

Student Academic Integrity Code of Shanghai Advanced Institute of Finance, Shanghai Jiao Tong University

(Approved by SAIF Standing Curriculum Committee on July 27, 2018)

No. SAIF-ESO-20180727

Chapter I General Rules

Article 1 Given that academic integrity is a major integral part of the culture of Shanghai Advanced Institute of Finance, Shanghai Jiao Tong University (hereinafter referred to as “SAIF”), this Code is formulated in accordance with the *Provisions on the Administration of Students in Regular Institutions of Higher Education* issued by the Ministry of Education, *Codes of Shanghai Jiao Tong University on Students Study Integrity*, *Charter of SAIF, Shanghai Jiao Tong University*, *SAIF Institutional Scheme and Administrative Measures*, *Detailed Rules on Authorization from Shanghai Jiao Tong University to SAIF*, and relevant rules and regulations.

Article 2 This Code applies to the students of all degree-granting programs of SAIF and may serve as a reference for non-degree granting programs

Article 3 To protect the academic freedom and intellectual property rights of each person, each student shall gain authentic academic achievements through personal efforts in study, and may neither accept nor offer any improper assistance.

Chapter II Determination and Actions against Academic Misconduct

Article 4 The following behaviors shall be determined as academic misconducts and shall be subject to disciplinary actions, criticism and education by the Academic Integrity Board. In case of severe circumstances, the Academic Integrity Board shall submit the suggestions for actions against the misconduct that have been approved by the Standing Curriculum Committee along with the evidence materials to the University, which will determine and give appropriate sanctions. Specifically,

I. Students with the following behaviors will be subject to criticism and education by the Academic Integrity Board.

(I) Assignments

Students shall obtain authentic academic results through personal efforts during academic study, and it is prohibited to copy others or lend their own assignments to others for reference. Dishonest behaviors of students in completing assignments (including reports) include:

1. Falsifying or fabricating assignments or data of lab reports;
2. Falsifying or plagiarizing assignments or lab reports of others;
3. Completing assignments or lab reports by ghostwriting;
4. Lending their own assignments or lab reports to others or ghostwriting for others;

5. Stealing standard answers to assignments or lab reports;
6. Citing the achievements or contents of articles of others directly without indicating the sources;
7. Obtaining or intending to obtain standard answers or academic scores by dishonest means in violation of the principle of fairness and impartiality;
8. Other dishonest behaviors than those described above.

The behaviors described above shall be subject to reduction of assignment scores, lowering of course grades, scores being invalid and deemed to be zero and other actions, based on the severity of the circumstances, the attitude of the students, the scope of influence and the relevant consequences. Those with severe circumstances shall be reported to the University for sanctions.

Where a student unilaterally obtains information about the assignments of others by illegitimate means (e.g. via background program vulnerability of websites with personal skills) and the student being plagiarized is unaware of the plagiarizing, then the one being plagiarized shall not be punished.

(II) Attendance checking

Students who don't actually attend the activities or courses stipulated in teaching plans after showing up for attendance checking or signing in by proxy or for others shall be deemed to have violated attendance checking discipline, for which the students shall submit a written self-criticism. Absent students shall have their false attendance record written off while those signing in for others shall have their own attendance record of one class deducted. Those with repeated violation of the attendance checking discipline shall have their course grade lowered in addition to deduction of attendance record.

II. For students with any of the following behaviors, the Academic Integrity Board will, depending on the circumstances, submit the suggestions for actions that have been approved by the Standing Curriculum Committee along with the evidence materials to the University, which will determine and give appropriate sanctions.

(I) Violation of Exam-related Disciplines

Students shall strictly conform to the Rules for Examinations of SAIF. Failure to abide by the Rules or deviation from the principle of fairness and impartiality in exams shall be identified as cheating in exams and be given disciplinary sanction by the University as per the Rules of Shanghai Jiao Tong University on Disciplinary Sanctions.

