the student cannot take part in the RC discussion and decision on the case.

If the appellant is not satisfied with the decision of the RC on his/her appeal, he/she may appeal against the RC's decision by submitting a second appeal to the Registrar not later than one month (from the date of notification of the first appeal result) after receipt of the decision of the RC. The Registrar shall refer the case to the Chairman of the Academic Appeals Committee (AAC), who shall determine whether there are prima facie grounds for a re-consideration of the RC's decision, and if so, shall refer it to the AAC. If the AAC Chairman considers that there are no grounds for the case, the appeal shall fail.

The Chairman of the AAC may invite the Chairman of the BoE and/or the Chairman of the RC to submit to the AAC, prior to the meeting, comments relevant to the case under discussion, and/or may invite either or both Chairmen to attend the meeting of the AAC at which the case is being considered.

- f. For an appeal against the examination result of a taught subject/Guided-study subject, the student should make his/her appeal in writing first to his/her Head of Department within seven working days upon the public announcement of the examination result. The Head of Department shall refer the appeal to the Head of Department offering the subject.

The appeal should be accompanied by a copy of the fee receipt, for inspection by the subject offering Department. The student should give a complete account of the grounds for the appeal in the letter, and provide any supporting evidence.

The subject offering Department shall inform the host Department of the appeal result as soon as possible to enable the host Department to convey the result of the appeal to the student within seven working days of receipt of the appeal.

If the appellant is dissatisfied with the decision, he/she may then appeal in writing to the Registrar not later than seven working days after receipt of his/her Department's reply. He/She should provide the following information together with other relevant documents in support of the appeal:

- name;
- student number;
- mode and level of study;
- examination/subject results appealing against; and
- grounds for appeal.

The Registrar shall refer the case to the Chairman of the AAC, who shall determine whether there are prima facie grounds for a re-consideration of the decision of the SARP if the subject in question is a taught subject, or the DRC if the subject in question is a Guided-study subject. If so, the Registrar shall refer it to the AAC. If the AAC Chairman considers that there are no grounds, the appeal shall fail.

The Chairman of the relevant SARP/DRC may be invited by the AAC to submit, prior to the meeting, comments relevant to the case under discussion, and to attend the meeting of the AAC at which the case is being considered.

- j. In all cases where any appeal is considered by the AAC, the following will apply:

- (i) The appellant may be required to appear before the AAC.
- (ii) The appellant shall have the right to appear before the AAC. He/She shall also have the right to be accompanied and/or to be represented by one other person if he/she so chooses.
- (iii) The AAC may, acting under the powers delegated to it by the Senate, and in the following circumstances, review a decision reached by the SARP/DRC/RC:
 - 1. If a student requests such a review and establishes to the satisfaction of the AAC that his/her performance was adversely affected by illness or other factors which he/she was unable, or for valid reasons, unwilling to divulge before the SARP/DRC/RC reached its decision, and of which the SARP/DRC/RC was unaware. The request from the student must be supported by medical certificates or other documentary evidence;
 - 2. If the AAC is satisfied with the evidence produced by the student or any other person that there has been a material administrative error, or that the assessment has not been conducted in accordance with the prevalent regulations of the University, or that other procedural irregularity has occurred.
- (iv) The AAC may determine:
 - 1. To annul the relevant decision of the SARP/DRC/RC and refer the case for decision back to the SARP/DRC/RC. The subsequent decision of the SARP/DRC/RC will be referred to the Chairman of the AAC, who will decide the appropriate course of action;
 - 2. Exceptionally to annul the relevant decision of the SARP/DRC/RC and assign a revised result to the student concerned;
 - 3. To confirm the decision of the SARP/DRC/RC on any of the following grounds:
 - 3.1 the evidence presented does not support the case;
 - 3.2 the evidence presented under paragraph g(iii)1 above would not have materially affected the decision of the SARP/DRC/RC;
 - 3.3 any irregularity identified under paragraph g(iii)2 above would not have materially affected the decision of the SARP/DRC/RC;
 - 4. To ask the RC to re-consider the operation and wording of the University's academic regulations pertaining to research degree programmes;

