**SUSTECH – KING'S SCHOOL OF MEDICINE (JOINT EDUCATION INSTITUTE)**

**REGULATIONS, POLICIES AND PROCEDURES for 2026/27**

A bespoke set of Academic Regulations apply to all students who are formally registered at the SUSTech-King's School of Medicine. These Regulations have been developed and approved by both parties to ensure that the academic standards of each respective award for the programme can be maintained. These Regulations will take precedence over the existing SUSTech and King's regulations for those students formally registered on a programme of study at the SUSTech-King's School of Medicine.

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**SUSTECH – KING'S SCHOOL OF MEDICINE (JOINT EDUCATION INSTITUTE)**

**REGULATIONS, POLICIES AND PROCEDURES**

# REGULATIONS FOR MITIGATING CIRCUMSTANCES

## 1. PURPOSE AND SCOPE

1.1 These Regulations set out the JEI's arrangements for considering requests for mitigation in certain circumstances.

1.2 These Regulations apply to all students who are formally registered at the SUSTech - King's School of Medicine (hereafter referred to as the JEI).

1.3 These Regulations are jointly approved by both SUSTech and King's taking into consideration any local and national requirements. These Regulations will take precedence over the existing SUSTech and King's regulations for mitigating circumstances for those students formally registered on a programme of study at the SUSTech-King's JEI

1.4 The JEI Student Affairs Office is responsible for the interpretation of these Regulations.

## 2. KEY PRINCIPLES

2.1 The JEI considers mitigating circumstances to be recognisably disruptive or unexpected events beyond the student's control that might have a significant and adverse impact on their academic performance. Mitigating circumstances might:

- affect a student's ability to study for, prepare and submit an assessed piece of work by a set deadline
- affect a student's ability to attend an examination, class or laboratory assessment on a set date

2.2 Marks will never be raised due to mitigating circumstances.

2.3 It is the student's responsibility to declare any circumstances in accordance with the mitigating circumstances process and to provide independent evidence to support the circumstances.[1]

2.4 It is acknowledged that in exceptional cases it may be impossible for a student to provide independent evidence and in such instances the student's mitigating circumstances claim will still be considered.

[1] Information about the process including example situations that would and would not be acceptable mitigating circumstance and the evidence required are available on the JEI website/student handbook.

2.5 It is the JEI's responsibility to ensure that responses to mitigating circumstances claims are made normally within seven calendar days of submission of the supporting evidence. All students will be treated equally and fairly in the consideration of their mitigating circumstances regardless of their programme of study.

2.6 All students will have a consistent experience of the mitigating circumstances process.

2.7 It is the JEI's responsibility to ensure that students meet the learning outcomes for module(s) affected by mitigating circumstances before the module can be passed.

2.8 Relevant JEI/SUSTech/King's staff will have access to information students have willingly shared as part of the mitigating circumstances process, as relevant for their role in the process.

## 3. PENALTIES FOR LATE/NON-SUBMISSION

3.1 A student who either fails to submit coursework for assessment or submits after the deadline, and has not made a request for an extension, or who has not satisfied the Chair of the relevant JEI Assessment Sub-Board that their mitigating circumstances offer valid reasons for submitting late work, will have an automatic penalty applied.

(1) For coursework where the submission deadline is 10 working days or more after the coursework is set, work submitted within 24-hours of the deadline will be marked but 10 raw marks will be deducted where the assessment is marked out of 100. Where the assessment is not marked out of 100, the penalty should be adjusted accordingly and approved by the relevant Assessment Sub-Board. If the deduction takes a student below the pass mark, the coursework mark will be capped at the pass mark.

(2) Where a student submits an assessment late but within 24 hours and subsequently fails the assessment, the late submission penalty of deducting 10 raw marks will not be applied.

(3) For coursework where the submission deadline is 9 or fewer working days after the coursework is set, work submitted within 24-hours of the deadline will be marked but students who pass the coursework will have the coursework mark capped at the pass mark.

(4) For assessments with a deadline within 24 hours of the assessment being set, the deadline will not be extended.

(5) Work submitted after the 24-hour deadline will receive a mark of zero and the reassessment rules will apply.

3.2 Students must take and submit the examination within the permitted timeframe. Examinations not submitted within the permitted timeframe will receive a mark of zero. In such instances a student may, at the discretion of the relevant JEI Assessment Sub-Board, be permitted to attempt the examination again if the regulations for the programme permit such reassessment.

## 4. SUBMISSION OF MITIGATING CIRCUMSTANCES REQUESTS

4.1 Mitigating circumstances requests will not be accepted after the publication of results.

4.2 A student who has experienced disruptive or unexpected events beyond their control that might have a significant and adverse impact on their academic performance may submit a

Mitigating Circumstances Form (MCF). This form will only be eligible for consideration if it satisfies one of the following:

- the MCF is submitted any time before the affected date of assessment
  the MCF is submitted (normally) no later than two calendar days after the affected date of assessment
- exceptionally, if the MCF is submitted after the two-day deadline but the student is able to provide good reason and supporting evidence why they did not follow the correct procedure

In all of the above cases the independent supporting evidence must be submitted within 21 calendar days of the affected date of assessment(s).

4.3 A student who has satisfied the eligibility criteria above will have their MCF considered by the relevant JEI Assessment Sub-Board Chair (or nominee) responsible for their programme of study.

## 5. OUTCOMES OF CONSIDERATION OF MITIGATING CIRCUMSTANCES REQUESTS

5.1 Under no circumstances will mitigation be grounds for adjusting marks awarded. However, if satisfied with the MCF and supporting evidence, the JEI Assessment Sub-Board Chair (or nominee) can decide the following outcomes.

