

# 國立中山大學碩、博士學位論文學術倫理案件處理原則

## Principles for Handling Academic Ethics Cases in Master's Theses or Doctoral Dissertations

99.12.13 本校第126次教務會議通過  
Approved at the 126th Academic Affairs Council meeting on December 13th, 2010  
100.03.21 本校第127次教務會議修正通過  
Amended and approved at the 127th Academic Affairs Council meeting on March 21st, 2011  
100.10.17 本校第129次教務會議修正通過  
Amended and approved at the 129th Academic Affairs Council meeting on October 17th, 2011  
102.06.10 本校第136次教務會議修正通過  
Amended and approved at the 136th Academic Affairs Council meeting on June 10th, 2013  
105.05.30 本校第148次教務會議修正通過  
Amended and approved at the 148th Academic Affairs Council meeting on May 30th, 2016  
108.03.13 本校第159次教務會議修正通過  
Amended and approved at the 159th Academic Affairs Council meeting on March 13th, 2019  
109.10.16 本校第165次教務會議修正通過  
Amended and approved at the 165th Academic Affairs Council meeting on October 16th, 2020  
112.05.24 本校第176次教務會議修正通過  
Amended and approved at the 176th Academic Affairs Council meeting on May 24th, 2023  
113.12.12 本校第182次教務會議修正通過  
Amended and approved at the 182th Academic Affairs Council meeting on December 12th, 2024

一、 為維護教育品質與學術倫理，確立碩、博士學位論文涉及違反學術倫理案件之公正客觀處理程序，依據「學位授予法」第十七條、「專科以上學校學術倫理案件處理原則」與本校「研究生學位考試施行細則」第十五條規定，訂定本處理原則。

I. These principles are formulated, based on Article 17 of the *Degree Conferral Act, Principles for Handling Academic Ethics Cases at Junior Colleges and Institutions of Higher Education* and Article 15 of the *University's Guidelines on the Enforcement of Graduate Degree Examination*, to maintain the quality of education and academic ethics, and to establish fair and objective procedures for handling cases involving violations of academic ethics in master's theses or doctoral dissertations.

二、 本處理原則所稱違反學術倫理，指本校依學位授予法所授予博、碩士學位之論文（含以作品、成就證明、書面報告、技術報告或專業實務報告等取得學位者），有下列情形之一者：

- (一) 造假：虛構不存在之申請資料、研究資料或研究成果。
- (二) 變造：不實變更申請資料、研究資料或研究成果。
- (三) 抄襲：援用他人之申請資料、研究資料或研究成果未註明出處。註明出處不當，情節重大者，以抄襲論。
- (四) 由他人代寫。
- (五) 未經註明而重複發表或出版公開發行。

- (六) 大幅引用自己已發表之著作，未適當引註。
- (七) 以翻譯代替論著，並未適當註明。
- (八) 其他違反學術倫理情事。

II. The violations of academic ethics referred to in these handling principles are those found in the theses of doctoral and master's degrees granted by this university according to the *Degree Conferral Act* (including theses, works, achievement certificates, written reports, technical reports, or professional practice reports used to obtain degrees), under any of the following circumstances:

1. Fabrication: Falsifying non-existent application materials, research data, or research results.
2. Falsification: Improperly altering application materials, research data, or research results.
3. Plagiarism: Using others' application materials, research data, or research results without proper citation. In cases of improper citation that are significant, it will be considered plagiarism.
4. Ghostwriting: Having someone else write the thesis or dissertation.
5. Unattributed Republication: Republishing or publicly releasing without attribution.
6. Excessive Self-Citation: Extensively quoting one's own previously published works without proper citation.
7. Translation Substitution: Using translations in place of original academic work without proper attribution.
8. Other Violations of Academic Ethics.

三、 本校碩、博士學位論文疑涉有違反學術倫理情事之受理程序如下：本校各單位知悉或接獲檢舉本校博、碩士學位論文有違反學術倫理情事時，應檢附具體違反情形及相關資料，送交教務處受理；對於具名並提出具體事證之檢舉者，經教務處向檢舉人查證確認其檢舉意願後，即受理處理。

III. The procedure for handling master's theses or doctoral dissertations suspected of violations of academic ethics is as follows: when any unit is aware of or receives a report of the said matter, proofs of violation and related documentation shall be submitted to the OAA. If an identified informant makes the report with concrete evidence, the OAA shall start the investigation after verifying the informant's willingness.