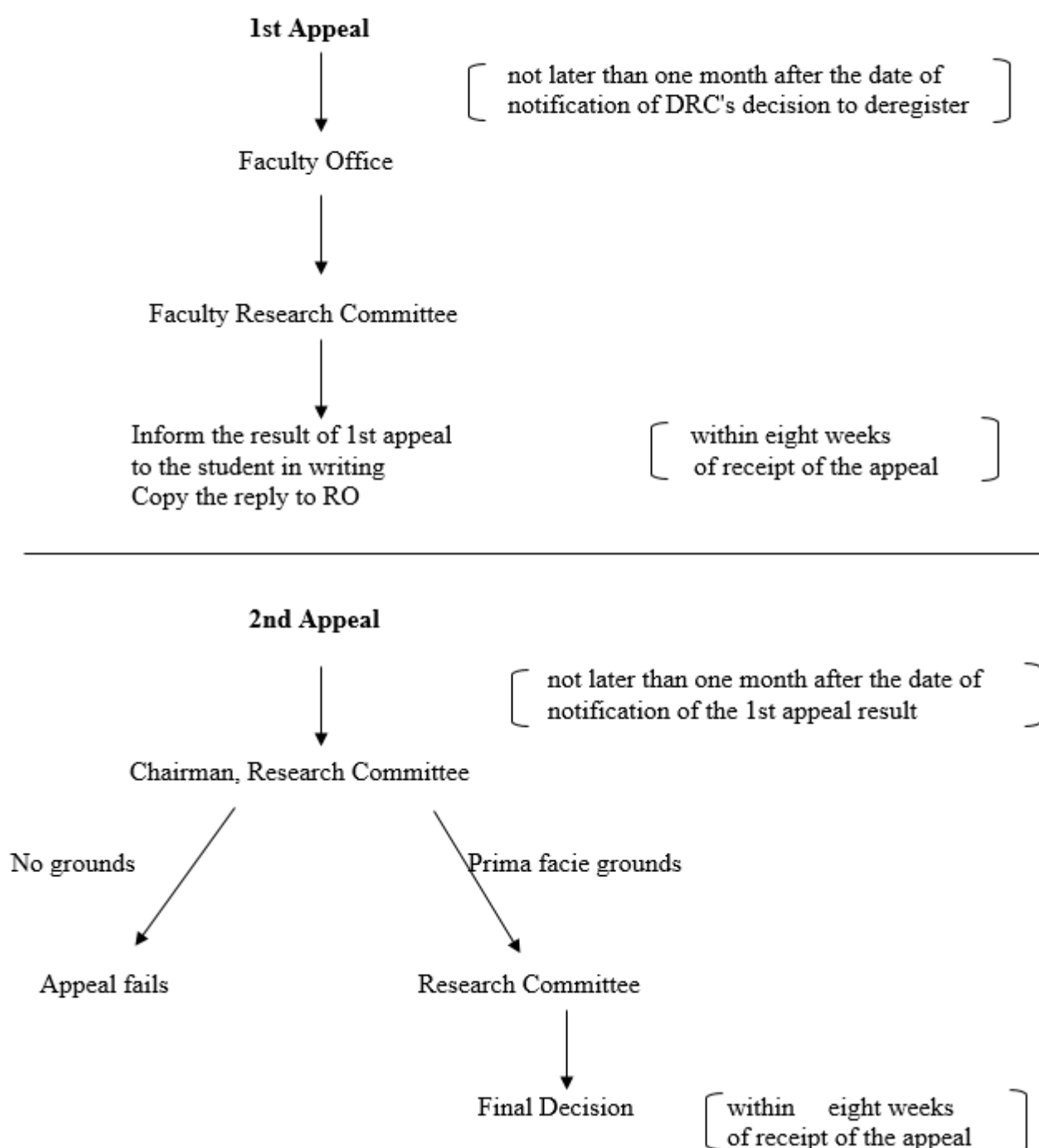
5. By the authority delegated to it by the Senate, to make decisions on the student's progression or award outside the regulations of the University. The AAC shall report all these cases to the Senate for information; or
6. To make such other decisions that fall within its terms of reference.

(v) The decisions of the AAC shall be final within the University.

The procedures are outlined in the attached flow charts (Appendices C2.1, C2.2 and C2.3).