(1) A student is granted a replacement assessment opportunity to be taken at the next available opportunity in the assessment schedule
(2) Where a module specification permits it, a student is granted an alternative assessment opportunity to be taken at a later date
(3) A student is granted an extension for their coursework to be submitted at a later date
(4) A late submission penalty is suspended
(5) An element of assessment will be voided and the module mark re-scaled so that the overall mark is based only on the elements of assessment the student has completed: NB This cannot be used if the element of assessment contributes more than 20% of the overall total OR the module has a qualifying mark. Options (1) to (3) above should be considered first before deciding to void the assessment.

5.2 If the mitigation relates to a module that is a resit attempt the reassessment regulations will apply and the final module mark following reassessment will be capped at the relevant pass mark; if it is a first attempt the marks will not be capped.

5.3 If the JEI Assessment Sub-Board Chair (or nominee) is dissatisfied with the MCF and supporting evidence the MCF will be rejected and the assessment attempt will stand.

5.4 A student who is dissatisfied with the outcome of the mitigating circumstances process, may submit an academic appeal once their results have been ratified. See the JEI Regulations for Academic Appeals for details of the process.

**SUSTECH – KING'S SCHOOL OF MEDICINE (JOINT EDUCATION INSTITUTE)**

**REGULATIONS, POLICIES AND PROCEDURES**

**REGULATIONS FOR STUDENT CONDUCT**

## 1. PURPOSE AND SCOPE

1.1 In accordance with the Chinese Education Law, Higher Education Law as well as relevant laws and regulations and the Guidelines for Student Conduct in Institutions of Higher Learning, MOE 2005, these Regulations are formulated in order to regulate the behaviours of students at the Joint Education Institute of the Southern University of Science and Technology and King's College London (SUSTech - King's JEI), to maintain the proper functioning and activities of the JEI, SUSTech and King's, to protect students' rights, and to comprehensively foster students' all-round moral, intellectual, physical and aesthetic development.

1.2 As members of the JEI community, students are expected to adhere to the regulations, procedures and policies of the JEI, to show respect for the persons within and for the property of the JEI community. Where there is reason to believe that the behaviour of a student falls below the expected standards and/or where regulations, procedures, and/or policies have been breached, the procedures within these Regulations will be instigated.

1.3 These Regulations apply to all students who are formally registered at the SUSTech - King's School of Medicine (hereafter referred to as the JEI).

1.4 These Regulations do not cover academic misconduct; the policy and procedures for which are set out in the JEI Policy and Procedures for Academic Misconduct.

1.5 These Regulations have been jointly approved by both SUSTech and King's taking into consideration any local and national requirements. These Regulations will take precedence over the existing SUSTech and King's regulations relating to student conduct, excluding academic misconduct, for those students formally registered on a programme of study at the SUSTech - King's JEI.

1.6 The JEI Student Affairs Office is responsible for the interpretation of these Regulations.

## 2. KEY PRINCIPLES

2.1 The disciplinary action taken following a student's breach of regulations, procedures and/or policies is a combination of education and penalty and should be compatible with the nature and severity of the offence. The action taken and penalty given to students should be decided on the basis of sufficient evidence, clear definition of the offence, proper procedures, and appropriate operation.

2.2 A student who breaches discipline on campus or via electronic means shall be given a disciplinary penalty in accordance with these Regulations. A breach of discipline that takes place during, internships, field trips, social practices, temporary work, and other social practice activities shall also lead to disciplinary penalty according to these Regulations.

2.3 A student is presumed innocent until found guilty of a breach of discipline as determined by the procedures in these Regulations.

2.4 A student is required to inform the JEI of any breaches of the law during their programme of study which fall within the category of those required to be disclosed at admission. Where a specific breach of the law would render the student ineligible for continuing on their programme of study, the student's registration will be terminated without notice.

## 3. TYPES OF PENALTY

3.1 A student who is found guilty of a breach of discipline, shall be given the following penalty according to the seriousness of the circumstances, the acknowledgement by the student that they have committed an offence and the demonstration by the student of repentance:

(1) warning
(2) serious warning
(3) demerit recording[2]
(4) academic probation
(5) expulsion from academic status

3.2 Where the circumstances are not serious enough to warrant a penalty as listed above, a student will be given a notice of criticism by the JEI Student Affairs Office and asked to correct their mistake.

3.3 Those who commit a breach of discipline can be given a lighter penalty under any of the following circumstances with minor consequences:

(1) Those who take the initiative to admit their mistake and show an in-depth self-criticism and repentance.

(2) Those who it is confirmed have been coerced or deceived by others and can proactively expose this activity.

(3) Other circumstances not listed above will be considered on a case-by-case basis.

3.4 Those who commit a breach of discipline shall be given a heavier penalty under any of the following circumstances:

(1) Those who retaliate against, threaten or intimidate an individual.

(2) Those who have been punished before but commit an offence again.

(3) Those who collude with people outside the SUSTech - King's JEI in breach of these Regulations.

(4) Those who violate the rules of SUSTech, King's or the JEI in territories outside China whether virtually or physically.

[2] A demerit is a note of a fault/offence.

(5) Those who violate the rules of SUSTech, King's or the JEI in being a ringleader for a group that commits an offence or being a member of such a group.

(6) Other circumstances not listed above will be considered on a case-by-case basis.

## 4. DISCIPLINARY PROCEDURES

4.1 When the relevant departments of the JEI or SUSTech find any disciplinary breach by a student within their jurisdiction as listed in Regulations 6.1 – 6.16 below, they shall investigate it in a timely manner. If necessary, they shall report to the public security department or the community police station for investigation. For any disciplinary breach that has been thoroughly investigated, the department shall send the relevant materials to the JEI Student Affairs Office, which shall, within one month after receiving the materials or the notice, inform the student of the facts, reasons and grounds for the decision, and inform the student of their right to make a statement and defence, listen to their statement and defence, and then make a decision on the penalty or give advice on it in accordance with the Regulations.