1. Any student violating examination-related discipline during exams shall be subject to warning or serious warning based on the severity of the circumstances and his or her attitude.
2. Any student who severely disturbs the order of an examination room or a workplace set for exams shall be subject to disciplinary probation or more serious sanctions;
3. Any student cheating in exams shall be given disciplinary sanction depending on the following circumstances:
 - 1) Any student delivering or receiving or exchanging exam papers, answer sheets or scratch paper without permission shall be subject to disciplinary probation;

2) Any student grabbing exam papers or other exam materials from others, forcing others to assist in his or her plagiarizing, or intentionally destroying exam papers or other exam materials shall be subject to disciplinary probation or more serious sanctions;

3) Any student asking another person to attend exams in his or her name or taking exams in another person's name, or organizing or introducing cheating, or committing cheating with telecommunication equipment or other instruments, or obtaining exam papers or standard answers by dishonest means, or selling exam questions or answers for profits, or with other serious cheating behaviors shall be expelled from academic status;

4) For other cheating behaviors during exams, a demerit or more serious disciplinary sanction shall be given based on the severity of the circumstances and his or her attitude.

Provisions of this article shall also apply to students participating in national or regional exams organized by the state, local governments or institutions authorized thereby but violating exam discipline or committing cheating, in addition to the provisions applicable to the appropriate exams.

(II) Violation of Academic Ethics

Those violating academic ethics will be given disciplinary sanction as per the following circumstances:

1. Any student whose research results published or academic dissertation for degree application involves any violation of academic ethics shall be subject to disciplinary probation or more serious sanctions depending on the circumstances.

Any student with any of the following circumstances shall be expelled from academic status:

1) Buying or selling academic dissertation;

2) Completing academic dissertation by ghostwriting or ghostwriting for others;

3) Organizing the sales and ghostwriting of academic dissertation;

4) Academic dissertation or research results published involves plagiarizing, falsification, fabrication or other misconduct and the circumstance is grave.

2. Any student with misconduct violating academic ethics such as falsifying academic record or obtaining academic scores by dishonest means shall be given a demerit or more serious sanction in light of the circumstances;

Other behaviors in violation of academic ethical codes generally recognized in the academia, in addition to the above behaviors.

Article 5 The Academic Integrity Board shall be responsible for punishing students in violation of this article. Those with severe circumstances shall be reported to the University along with evidence materials with the approval of the Standing Curriculum Committee to have the University determine and give appropriate disciplinary sanctions. Disciplinary sanctions are listed as the following types, with the severity increasing as per the following sequence:

I. Warning;

II. Serious warning;

III. Recording of a demerit;

IV. Disciplinary probation;

V. Expulsion from academic status.

Students subject to any criticism and education shall, within one year since the occurrence of misconduct, not be eligible for appraisal of any scholarships, student subsidies, or any title of honor. Those subject to serious sanctions shall be deprived of any qualification for international exchange or employment recommendation for excellent students by the Career Development Center. SAIF will not issue any letter of recommendation for the students involved. The above sanction methods apply to any student subject to the disciplinary sanctions of the University from the happening of the misconduct to the day the sanction is removed. Furthermore, the University will give an observation period varying from six to ten months (applicable to sanctions lighter than recording of demerits) or a probation period of twelve months (applicable to disciplinary probation) depending on the severity of the circumstances. The sanction will be removed according to the prescribed procedures of the University when it is due. After the sanction is removed, the student's obtaining of commendation and awards and other rights will no longer be affected by the previous sanction.

Article VI Misconduct of International Students

I. If any student from domestic or foreign schools or academic institutions studying in SAIF under an exchange program has academic misconduct, he/she will be sanctioned according to this article.

II. If any student of SAIF studying in domestic or foreign schools or academic institutions under an exchange program has academic misconduct, he/she will be taken actions according to this article. If the school has taken actions, SAIF will recognize.

Chapter III Treatment Procedures of Academic Misconduct

Article 7 Responsibility Division for Academic Misconduct Treatment

The Academic Integrity Board of SAIF shall be responsible for determining and dealing with students' academic misconducts; the Educational Services Office investigating and collecting evidence, and relevant program teams and departments collaborating on their work.

Article 8 Treatment Procedures of Academic Misconduct

When an instructor, course coordinator, program team, student or other people discovers any academic misconduct of a student, they shall report to the Educational Services Office, inform the program team in charge of the student and assist the Academic Integrity Board in the investigation thereof, except that the instructor can decide to deal with it in the class or report to the Academic Integrity Board. The Educational Services Office shall investigate the facts and related materials as well as the integrity records of the student and send them to the Academic Integrity Board for treatment. The Academic Integrity Board shall identify the academic misconduct of the student and propose a proper suggestion. In case disciplinary sanctions should be given by the University, the misconduct shall be reported to the University along with the evidence materials upon the approval of SAIF Standing Curriculum Committee. The Educational Services Office will

do following work in light of the suggestions according to the requirements of the Academic Integrity Board.