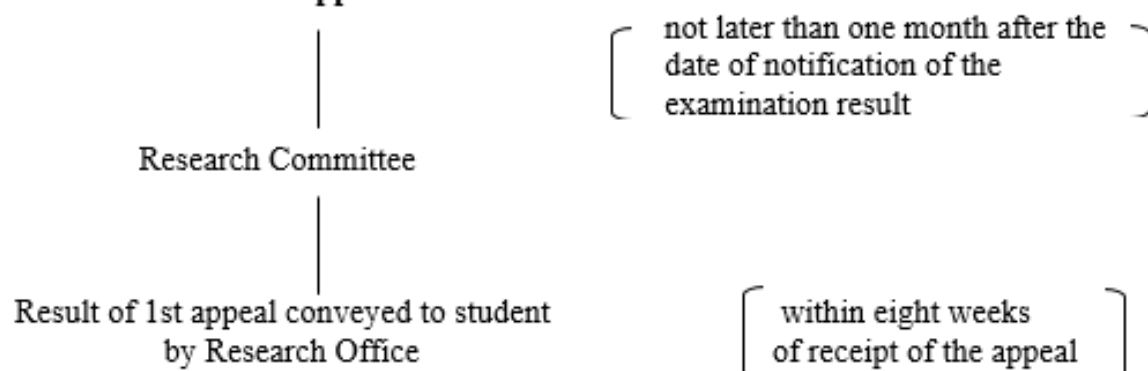
(August 2019)

**Procedures for Appeals from Research Students Against Decisions of
De-registration**

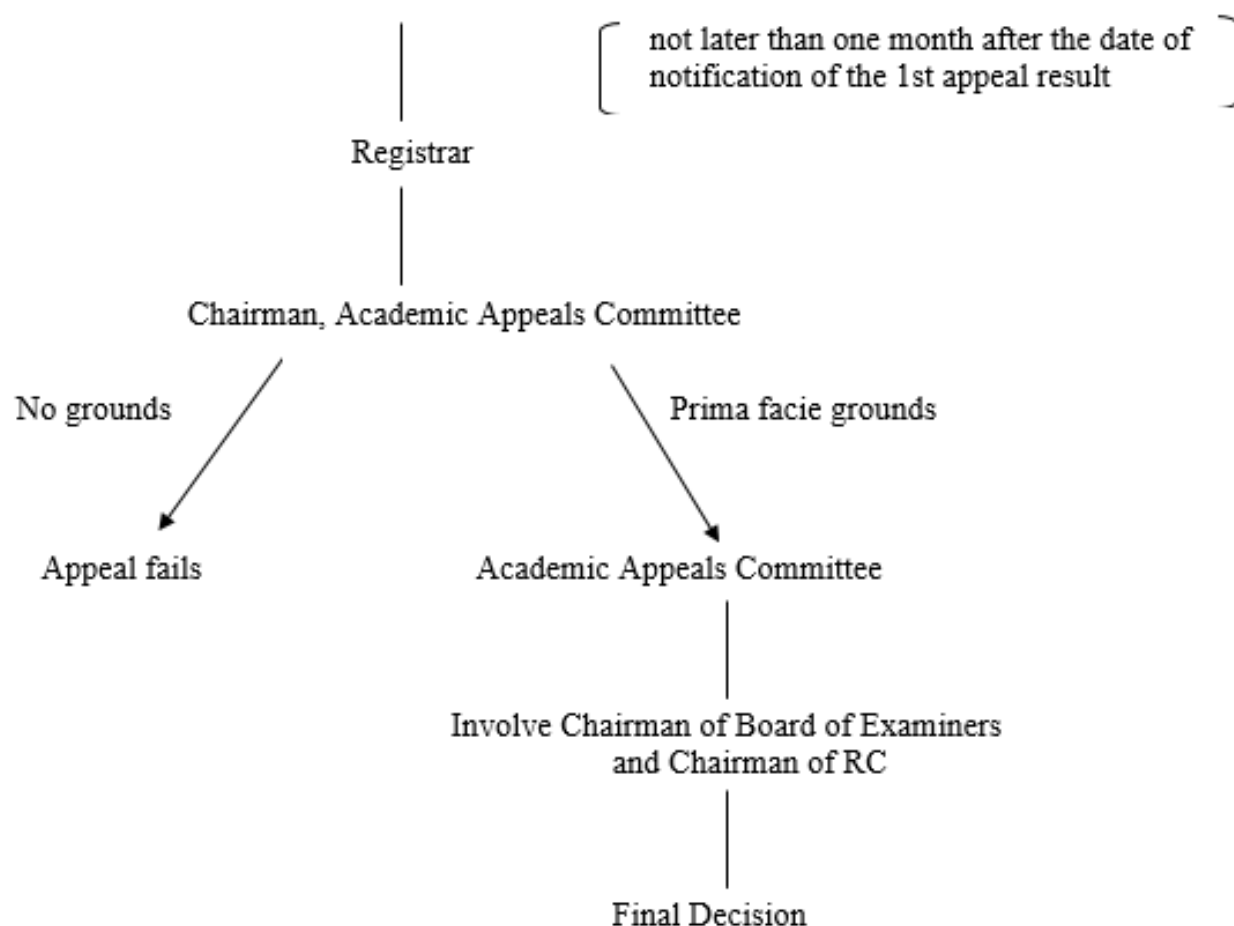


Procedures for Appeals from Research Students Against the Result of the Thesis Examination