4.2 The JEI Student Affairs Office shall submit the penalty decision to the legal counsel for legality verification.

4.3 For a penalty of warning, serious warning and demerit recording, the JEI Student Affairs Office shall convene a Student Disciplinary Penalty Committee to make a decision, and report this to the Vice Chairperson of the University Council for approval and filing. The Committee will be chaired by the Director of the JEI Student Affairs Office and comprise five academic members from two or more residential colleges and one student representative (usually the President of the Student Union).

4.4 For a penalty of academic probation and above, the JEI Student Affairs Office shall convene a Student Disciplinary Committee who will submit a recommended penalty to the Vice Chairman of SUSTech Council for approval. The Presidential Executive Council will then review and make a decision.

4.5 The JEI Student Affairs Office shall put the materials on each disciplinary case into the archives of the University and the personal archives of the student in a timely, truthful and complete manner.

4.6 A penalty of academic probation is limited to a one-year period. A student who is placed on academic probation shall be reviewed by the JEI Student Affairs Office at the end of the probation year. Those who have shown repentance and progress during the probation period will have the probation terminated as scheduled. Those who perform well can have the probation period terminated early (the probation period shall be no less than six months) upon application by themselves, review by the JEI Student Affairs Office and the approval of the SUSTech Student Affairs Office. Those who fail to correct themselves after being educated or make a mistake again during the probation period shall be expelled from academic status. Students of the graduating class shall generally not be given the penalty of academic probation.

4.7 Any student who has been expelled from academic status shall go through the formalities of leaving the JEI and being de-registered by SUSTech and King's within seven calendar days as of the next day after the written penalty decision is delivered. If they fail to go through the formalities within the time limit, the JEI shall process the expulsion as stated in the notice. Issues in the aftermath shall be handled according to the relevant provisions on the management of academic status.

4.8 After the decision about a penalty has been made, a written penalty decision shall be issued which shall include the following contents:

(1) Basic information about the student.
(2) Information about the penalty
(3) The type, basis and time limit of the penalty
(4) Information and timescale for the student to make an appeal against the penalty
(5) Other necessary information

4.9 After the decision on a penalty is made, the counsellor[3], shall directly deliver the *Disciplinary Punishment Decision of SUSTech* to the student. Copies should also be sent to the student's residential college, the Programme Lead for the relevant programme, and the JEI Student Affairs Office. The student shall manually sign with "I have been informed of the decision and signed for it" and their full name. If the student refuses to sign, the counsellor shall deliver and leave it (the delivery date shall be the date when the counsellor and witness sign on the written penalty decision). If the student has left the JEI, the counsellor shall deliver it by mail (the delivery date shall be the receipt date in the mail system). If it is difficult to contact the student, the counsellor shall deliver it through the announcement on the SUSTech website (the delivery date shall be the date of announcement on the SUSTech website).

4.10 A penalty decision on expulsion from academic status shall be reported to the Education Department of Guangdong Province and the Education Bureau of Shenzhen Municipality for record.

4.11 A penalty decision containing a description of the particular offence and penalty, but not the student's name or ID shall be announced in the whole University or class in a timely manner as appropriate, and the parents of the student shall be notified in writing. The JEI Student Affairs Office shall decide whether to make public the penalty decision concerning personal privacy and state secrets.

4.12 The disciplined student shall also receive the following treatment:

(1) The student shall be disqualified from participating in awards, scholarships and honorary titles in the same academic year (the academic year runs from September to August.)

(2) The conferment of the degree and the issuance of the graduation certificate shall be handled in accordance with the relevant provisions of the *Regulations on the Implementation of the Academic Status Management of Students in SUSTech* and the King's College London *Academic Regulations* section 5.40 – 5.43 Conferment of awards, section 5.84 – 5.85 Certificates and transcripts and section 5.86 Revocation of awards.

(3) The student may also be disciplined in accordance with other JEI regulations if the disciplinary offence is relevant to those regulations.

4.13 Except for the penalty of expulsion from academic status, the penalty shall be valid for 12 months in principle and shall be terminated according to the prescribed procedures of the JEI. After the termination of the penalty, students will receive commendations, awards and enjoy other rights and interests, without the impact of the previous penalty.

[3] A counsellor is a member of professional services staff within the residential colleges.

## 5. APPEAL PROCESS

5.1 If a student has any objection to the penalty decision of the JEI, they may, within 10 days from the date of receiving the written decision, file a written appeal to the SUSTech Student Appeal Handling Committee with the appointed JEI members.[4]

5.2 The Student Appeal Handling Committee shall review the appeal of the student, make a decision and inform the appellant within 15 days after receiving the written appeal. If the circumstances are too complicated to reach a decision within the prescribed time limit, the time limit may be extended by 15 days upon approval of the Vice-Chairman of SUSTech Council. If the Student Appeal Handling Committee considers it necessary, it may recommend the University to suspend the execution of the relevant decision.

5.3 If the Student Appeal Handling Committee considers through review that there has been procedural error or there were inadequate grounds for making the level of penalty decision, it can make a recommendation of removal or alteration of the penalty, request the relevant department/office to re-do the inquiry and resubmit it to the Presidential Executive Council or a special meeting for a decision.

5.4 If the student has any objection to the review decision, they may, within 15 days after receiving the written review decision of the University, file a written appeal to the Education Department of Guangdong Province. The Department may ask the University to review its handling of the appeal to either confirm its original decision or come to an alternative one.