前述違反學術倫理情事含以生成式人工智慧 (Generative AI) 等相關技術進行撰寫且未明確註明應用動機、範圍及其引用之著作、資料出處等行為。

The above-mentioned violations of academic ethics cases include writing using generative artificial intelligence (Generative AI) and other related technologies without clearly indicating the motivation and scope of the application and the sources of the works and materials cited.

檢舉案件以匿名檢舉，非有具體對象及充分事證者，不予受理。檢舉案未經證實成立之前，參與調查或審議程序之人員，就所接觸之資訊有予以保密之必要者，應以保密方式為之。

Any anonymous reporting without a specific target or sufficient evidence shall not be processed. All personnel involved in the investigation or deliberation procedure shall keep confidentiality before the reporting is validated and the case formally established.

檢舉案經證實之後，對檢舉人之身分亦應予嚴格保密。

The identity of the informant shall be strictly kept confidential after the reporting is validated.

四、 審定委員會之審議程序如下：

IV. The deliberation procedure for the ad hoc Review Committee is as follows:

(一) 教務處於受理檢舉案後，應於3個工作天內通知被檢舉人所屬學院及學系（所、學位學程），並將檢舉相關文件送被檢舉人所屬學院。該學院應於收件後10日內成立審定委員會，本公平、公正、客觀、明快原則，於二個月內完成審定。前項審定期間必要時得展延一個月，展延以一次為限。

(1) The OAA shall notify the affiliated department/institute/degree program and college of the accused within three (3) working days after establishing the case. Related documents shall be delivered to the college to form an ad hoc review committee within ten (10) days upon the next day of receiving the documents. The deliberation shall be completed within two (2) months in a fair, impartial, objective, and decisive manner. The duration for deliberation may be further extended once for another month, if necessary.

(二) 審定委員會置委員五至七人，由被檢舉人所屬學院院長、學系（所、學位學程）主管、所屬學院教師代表一至二名、相關學院教師代表一至二名及法律專家一名組成之，並由被檢舉人所屬學院簽請校長遴聘之。審定委員會召開之相關會議，應邀請教務處派員列席。

(2) The said review committee consists of five to seven members, including the dean of the accused's affiliated college, the chair of the affiliated department/institute/degree program, one or two faculty

representatives from the affiliated college, one or two faculty representatives from other colleges, and one legal expert. The college shall submit the list of selected members to the President for approval. OAA members shall have representatives attending the committee meeting as non-voting attendees.

被檢舉人之配偶、三親等內血親或姻親及指導教授、學位考試委員、學術合作關係或其他利害關係者皆不得擔任審定委員會委員。

The accused's spouse, relatives by blood or marriage within the third degree, thesis/dissertation supervisors, degree examiners, academic collaborators, or other interested persons shall not serve as committee members.

- (三) 審定委員會由院長擔任召集人及會議主席。若院長為被檢舉人之指導教授或考試委員而應迴避時，應由副校長擔任召集人及會議主席；若院長及副校長同時應迴避時，則由教務長擔任召集人及會議主席。
- (3) The dean shall serve as the convenor and chairperson of the committee meeting, but shall recuse himself/herself if being the accused's supervisor or examiner, and one of the senior vice presidents shall succeed as the convenor and chairperson. If both the dean and the senior vice president need to recuse themselves, the vice president for Academic Affairs shall serve the roles instead.
- (四) 審定委員會開會時，應有委員二分之一以上出席，並經出席委員二分之一以上同意始得議決。審定委員會委員應親自出席會議，不得委任他人代理出席及表決。
- (4) There shall be at least one-half of the members present for the meeting to convene. The resolution shall only be made with the consent of more than one-half of the attending members. Committee members shall attend the meeting in person and not entrust any proxy to attend or vote.
- (五) 審定委員會得推薦校外專業領域公正學者為審查人。審查人以三人為原則，被檢舉人之利害關係人不得擔任審查人。審查人應於三週內完成審查，並提出審查報告書，供審定委員會審議決定參考。審查人身分應予保密。
- (5) The committee shall recommend three external impartial scholars as the reviewers. Interested persons related to the accused shall not be appointed as reviewers. The review shall be completed within three (3) weeks with a report submitted to the committee for deliberation and

the identity of the reviewers shall remain confidential.

(六) 審定委員會必要時得邀請被檢舉人之指導教授、考試委員列席說明。

(6) When the situation dictates, the committee shall list the accused's supervisors or degree examiners as non-voting attendees for comment and explanation.

五、 審定委員會應以書面通知被檢舉人或利害關係人於期限內提出書面說明或到場陳述意見。未於通知期間內提出說明書或到場陳述意見者，視為放棄陳述之機會。

V. The committee should notify the accused or interested persons in writing to submit their explanations either in written form within a specified deadline, or in person at the meeting. Those who fail to do so will be deemed giving up their rights.