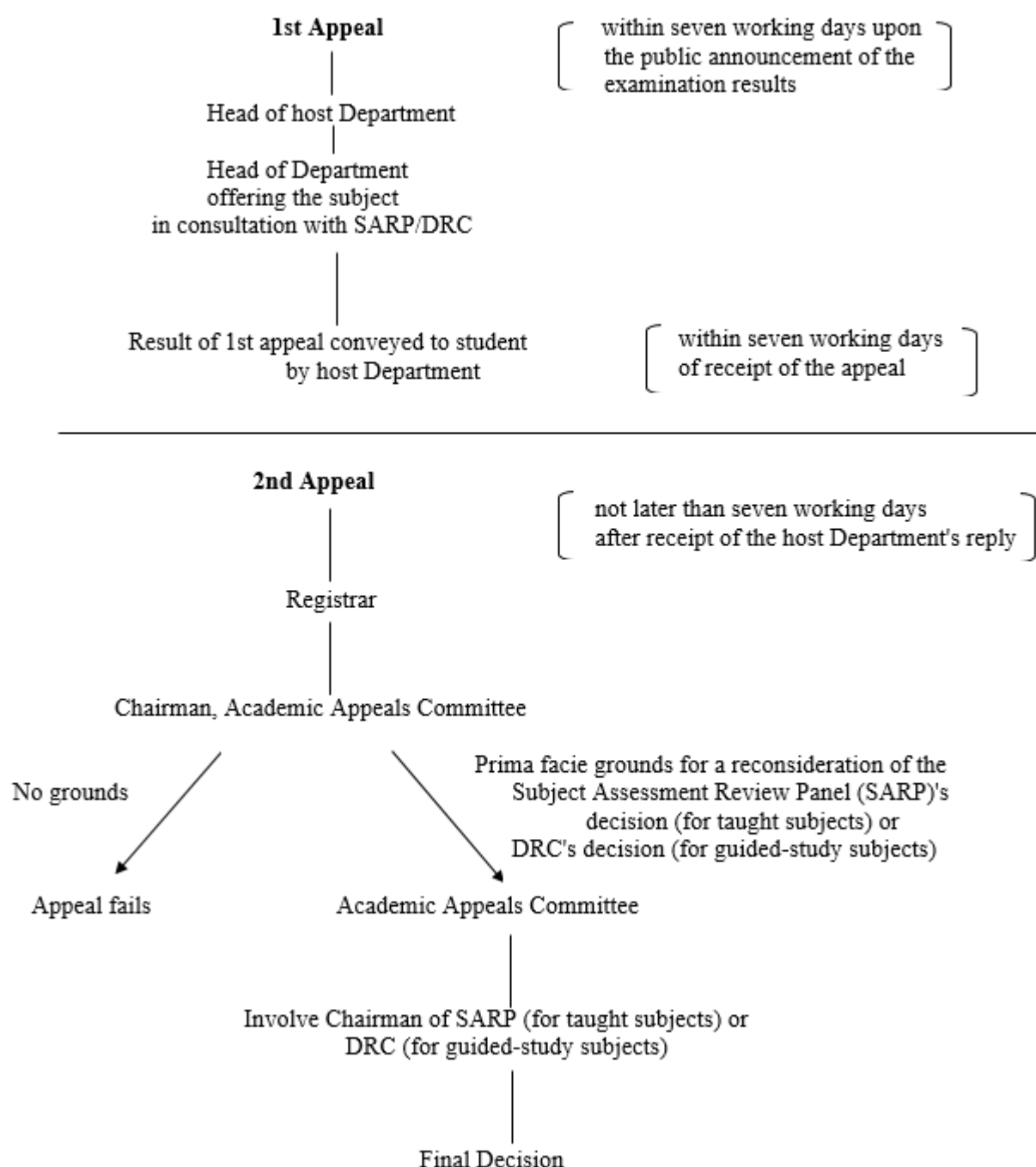
1st Appeal



2nd Appeal



Procedures for Appeals from Research Students Against Examination Results of Individual Taught Subjects including Guided-study Subjects



Research Supervision Guidelines (Roles and Responsibilities)

The purpose of these Research Supervision Guidelines is to provide a clear statement of the role and responsibilities of the supervisors, research students, Heads of Department/Deans of School in relation to research supervision and to provide a "road-map" of where to turn for additional information regarding the above issues.