5.5 The JEI shall also submit the review decision to King's College London.

## 6. TYPES OF DISCIPLINARY OFFENCES AND ASSOCIATED PENALTIES

6.1 A student who commits any of the following actions can be expelled from academic status by the JEI:

(1) Those who violate the Constitution, oppose the Four Cardinal Principles, undermine the stability and unity of China, and disturb public order.

(2) Those who violate the national laws and commit a criminal offence.

(3) Those who are punished by the government agency of public security with serious circumstances and an adverse nature.

(4) Those who take an assessment for others or asks others to take an assessment for themself, organize cheating, use communication equipment or other devices to cheat, sell assessment questions or answers to others for profit, or any other behaviour that constitutes serious cheating or disturbing the proper functioning of the assessment process.

(5) Those who commit plagiarism, tampering, forging and other academic misconduct in the academic dissertation or published research results with serious circumstances, or write essays for others, or buy or sell essays.

[4] For terms of reference and membership of the Student Appeal Handling Committee see the Regulations of Southern University of Science and Technology on Student Appeals. The membership of the Committee will be supplemented by members from the JEI when dealing with cases from students enrolled on the JEI programmes.

(6) Those who breach these Regulations and the provisions of the University, which seriously affect the proper functioning of education and teaching, the functioning of living and the functioning of administration in public places.

(7) Those who infringe upon the lawful rights and interests of other individuals or organizations, causing serious consequences.

(8) Those who repeatedly breach the Regulations of the University and have been given a disciplinary penalty but refuse to correct themself after being educated.

(9)

(10) Those who breach the Regulations of the University and cause reputational damage to SUSTech, King's, and/or the JEI.

6.2 A student who violates national and local laws and regulations on campus shall be given the following penalties according to the circumstances:

(1) Those who are identified by the judicial and public security departments as violating national and local laws and regulations but are not punished by them, shall be given a penalty below the demerit recording.

(2) Those who violate the *Law of the People's Republic of China on Punishment for Administration of Public Security* and are punished by the public security administration shall be given a penalty above the demerit recording.

6.3 Students are not allowed to be involved in illegal social, political or religious activities or divulge state secrets. Those who commit any of the following actions shall be given a penalty above demerit recording according to the circumstances:

(1) Those who organize or participate in unauthorized processions or demonstrations in violation of the *Law of the People's Republic of China on Procession and Demonstration* or other relevant laws and regulations; organize, plan and participate in activities that disrupt the administrative or social order of the University.

(2) Those who post, deliver or distribute posters and reactionary leaflets, as well as disseminate reactionary statements by other means to confuse the public and create chaos.

(3) Those who organize, establish or join illegal social groups or organizations and engage in illegal activities.

(4) Those who organize illegal religious activities.

(5) Those who divulge state secrets.

6.4 A student who picks quarrels, stirs up trouble or fights shall be given the following penalties:

(1) Those who insult others verbally (including network language) or by other means, resulting in physical fighting, shall be given the penalty of warning.

(2) Those who attack others shall be given a penalty above serious warning according to the circumstances.

(3) Those who plan or incite others to fight without causing physical fighting shall be given a penalty above serious warning. Where actions cause physical fighting, the

student shall be given a penalty above demerit recording according to the circumstances.

(4) Those who intentionally provide weapon for others to fight without causing injury shall be given a penalty above demerit recording. Those who cause injury shall be given a penalty above the academic probation.

(5) Those who cause physical injury due to fighting shall compensate the economic losses to the victim(s).

6.5 Those who intentionally provide false evidence and obstruct the normal conduct of a disciplinary investigation and handling shall be given a penalty above serious warning.

6.6 Those who are engaged in smuggling, trafficking and other illegal businesses in violation of laws and regulations shall be given a penalty above warning depending on the circumstances.

6.7 Those who violate the relevant provisions of the military training rules of SUSTech shall be given a penalty above warning according to the circumstances.

6.8 Those who illegally appropriate state, collective or individual property by any means shall, in addition to paying back the full amount of the property and receiving a fine in accordance with the relevant provisions of the public security organ, be given the following penalties according to the circumstances:

(1) Those who fail to return or illegally occupy the lost property or the property of others shall be given a penalty above warning.

(2) Those who steal public or private property shall be given a penalty above serious warning according to the circumstances. Those who fraud, rob or extort public and private property shall be given a heavier penalty as a burglar as in point 3 below.

(3) Those who are confirmed to be a burglar by the public security department though fail to steal any property shall be given a penalty above demerit recording.

(4) Those who steal official seals, confidential documents, examination papers, files and other items shall be given a penalty above academic probation.

(5) Those who act as a lookout for the perpetrator, provide information and tools for criminal purposes, or cover up and harbour stolen property shall be given the same penalty as the perpetrator.

6.9 Those who damage public or private property shall be give the following penalties according to the circumstances:

(1) Those who damage public or private property with a value of more than 500 RMB through negligence shall, in addition to paying the economic compensation or fine, be given a penalty above warning as appropriate.

(2) Those who intentionally damage public or private property shall, in addition to compensating for the loss and paying a fine, be given a penalty above serious warning.

6.10 Those who violate the provisions of student dormitory management and disturb the order of dormitory management shall be given the following penalties according to the circumstances:

(1) Those who disturb the order of dormitory management, seriously affect the normal study and life of others and refuse to correct themself after being reprimanded and educated shall be given a penalty above warning.

(2) Those who arbitrarily change or occupy the student dormitory or rent a bed without permission and refuse to correct themself after being reprimanded and educated shall be given a penalty above warning.

(3) Those who cause serious adverse consequences due to accommodating others in the dormitory or letting them into the dormitory shall be given a penalty above demerit recording. Those who accommodate the opposite sex without permission shall be given a penalty above academic probation.