In case the Instructor decides to deal with it in class, the direct actions include: reducing the scores of assignments or exams, or redoing assignments or retaking exams. The instructor shall appraise the authentic status of the student based on the course requirements and his/her own professional judgment.

Article 9 Composition of the Academic Integrity Board Members

Members of the Academic Integrity Board are appointed by SAIF Curriculum Committee and shall include one member of the management team of SAIF taking charge of the Academic Integrity Board, one full-time professor, and Director of the Educational Services Office. When necessary, the Academic Integrity Board shall require related personnel (e.g. Academic Director and department head of the appropriate program or department, and designated student representatives) to attend its meetings. The chair of the Academic Integrity Board shall be undertaken by the member of the management team of SAIF. The Secretariat of the Academic Integrity Board is set within the Educational Services Office, with one secretary assumed by an employee appointed by the Educational Services Office to be responsible for daily support work of the Academic Integrity Board.

Article 10 Investigation, Evidence Collection and Time Limitation

If a student is suspected of violating exam-related discipline, SAIF shall promptly communicate with the teaching administration department and immediately start investigation from the day discovering the violation. Specifically, the invigilator shall send related materials to the Educational Services Office within 1 working day after the end of the exam. The Educational Services Office shall investigate and collect evidence within 5 working days under the guidance of Academic Integrity Board upon the receipt of the information about the student's misconduct. If the student has any objection to the misconduct, he/she shall, within 3 working days after the conversation, present a written explanation and supporting evidences. The student in question shall be deemed as waiving his/her right of representation and defense if failing to exercise this right within required period without due cause. A student suspected of misconduct when studying abroad shall submit corresponding evidences and materials to the Academic Integrity Board of SAIF.

The relevant evidences and materials submitted by Educational Services Office to the Academic Integrity Board include:

- I. Evidences proving the misconduct;
- II. Type of the misconduct, severity, initiative or passive commitment, and percentage in the course assessment;
- III. Feedbacks from related faculty members.
- IV. The student's statements, defense opinions and conversation records

If a student is suspected of any of the other academic misconduct, the investigation shall be conducted under the guidance of the Academic Integrity Board and with the assistance of the Educational Services Office, the appropriate program and department, and related personnel. They shall, within 5 working days after discovering the said misconduct, assist in investigating the facts and collecting evidences, and submit the investigation information, evidences, and written explanation of the student to the Educational Services Office. If appraisal or inquest is necessary during the investigation

and evidence collection, the time spent thereon shall not be considered when determining the deadlines.

Article 11 Evidences

The following evidences, once reviewed and verified, may be used as the basis for action:

- I. Written evidences;
- II. Physical evidences;
- III. Testimony;
- IV. Statement of the students in question;
- V. Video and audio materials;
- VI. Appraisal conclusions;
- VII. Record of inquest, on-site record;
- VIII. Explanatory materials provided by related departments;
- V. Other evidences.

Article 12 Review of Evidences

The Academic Integrity Board shall review the evidences within 1 working day upon receiving them. In case of incomplete evidences or nonconforming forms, the Educational Services Office will make supplementary investigation.

Article 13 Suggestions for Actions against Misconduct by the Academic Integrity Board

After the evidences are reviewed as qualified, the Educational Services Office shall check the integrity records of the student and submit them to the Academic Integrity Board together with other materials. The Academic Integrity Board shall propose a suggestion on the student committing misconduct based on identification basis of such misconduct within 10 working days. In the event any criticism and education is involved, relevant program and department shall educate the student under the guidance of the Academic Integrity Board. In case a sanction proposal is involved, relevant evidences shall be submitted to the University along upon the approval of the Standing Curriculum Committee.

Article 14 The University's sanctions on students and students' appeal shall follow the *Rules of Shanghai Jiao Tong University on Disciplinary Sanctions* and *Rules of Shanghai Jiao Tong University on Appeal Administration*.

Chapter IV Supplementary Rules

Article 15 This Code is made known and implemented after approval by the SAIF Curriculum Committee, and shall take effect upon its approval. The former Academic Integrity Code of Shanghai Advanced Institute of Finance of Shanghai Jiao Tong University shall be repealed simultaneously.

Article 16 The Code shall be subject to interpretation by SAIF Curriculum Committee.

Appendix: Treatment Procedures of Academic Misconduct