Role and Responsibilities of a Supervisor

1) Mentorship

A supervisor should be a mentor to his/her research students by, inter alia:

- i) leading by example through maintaining and helping his/her students to maintain high standard in research through honest scholarship as articulated in the University's Code of Research Ethics; and
- ii) alerting his/her students to opportunities that will enhance their studies such as making introductions to visiting scholars; providing guidance to interdisciplinary or cross-discipline study opportunities, and if appropriate, making necessary arrangements for student participation in activities related to these opportunities.

2) Support to Student

- i) A supervisor should only accept supervisory responsibility if he/she is confident of his/her competence of guiding the student through the research programme;
- ii) A supervisor should ensure that the necessary facilities to support the student's research programme, e.g., staff expertise, space, equipment etc. are made available to the student. The supervisor may have to liaise with the responsible authorities in the University to request resources;
- iii) A supervisor should ensure that any part-time student has appropriate access to necessary resources (e.g., office, laboratory, library) and that mutually convenient supervisor/student meeting times can be identified;
- iv) A supervisor should ensure that the student has the necessary background knowledge to support the chosen research thrust, e.g., language competence and knowledge and skills relating to research methodology. This may require identification of coursework to provide the necessary underpinning knowledge;
- v) A supervisor must ensure that any research personnel under his/her supervision are aware of and conform to governmental and institutional requirements for the conduct of research involving human subjects, animals, and health and safety;
- vi) A supervisor should ensure that if he/she is away for an extended period of time, there is a back-up supervisor. The Departmental Research Committee may recommend a Thesis Advisory Committee to be set up for each student;

- vii) A supervisor should provide a framework to guide the progress of the student and must provide an annual report on the student's progress to the Research Committee. To assist in the preparation of the annual report, a supervisor may wish to keep records of meetings with the student;
- viii) A supervisor should provide guidance to the student so that a grammatically correct thesis in the approved language can be produced (this may require the student to undertake remedial English instruction and/or training courses at the Centre for Independent Language Learning and English Language Study Centre);
- ix) A supervisor should identify possible external examiners for student's thesis defence and ensure any conflict or potential conflict of interest is declared;
- x) A supervisor should consider arranging a mock oral examination for the student in the department before the formal thesis defence; and
- xi) A supervisor should consider, with the approval of the Head of Department (or his/her nominee), giving doctoral students an opportunity to participate in classroom teaching and give appropriate feedback on their performance. This should be performed as part of the training to be assigned by the Head of Department, and not in addition.

3) Communication with Student

- i) A supervisor should establish communication channels, e.g., meetings, telephone, email etc., and agree on a mutually accepted frequency of meetings with the student;
- ii) A supervisor should provide timely feedback to the student regarding progress and his/her written work; and
- iii) A supervisor should always be well prepared for meetings with a student.

Role and Responsibilities of a Research Student

1) Relating to Research Degree Regulations and Studentship

- i) A student must comply with the "Regulations for the Degrees of Master of Philosophy and Doctor of Philosophy offered by The Hong Kong Polytechnic University";
- ii) A student must comply with all conditions attached to the award of studentships including the fulfilment of any departmental duties as prescribed by the Head of Department in consultation with the supervisor;
- iii) A student should ensure that all requirements for the degree programme are met (e.g., residency, coursework, etc.); and
- iv) A student should submit a grammatically correct thesis in the approved language. (This may require the student to undertake remedial English instruction.)

2) Communication with Supervisor

- i) A student should ensure there is a clear understanding of the communication mechanisms and the frequency of research guidance meetings with the supervisor (usually meetings are more frequent at the start and near completion of the research programme);
- ii) A student should always be well prepared for meetings with the supervisor. He/she should prepare an agenda of topics to be discussed; and
- iii) A student should speak to the supervisor immediately when potential problems (including personal ones) arise. If the situation cannot be resolved, the student should seek advice from the PolyU in the following order: DRC Chair/Head of Department/FRC/School Board Chair and RC Chair.