(4) Those who breach the relevant provisions on fire control and electricity use in the dormitory and refuse to correct themself after being reprimanded and educated shall be given a penalty above warning. Those who cause serious consequences due to the above behaviours shall be given a penalty above demerit recording.

(5) Those who commit other actions in breach of the provisions of student dormitory management and refuse to correct themself after being reprimanded and educated shall be given a penalty above warning.

6.11 Those who breach the Code of Conduct of Institutions of Higher Learning shall be given the following penalties according to the circumstances:

(1) Those who intentionally damage library collections, replace new library books with old ones, or steal books with another person’s campus card without their permission shall be given a penalty above warning.

(2) Those who intentionally conceal, destroy and throw away or open others’ letters without permission shall, in addition to compensating for the economic losses, be given a penalty above warning.

(3) Those who insult, abuse, slander, frame or intimidate others and refuse to correct themself after being reprimanded and educated shall be given the penalty of warning; those who cause adverse consequences shall be given a penalty above serious warning.

(4) Those who forge, alter, falsely claim, illegally use or transfer any kind of certificates or certification documents shall receive penalties according to the following provisions:

(i) Those who cause adverse consequences by knowingly concealing their infectious disease, modifying the diagnosis report, and refusing medical treatment shall be given a penalty above demerit recording. Those who violate the provisions on medical insurance for university students, practice fraud and refuse to correct themself after being reprimanded and educated shall be given a penalty above warning.

(ii) Those who cause adverse consequences by forging, falsely claiming and illegally using the student ID card, library card and other kinds of certificates,

and those who forge securities, shall be given a penalty above demerit recording.

(iii) Those who forge (privately engrave) official seals, transcripts, signatures of teachers or parents, award certificates, testimonial materials and documents for personal purposes shall be given a penalty above demerit recording according to the circumstances.

(5) Those who refuse or obstruct state functionaries or administrators of the University from performing their official duties shall be given a penalty above warning.

(6) Those who pick quarrels and stir up trouble to relevant personnel due to academic performance evaluation, change of major, employment, award appraisal, penalty or other reasons shall be given a penalty above demerit recording.

(7) Those who pester the teacher to raise their score or conceal the fact of disciplinary breach and cheating through bribery, threats and other means shall be given the penalty of demerit recording or academic probation according to the seriousness of the circumstances.

(8) Those who, in the name of the University or another person, infringe upon the legitimate interests of the University or another person and cause adverse effects or losses shall, in addition to compensating for the economic losses, be given a penalty above demerit recording.

(9) Those who violate the Code of Conduct for Students of Higher Education Institutions with serious circumstances and adverse impacts shall be given a penalty above demerit recording.

(10) Those who seriously violate social discipline, insult or seriously harass others by other means, engage in prostitution or whoring shall be given a penalty above academic probation.

6.12 Those who read or disseminate pornographic materials shall be given the following penalties:

(1) Those who gather to read or watch pornographic books, periodicals, websites or videos shall be given the penalty of warning; those who refuse to correct themself after being reprimanded and educated shall be given a penalty above serious warning.

(2) Those who produce pornographic writing or drawings, or make, duplicate, sell, rent or disseminate pornographic goods shall be given a penalty above demerit recording.

6.13 Those who spread false information or conduct wanton personal attacks through the Internet, SMS or Weibo, etc.; those who divulge state secrets, commercial secrets and personal privacy or attack computer systems or networks, resulting in adverse consequences, shall be given a penalty above demerit recording.

6.14 Those who participate in gambling or disguised gambling with mahjong, poker or any other ways and means, once found, shall be given a penalty above demerit recording with their gambling paraphernalia and money confiscated. Those who organize gambling shall be given a penalty above academic probation.

6.15 Those who damage environmental hygiene and disturb the normal order in public places of the University shall be given the following penalty according to the circumstances:

(1) Those who scribble, scrawl, scratch or post on buildings or public facilities in breach of related regulations and refuse to correct themself after being reprimanded or educated shall be given a penalty above warning.

(2) Those who damage campus facilities, destroy lawns or pick flowers and refuse to correct themself after being reprimanded and educated shall, in addition to paying compensation for losses and fines, be given a penalty above warning.

(3) Those who disturb the order of the classroom, canteen, library, meeting room or other public places, make noises, throw discarded and dirty things, and refuse to correct themself after being reprimanded and educated, shall be given a penalty above warning.

6.16 Those who cause losses to the lawful property of the state, the University or others in breach of the protocols for experiments or practices, or in breach of the provisions on fire prevention and control of the University, shall be given the penalty of warning or serious warning; those who have severe circumstances shall be given the penalty of demerit recording or academic probation.

6.17 Those who breach the discipline of exams (assessment) or cheat in exams shall be reprimanded, educated and given corresponding disciplinary penalties by the University according to the circumstances of the discipline breach or cheating, with the exam (assessment) score of the course recorded as invalid. Those who have received a warning, serious warning, demerit recording or academic probation but perform well after being educated may be given the opportunity to retake the course and exam within a reasonable period of time before graduation.

6.18 Those who commit any of the following actions during the exam (assessment) shall be given the penalty of warning or serious warning according to the seriousness of the circumstances for the breach of the exam regulations:

(1) Those who carry any exam materials, assistive devices, communication tools or other items during the exam without permission, but without reading or copying for answers, shall be given the penalty of serious warning.

(2) Those who attempt to peek at the exam paper or pass answers to others or whisper to each other during the exam shall be given the penalty of serious warning if they cheat, and the penalty of warning if they cooperate with cheating.

(3) Those who stay in the exam room or make loud noises near the exam room after handing in the exam paper and refuse to correct themself after the on-the-spot warning shall be given the penalty of warning or serious warning according to the seriousness of the circumstances.