六、 檢舉案件經審定委員會審議決定後，其審定報告書及會議紀錄應送教務處經校長核定，由教務處以書面通知檢舉人與被檢舉人及被檢舉人所屬學系(所、學位學程)審定結果。被檢舉人對審定結果如有不服，得自書面公文送達之次日起三十日內，依程序向教育部提起訴願。

VI. After the committee reaches the resolution for the said case, the report and meeting minutes shall be compiled by the OAA for the President's approval. The OAA shall then notify the informant, the accused and his/her affiliated department/institute/degree program of the resolution in writing. If there is dissatisfaction with the evaluation results, a petition may be submitted to the Ministry of Education within 30 days from the day following the receipt of the official written notification, in accordance with the procedures.

七、 審定委員會審定被檢舉人學位論文確有造假、變造、抄襲、由他人代寫或其他舞弊情事屬實，違反學術倫理情節重大者，經校長核定後，應予撤銷學位。由教務處撤銷被檢舉人畢業資格及學位，於校內網頁公告註銷並以書面通知追繳已發之學位證書；審定相關資料送校級教師評審委員會審議參考，以釐清指導教授責任。

VII. If the committee confirms that the accused's thesis or dissertation has been fabricated, falsified, plagiarized, ghostwritten, or involved in other forms of academic misconduct, the degree will be revoked in cases of serious violations of academic ethics, subject to approval by the university president. The OAA shall revoke the accused's graduation qualification and degree, announce the cancellation of degree diploma on the University's website and notify the accused in writing to return the diploma. Relevant materials of the case shall then be delivered to the University Faculty Evaluation Committee for future reference to clarify the possible dereliction of the supervising

professor.

前項情形應函知國家圖書館及本校圖書館撤下被檢舉人之論文紙本論文及電子檔案。註銷事項通知其他大專校院及相關機關(構)。

For cases stipulated in the preceding Paragraph, the University shall notify National Central Library and the University's library in writing to remove the hardcopy and softcopy of the accused's thesis or dissertation. Other universities, colleges, and related institutions shall also be notified of the cancellation.

經撤銷畢業資格並註銷學位者，以退學論處，即使未屆滿修業年限，亦不得回校繼續修讀。

The accused shall be considered dismissed from the University once the status of graduation is disqualified and the degree diploma revoked. They shall not return to the University to continue their study even if their term of study has not expired.

八、 經審定未達撤銷學位程度，但仍有違反學術倫理情形者，審定委員會得限期要求被檢舉人修正或採取其他適當處置。被檢舉人應依限完成處分事項並檢附證明文件，經被檢舉人指導教授（或系所主管）核定後，送教務處辦理。未依限完成處分事項，依本處理原則第七點規定辦理。

VIII. If the evaluation does not reach the level of degree revocation but there are still violations of academic ethics, the evaluation committee may set a deadline for the accused to make corrections or take other appropriate actions. The accused must complete the required actions within the specified time frame and submit supporting documentation. Once approved by the accused's supervisor (or department head), the documents should be submitted to the Office of Academic Affairs for processing. If the required actions are not completed within the deadline, they will be handled in accordance with Section 7 of these handling principles.

前項審定報告書倘有要求被檢舉人應補正論文資料時，被檢舉人應依要求修正，經指導教授（或系所主管）確認，並依規定抽換送存國家圖書館及本校圖書館論文。未於接獲審定報告書後六個月內完成前述補正程序者，依本處理原則第七點規定辦理。

If the review report in the preceding paragraph requires the accused to correct their thesis or dissertation, the accused must make the necessary revisions as requested and have them confirmed by their advisor (or department head). The corrected thesis or dissertation should then be submitted for replacement

to both the National Library and the university's library. If these corrective actions are not completed within six months of receiving the review report, they will be handled in accordance with Section 7 of these handling principles.

- 九、 檢舉案經審結為不成立，除另有新事實或新證據外，對於同一案件不予受理。
- IX. Reported cases that are found baseless shall not be reopened unless new facts or evidence are provided.
- 十、 本處理原則如有其他未盡事宜，依教育部及本校相關規定辦理。
- X. Matters not covered herein shall be handled in accordance with the MOE's and the University's related regulations.
- 十一、 本處理原則經教務會議通過，陳請校長核定後實施，修正時亦同。
- XI. These principles are approved by the Academic Affairs Council and by the President before implementation. Any amendments to these principles shall follow the same procedure.