3) Expectations

- i) A full time research student should normally be in the University during normal working hours unless he/she has obtained prior approval for the research to be done elsewhere;
- ii) A student must keep abreast of and observe the appropriate safety guidelines within the PolyU; and
- iii) A research student should maintain the highest standard of ethics in research as elaborated in the University's Code of Ethics for Research. The following is a list of acts that are considered to be serious acts of misconduct:
 - a. Falsification of data and/or research results (fraud);
 - b. Use by one person of another's work without due acknowledgment (plagiarism);
 - c. Use by one person of confidential information, supplied by another, in an unauthorised manner (breach of confidentiality);
 - d. Issue of a misleading publication or the fraudulent filing of a patent application; for example :
 - giving or receiving honorary authorship or inventorship;
 - denying legitimate authorship/inventorship;
 - allowing publication with co-authorship without reviewing the work;
 - publication of research results for a second time without reference to the first; and
 - listing of co-authorship without knowledge by the co-author.

4) Others

A student should attend at the first opportunity an induction programme for all new research students. The programme is designed to introduce newly-registered research students to the University and the facilities that it offers for their studies.

Role and Responsibilities of Head of Department

- 1) The Department Head should ensure that the resources available to the department are sufficient to meet the need of students' research proposals, that students have adequate access to these resources and are not promised more than is available;
- 2) The Department Head should ensure that the research of a student is to be carried out in a healthy and safe environment;
- 3) The Department Head should provide a clear definition on the nature of training to be provided to research students receiving a studentship; and
- 4) The Department Head should monitor the relationship between students and supervisors so that conflicts can be identified promptly and appropriate steps taken to resolve or manage them.

The Hong Kong Polytechnic University
Revised Academic Calendar 2019-20 (by Semester Week)

(Revised on 7 May 2020)

Month	Week	Mon	Tue	Wed	Thu	Fri	Sat	Sun	Sem. Week	Notes
Aug 2019	--	26	27	28	29	30	31	1	--	
Sep	1	2	3	4	5	6	7	8	1	Sep. 2: Sem. 1 commences (13 teaching weeks: 2 Sep - 30 Nov 2019)
	2	9	10	11	12	13	14	15	2	Sep. 2 - 13: Add/Drop Period for Sem. 1
	3	16	17	18	19	20	21	22	3	Sep. 13: Mid-Autumn Festival (all evening classes suspended) / Sep. 14: The day following Mid-Autumn Festival
	4	23	24	25	26	27	28	29	4	
Oct	5	30	1	2	3	4	5	6	5	Oct. 1: The National Day
	6	7	8	9	10	11	12	13	6	Oct. 7: Chung Yeung Festival
	7	14	15	16	17	18	19	20	7	
	8	21	22	23	24	25	26	27	8	Oct. 26: Twenty-fifth Congregation (Main Conferment Session, also first session)
Nov	9	28	29	30	31	1	2	3	9	
	10	4	5	6	7	8	9	10	10	
	11	11	12	13	14	15	16	17	11	
	12	18	19	20	21	22	23	24	12	
Dec	13	25	26	27	28	29	30	1	13	
	14	2	3	4	5	6	7	8		
	15	9	10	11	12	13	14	15		
	16	16	17	18	19	20	21	22		Dec. 22: Winter Solstice (all evening teaching and assessment activities suspended)
Jan 2020	17	23	24	25	26	27	28	29		Dec. 24: Christmas Eve (all evening teaching and assessment activities suspended)
	18	30	31	1	2	3	4	5		Dec. 25: Christmas Day / Dec. 26: The first weekday after Christmas Day
	19	6	7	8	9	10	11	12		Dec. 31: New Year Eve (all evening teaching and assessment activities suspended) / Jan. 1: First Day of January
	20	13	14	15	16	17	18	19	Exam./1	Jan. 13: Sem. 2 commences (Jan. 13 - 23: is specially used for holding centralised Sem. 1 Outstanding Examinations)
Feb	21	20	21	22	23	24	25	26	Exam./2	Jan. 24: Lunar New Year's Eve (all evening teaching and assessment activities suspended)
	22	27	28	29	30	31	1	2	Lunar New Year Break	Jan. 25 - 28: Lunar New Year Holidays
	23	3	4	5	6	7	8	9		Jan. 29 - Feb. 8: Lunar New Year Break (all teaching and assessment activities suspended)
	24	10	11	12	13	14	15	16	3	Feb. 5: All subject assessment results finalised for Sem. 1
Mar	25	17	18	19	20	21	22	23	4	Feb. 10 - 22: Add/Drop Period for Sem. 2
	26	24	25	26	27	28	29	1	5	Feb. 13: Finalisation of overall assessment results for Sem. 1 / Feb. 14: Announcement of Sem. 1 overall assessment results
	27	2	3	4	5	6	7	8	6	
	28	9	10	11	12	13	14	15	7	
Apr	29	16	17	18	19	20	21	22		Mar. 16 - 22: Sem. 2 Recess period
	30	23	24	25	26	27	28	29	8	
	31	30	31	1	2	3	4	5	9	Apr. 4: Ching Ming Festival
	32	6	7	8	9	10	11	12	10	Apr. 10 - 13: Easter Holidays
May	33	13	14	15	16	17	18	19	11	
	34	20	21	22	23	24	25	26	12	
	35	27	28	29	30	1	2	3	13	Apr. 30: The Buddha's Birthday / May 1: Labour Day
	36	4	5	6	7	8	9	10	14	
Jun	37	11	12	13	14	15	16	17	15	May 16: Sem. 2 teaching ends
	38	18	19	20	21	22	23	24	Exam.	May 18 - 30: Examination Period for Sem. 2
	39	25	26	27	28	29	30	31	Exam.	
	40	1	2	3	4	5	6	7		
Jul	41	8	9	10	11	12	13	14	Exam. Result	Jun. 9: All subject assessment results finalised for Sem. 2
	42	15	16	17	18	19	20	21	Processing	Jun. 17: Finalisation of overall assessment results for Sem. 2 / Jun. 18: Announcement of Sem. 2 overall assessment results
	43	22	23	24	25	26	27	28	1	Jun. 22: Summer Term commences (6 teaching weeks: 22 Jun - 1 Aug) / Jun. 22 - 27: Add/Drop Period for Summer Term
	44	29	30	1	2	3	4	5	2	Jun. 25: Tuen Ng Festival
Aug	45	6	7	8	9	10	11	12	3	Jul. 1: The HKSAR Establishment Day
	46	13	14	15	16	17	18	19	4	
	47	20	21	22	23	24	25	26	5	
	48	27	28	29	30	31	1	2	6	Aug. 1: Summer Term teaching ends
Sep	49	3	4	5	6	7	8	9	Exam.	Aug. 3 - 15: Examination Period for Summer Term
	50	10	11	12	13	14	15	16	Exam.	
	51	17	18	19	20	21	22	23	Exam. Result	
	52	24	25	26	27	28	29	30	Processing	Aug. 24: All subject assessment results finalised for Summer Term
Oct	1	31	1	2	3	4	5	6		Sep. 1: Finalisation of overall assessment results for Summer Term
										Sep. 2: Announcement of Summer Term overall assessment results
										Sep. 6: Academic Year 2019-20 ends