(4) Those who affect the order of the exam through other behaviours in breach of exam discipline shall be given the penalty of warning or serious warning according to the seriousness of the circumstances.

6.19 Those who commit any of the following actions during the exam (assessment) shall be considered as cheating in the exam and given the penalty of demerit recording or academic probation according to the seriousness of the circumstances:

(1) Those who are found by the invigilator to have copied the review materials related to the exam content during a closed-book exam; or have written content related to the exam course on the desktop or the body.

(2) Those who forcibly take or copy the exam paper or pass answers to others; or collaborate with others to pass the exam content/answers and provide opportunities for cheating.

(3) Those who use an electronic dictionary or calculator with word storage function without permission; or take the opportunity to peek and exchange exam related information outside the exam room.

(4) Those who pester the teacher to raise their score or conceal the fact of disciplinary breach and cheating through bribery, threats and other means.

(5) Others that cheat in breach of the examination rules.

6.20 Any student who commits any of the following actions in an exam (including quiz, test, etc.) shall be given the penalty of expulsion from academic status for serious cheating:

(1) Those who take the exam for others or ask others to take the exam for themself.

(2) Those who cheat with communication equipment.

(3) Those who organize cheating activities.

(4) Those who steal, deliberately conceal, destroy or throw away the exam paper or the answer sheet.

(5) Those who have other serious cheating behaviours.

6.21 Those who are not found cheating during the exam but are found out afterwards shall be given penalties according to the relevant provisions of these Regulation. Those who, after receiving a penalty for breaching the exam rules, cheat or breach the exam rules again within the duration of this penalty, shall be given a heavier penalty. Those who, after receiving a penalty for cheating in the exam, cheat in the exam again, shall be given the penalty of expulsion from academic status.

6.22 Any student who, in the process of teaching, scientific research or social practice, copies or destroys the homework, report, design (paper) or other achievements of others shall be given the following penalties according to the circumstances:

(1) Those who copy the homework, experiment report, internship report and investigation report of others or fabricate experimental data and refuse to correct themself after being reprimanded and educated, shall be given the penalty of warning.

(2) Those who do homework, write reports or conduct experiments for others or ask others to do the afore mentioned activities for them, and refuse to correct themself after being reprimanded and educated, shall be given a penalty above warning.

(3) Those who copy the course design or graduation design (paper) of others shall be given a penalty above warning.

(4) Those who plagiarize, copy or destroy the teaching or research achievements of others, resulting in adverse effects, shall be given a penalty above demerit recording.

6.23 In these Regulations, the terms “penalty above” or “penalty below” a certain level shall include the penalty of that level.

6.24 The behaviours not listed in these Regulations but in breach of other JEI discipline or rules will be given corresponding penalties with reference to the provisions of these Regulations.

**SUSTECH – KING'S SCHOOL OF MEDICINE (JOINT EDUCATION INSTITUTE)**

**REGULATIONS, POLICIES AND PROCEDURES**

**ACADEMIC MISCONDUCT POLICY**

## 1. PURPOSE AND SCOPE

1.1 This Policy sets out the JEI's expectations for student behaviour in respect of academic honesty and integrity.

1.2 This Policy applies to all students who are formally registered at the SUSTech - King's School of Medicine (hereafter referred to as the JEI).

1.3 This Policy is jointly approved by both SUSTech and King's taking into consideration any local and national requirements. This Policy will take precedence over the existing SUSTech and King's policies for academic misconduct for those students formally registered on a programme of study at the SUSTech-King's JEI.

1.4 This Policy should be read alongside the JEI Academic Misconduct Procedures.

1.5 The JEI Teaching Affairs Office is responsible for the interpretation of this Policy.

## 2. KEY PRINCIPLES

2.1 Students at the JEI are part of an academic community that values trust, fairness and respect and actively encourages students to act with honesty and integrity. Each member of the JEI community is responsible for ensuring academic integrity is upheld. Members of the JEI community take responsibility for fostering a culture of openness, transparency, trust and recognition of the contributions of others in the conduct of teaching and assessment. Academic honesty also involves a duty of candour when someone is aware of issues that impact the integrity of teaching and assessment.

2.2 Academic misconduct is the adoption of working methods that are outside the spirit of the JEI regulations and the values of academic integrity. Any actions which interfere with the integrity and rigour of assessment undermine the JEI's, SUSTech's and King's reputation and educational standards.

## 3. RESPONSIBILITIES

***Responsibilities of students***

3.1 Students should:

(1) Take responsibility for their own learning, including familiarising themselves with the academic conventions and requirements of their programme.

(2) Take responsibility for their own academic work and ensure they comply with assessment requirements and this Policy.

(3) Ensure that their academic work is expressed in their own words and incorporates their own ideas and judgements.

(4) Proactively make use of the resources and support provided by the JEI before submission of any summative assignment.

(5) Make a declaration with each assessment that the assignment submitted is their own work.

3.2 Support is available for students who find themselves facing hardship or challenging circumstances which impact their studies and the JEI Regulations for Mitigating Circumstances are available to students where such circumstances impact their ability to complete and assessment. Students are encouraged to use the variety of resources and services available to them and are expected to engage with this support to ensure that any assessment they submit adheres to the values of academic honesty and integrity.

***Responsibilities of staff***

3.3 Staff should:

(1) Ensure that students have appropriate guidance and opportunities to familiarise themselves with this Policy and associated guidance.

(2) Familiarise students with the academic conventions required for their programme and the expectations of the academic community.

(3) Provide students with access to help on plagiarism and academic integrity.

(4) Ensure that any concerns regarding academic integrity are considered in line with the JEI Academic Misconduct Procedures.