General holidays for 2020

Dates of finalisation of examination results

Regulations on the Format and Presentation of Theses for Research Degrees

1. Each copy of a thesis must be typewritten in double or one-and-a-half spacing on International-size-A4 paper, except for drawings, maps, or tables, for which there are no restrictions. The electronic copy should follow the same page set up and spacing specification.
2. A thesis should contain the following parts, each starting on a new page, in the following order:
 - A cover page

<p style="text-align: center;">THESIS TITLE (all capitalised)</p> <p style="text-align: center;">STUDENT NAME (all capitalised)</p> <p style="text-align: center;">MPhil or PhD</p> <p style="text-align: center;">The Hong Kong Polytechnic University</p> <p style="text-align: center;">This programme is jointly offered by The Hong Kong Polytechnic University and name of Partner institution (only applicable to joint PhD)</p> <p style="text-align: center;">Year of Award</p>
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- A title page

<p style="text-align: center;">The Hong Kong Polytechnic University</p> <p style="text-align: center;">Name of Department</p> <p style="text-align: center;">Name of Partner institution (only applicable to joint PhD)</p> <p style="text-align: center;">Name of Department at Partner institution (only applicable to joint PhD)</p> <p style="text-align: center;">Thesis Title</p> <p style="text-align: center;">Student Name</p> <p style="text-align: center;">A thesis submitted in partial fulfilment of the requirements for the degree of (Master of Philosophy or Doctor of Philosophy)</p> <p style="text-align: center;">the month and year of the initial submission</p>
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- A Certificate of Originality

<p style="text-align: center;">CERTIFICATE OF ORIGINALITY</p> <p>I hereby declare that this thesis is my own work and that, to the best of my knowledge and belief, it reproduces no material previously published or written, nor material that has been accepted for the award of any other degree or diploma, except where due acknowledgement has been made in the text.</p> <p>_____ (Signed)</p> <p>_____ (Name of student)</p>
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- Dedication (optional)
- Abstract

- Consisting of a summary of the work done, and between two hundred and five hundred words.
- Publications arising from the thesis (optional)
 - Follow the format described in Paragraph 5 below.
- Acknowledgements
- Table of contents
- List of figures, tables and abbreviations (all optional)
- Chapter 1 : Introduction
- The thesis body
- Conclusions and Suggestions for Future Research (the latter being optional).
- References
 - The references for all chapters can be placed at the end, or those for each chapter can be placed at the end of the chapter.
 - References should be presented in alphabetical order of the first author, using the reference citation format for academic journal papers, book chapters, conference papers, research reports/working papers and books/research monographs, or in an internationally accepted format used by the discipline in which the study lies.
- Appendices (optional)

The sequence of the above sections can be suitably changed according to the actual practices of different research disciplines.