## 4. TYPES OF ACADEMIC MISCONDUCT

4.1 The following is a non-exhaustive list of the types of academic misconduct which will be considered under this Policy and the JEI Academic Misconduct Procedures:

- plagiarism
- self-plagiarism
- collusion
- contract cheating
- third-party involvement
- fabrication
- text manipulation
- examination misconduct

4.2 Definitions of different types of academic misconduct and related terminology can be found in Appendix 1.

4.3 Under contract cheating, the following will also be considered under this policy as types of academic misconduct, even where the individual's own assessments are not impacted:

- **Provision of contract cheating services**: providing, or arranging for another person to provide, contract cheating services for financial gain to students.
- **Promotion of contract cheating services**: arranging an advertisement that offers to provide a cheating service. This includes an advertisement that describes a person/service as being available or competent to provide a cheating service, or to arrange for another person to provide a cheating service.

4.4 The JEI understands that sometimes students make mistakes, and is committed to supporting all students, even where academic misconduct may have occurred. The JEI takes honesty and contrition into account when considering any action under this policy.

4.5 If a student is subject to coercive behaviour or threats to make malicious academic integrity reports by a third party, they are encouraged to speak to staff and seek support.

## 5. PROOF-READING, WRITING SERVICES, SOFTWARE AND TECHNOLOGY

5.1 The JEI does not offer a proof-reading service to its students, nor does it recommend the use of any proof-reading services. Proof-reading is the final stage of producing a piece of written work and therefore students should carry out their own proof-reading. The work submitted by a students must be their own work and any use of a third-party proof reading or editing service must not compromise the authorship of the work submitted.

5.2 The JEI accepts that there is an increasing integration of artificial intelligence into everyday word processing software and a range of tools are externally available. However, the use of generative AI tools to produce output which is then copied as part of a submission is not appropriate. Prudent, ethical and constructive use of tools is increasingly likely to form part of the production of assessed work. Students should see university guidance on how to do this via the JEI website. Any use of writing technologies must adhere to the same principles as third-party services. This means that any work submitted must represent a genuine demonstration of the student’s own work, skills and subject knowledge, adheres to the guidelines of the assessment task, and respects the JEI’s value of academic integrity and honesty.

5.3 Where a JEI student chooses to ask another individual to proof read their work, engages a private tutor to assist with assessments, or uses writing technologies, this should be limited to learning activities which do not form part of the final stages of assessments submitted for credit, or highlighting errors in spelling, punctuation or grammar. The service should not assist with substantive content creation or structuring of the assessment. Above all, third parties cannot make substantive changes which compromise the authorship of the text (for example, translating whole sections of text, rather than individual phrases), revise calculations, formulae, equations, or code, alter charts, figures or diagrams, correct information or references, or involve any tutoring.

5.4 Students should consult the JEI Teaching Affairs Office with respect to the use of proof-readers for particular programmes and modules and ensure that they adhere to the relevant rules.

5.5 Additional assistance provided by a third party may be considered under this Policy and the JEI Academic Misconduct Procedures as a form of academic misconduct if it provides an unfair advantage or casts doubt on the intellectual ownership of the content from the submitting student. For the avoidance of doubt, generative Artificial Intelligence writing programmes are third-party technologies and must only be used in accordance with

guidance. The following definitions should be adhered to:

(1) **Third party-involvement**: when a student receives unauthorized assistance from a third party which results in the submission of an individual assessment which the JEI cannot be satisfied wholly represents the student's own work or understanding. As opposed to assistance for learning which has been explicitly authorised by the JEI, for example through a Personalised Assessment Arrangement, third party involvement is considered misconduct when it involves presenting someone else's ideas as one's own or calls into question the integrity of the assessment.

(2) **Third party-production**: when work submitted is substantively the product of a third party. Examples include, but are not limited to, when a substantial part/all of an assessment is produced or translated by another person, or extensive changes to the content of an assessment are made by another individual. It does not necessarily involve payment for the services of the third party, but this may be considered an aggravating factor.

5.6 Failure to adhere to these principles will result in an investigation under the JEI Academic Misconduct Procedures and appropriate penalties will be applied.

***File sharing and social media etiquette***

5.7 The JEI provides resources and materials to students for the purposes of their own learning and assessment. Course and module materials, such as lecture notes and reading lists, often contain copyright material. The unauthorized distribution of these materials, such as uploading to file sharing sites or sending to external tutors, is not permitted and may be considered as misconduct under the JEI Regulations for Student Conduct.

5.8 Sharing assessment and examination materials outside of the assessment task is also against examination rules and therefore may be considered academic misconduct. Students should carefully consider any distribution, publication or communication related to assessment tasks or materials, including but not limited to social media, file sharing platforms, and communications both with other students or external parties.

## APPENDIX 1: DEFINITIONS OF ACADEMIC MISCONDUCT

### 1. PLAGIARISM

1.1 Plagiarism is defined as presenting another person's thoughts, words, results, judgements, ideas, images and presenting them as one's own.

1.2 Examples of plagiarism include, but are not limited to:

(1) **Copying**: a student should not copy someone else's work or thoughts and pass this off as their own even if they have their permission. This includes using images and audio-visual presentations without acknowledgement.

(2) **Incorrect referencing**: a student should not insert the writing or thoughts of others into their written work without the correct referencing.

(3) **Copying and pasting**: a student should not copy text verbatim or closely paraphrase a source text and pass this off as their own without using quotation marks and citing the original source.

(4) **Paraphrasing**: a student should avoid closely paraphrasing someone else's work, for example by changing the order of the words slightly and should always acknowledge the source using the appropriate citation conventions; these vary according to discipline.

### 2. SELF-PLAGIARISM

2.1 Self-plagiarism is submitting material for academic credit which has been submitted, previously or simultaneously, for academic credit from King's, SUSTech or any other awarding body, or work produced by the student for other purposes, for example published articles. Previously submitted work may be included as long as permission to do so has been granted and where such work is properly referenced so that it is clear it has previously been submitted, or where resubmission of previously failed work has expressly been permitted.