3. Intellectual property created by students in the course of their study at the University shall be owned by the University only if the student receives financial support from the University in the form of wages, salary or stipends for undertaking their study or research in the University; makes material use of the University's resources for his/her research work; receives material guidance and intellectual input from the University's staff for his/her research work; or if his/her research work is funded by a grant to the University or to him/her by virtue of his/her employment by the University.

Generally speaking, intellectual property rights, among other things, refers to novel information and ideas that the law protects. It means the material or communicable result of scientific, humanistic, literary, and artistic effort. It includes, but is not limited to, works in the forms of copyrights, designs, inventions, discoveries, trademarks, formulae, processes, computer software, drawings and sculptures, journal articles, and conference presentations. Students **should not**, therefore, make the claim that they own the intellectual property of the research work in their thesis or in other publications that resulted from their research work.

4. Each copy of the thesis submitted for examination purpose should include the words 'Initial Submission for Examination Purpose' lettered on the front cover.

5. The approved thesis should be submitted in electronic format and must be prepared in accordance with the following requirements:

File format:	PDF format Compatible with PDF version 1.4 (Acrobat 5) or higher Must be text-searchable. Image PDF is not acceptable
Paper size:	A4 (210 x 297 mm)
Security:	No password assigned and all security settings should be turned off
Font:	All fonts must be embedded.

The electronic version must be clear enough that it presents all images, data and symbols.

Plagiarism

1. About Plagiarism

Plagiarism refers to the act of using the creative works of others (e.g. ideas, words, images or sound, etc) in one's own work without proper acknowledgement of the source. According to the Webster's Ninth New Collegiate Dictionary (1987), to 'plagiarise' means

[T]o steal and pass off (the ideas or words of another) as one's own : [to] use (a created production) without crediting the source : [to] commit literary theft : [to] present as new and original an idea or product derived from an existing source.

The University views plagiarism, whether committed intentionally or because of ignorance or negligence, as a serious disciplinary offence. Excuses such as "not knowing that this is required" or "not knowing how to do it" will not be accepted. It is the student's responsibility to understand what plagiarism is, and take action steps to avoid plagiarism in their academic work. The golden rule is: "if in doubt, acknowledge".

2 Avoiding Plagiarism

Students are required to submit their original work and avoid any possible suggestion of plagiarism in the work they submit for grading or credit. Below are some suggestions on how you can avoid plagiarism in your own work:

i. Use sources with care and respect

- Take careful notes so that you know where you got your information
- Keep track of all the sources you have used for each assignment
- Cite all your sources in your finished work, distinguishing carefully between your own ideas/work and those taken from others
- Include all your sources in your References or Bibliography section, normally included at the end of the paper

ii. Find out the expectations of your Department and your supervisor(s)

- Different disciplines or professions may have slightly different conventions for citation and referencing. Ask your Department or supervisor(s) for the specific citing and reference system or

conventions used in your chosen profession/discipline

- Ask your supervisor(s) what type of collaboration and help is permitted for the specific assignment

iii. Develop your academic skills

- Plan your academic work carefully and start early so that you have time to do your own work
- Make a work schedule for your work and try to keep to it
- Study resource materials and attend courses or workshops provided by the University to continually improve your skills in referencing and academic writing

iv. Be honest, and always do your own work

3. Resources and Support Provided to Students

To know more about plagiarism and how to cite sources properly in your work, please refer to the booklet “About Plagiarism and How to Avoid It” developed by the University at https://www.polyu.edu.hk/ogur/academic_integrity/Plagiarism_Booklet.pdf.

Students may also obtain information about using sources and referencing styles from the following web page of the Centre for Independent Language Learning, English Language Centre of this University at <http://elc.polyu.edu.hk/CILL/reference.aspx>.

The University Library subscribes to two reference management tools, RefWorks and EndNote. They could be used to help you create your own bibliographic database. More details can be found at: <https://www.lib.polyu.edu.hk/research-support/tools/ref-management-tools>.