2.2 Examples of self-plagiarism include, but are not limited to:

- essays containing work undertaken at a previous institution, including school
- work reproduced from work undertaken by the student for other purposes, for example published articles or other material in the public domain

### 3. COLLUSION

3.1 Collusion is when students collaborate, without permission, to produce individual assessments that, when compared, significantly overlap in content, structure and/or format. As opposed to collaborative learning, collusion is considered misconduct when it involves presenting someone else's ideas as one's own or calls into question the integrity of the individual assessment. A student using another's work in an individual assessment task also constitutes collusion because it calls into question the integrity of the assessment.

3.2 Examples of collusion include, but are not limited to:

- unauthorized collaboration between students to produce the same or substantially similar pieces of work which they then each claim as their own
- one student submitting another student's work, in part or as a whole, as their own.
- a student allowing another student to have sight of a piece of assessed coursework before they have submitted that work themselves

## 4. CONTRACT CHEATING

4.1 Contract cheating involves purchasing or commissioning an assessment from a professional service.

## 5. THIRD-PARTY INVOLVEMENT

5.1 Third-party involvement is any additional assistance provided by a third party, including Artificial Intelligence writing programmes. Third-party involvement is defined as when a student receives unauthorized assistance from a third party which results in the submission of an individual assessment which the JEI cannot be satisfied wholly represents the student's own work or understanding.

5.2 As opposed to assistance for learning, which has been explicitly authorised by the JEI, for example through a Personalised Assessment Arrangement, third-party involvement is considered misconduct when it involves presenting someone else's ideas as one's own or calls into question the integrity of the assessment. Third-party production is defined as when work submitted is substantively the product of a third party. It does not necessarily involve payment for the services of the third party, but this may be considered an aggravating factor.

5.3 Examples of third-party involvement include, but are not limited to:

- when a substantial part/all of an assessment is produced or translated by another person
- extensive changes to the content of an assessment are made by another individual.

## 6. FABRICATION

6.1 Fabrication is when unjustifiable claims are made.

6.2 Examples of fabrication include, but are not limited to:

- claims to have obtained certain results in research or experimental work
- the inclusion of references which do not support the statements referred to
- the submission of falsified medical evidence to gain undue advantage in an assessment

## 7. TEXT MANIPULATION

7.1 Text manipulation is techniques or technologies used in a way that undermines the integrity of an assessment, or otherwise fails to adhere to the values of academic integrity. Text manipulation is considered misconduct when it provides undue advantage or interferes with assessment of the student's own understanding.

7.2 Examples of text manipulation include, but are not limited to:

- the unauthorised or unacknowledged use of tools such as paraphrasing software, machine translation or artificial intelligence, and

- deliberate attempts to disguise poor practice such as inserting hidden text or images to avoid text-matching software

## 8. EXAMINATION MISCONDUCT

8.1 Examination misconduct occurs during a time-constrained assessment, whether computer-based or conducted in person.

8.2 JEI Students must comply with the rules set out in the documentation provided by the SUSTech/JEI that sets out the requirements for examination protocols and behaviour in the examination room.

8.3 Examples of examination misconduct include, but are not limited to:

(1) Taking an assessment for another student or asking another student to take an assessment for themselves.

(2) Taking unauthorised material into an examination.

(3) Using unauthorised aids, for example a calculator or a phone, during an examination when not expressly permitted.

(4) Failure to comply with the instructions on an examination paper.

(5) Failure to comply with the instructions of an invigilator.

(6) Copying someone else's work during an examination.

(7) Colluding with another student or third party during an examination.

(8) Communicating with other students or third parties during an examination.

(9) Any other behaviour that impacts upon the order of the examination, causes disruption to other students and undermines the integrity of the assessment.

(10) Any other cheating behaviour as defined in the SUSTech Regulations on examination work and results management.

**SUSTECH – KING'S SCHOOL OF MEDICINE (JOINT EDUCATION INSTITUTE)**

**REGULATIONS, POLICIES AND PROCEDURES**

**ACADEMIC MISCONDUCT PROCEDURES**

## 1. PURPOSE AND SCOPE

1.1 These Procedures set out how the JEI will deal with allegations of academic misconduct and details the penalties that can be applied.

1.2 The JEI is committed to developing and encouraging high standards of academic practice amongst its staff and students. This involves safeguarding the integrity of its assessment and academic awards and ensuring any actions that interfere with this are dealt with appropriately.

1.3 This Policy applies to all students who are formally registered at the SUSTech - King's School of Medicine (hereafter referred to as the JEI).

1.4 This Policy is jointly approved by both SUSTech and King's taking into consideration any local and national requirements. This Policy will take precedence over the existing SUSTech and King's policies for academic misconduct for those students formally registered on a programme of study at the SUSTech-King's JEI.

1.5 This Policy should be read alongside the JEI Academic Misconduct Policy.

1.6 The JEI Teaching Affairs Office is responsible for the interpretation of this Policy.

## 2. KEY PRINCIPLES

2.1 Students at the JEI are part of an academic community that values trust, fairness and respect and actively encourages students to act with honesty and integrity. Each member of the JEI community is responsible for ensuring academic integrity is upheld. Members of the JEI community take responsibility for fostering a culture of openness, transparency, trust and recognition of the contributions of others in the conduct of teaching and assessment. Academic honesty also involves a duty of candour when someone is aware of issues that impact the integrity of teaching and assessment.

2.2 Academic misconduct is the adoption of working methods that are outside the spirit of the JEI regulations and the values of academic integrity. Any actions which interfere with the integrity and rigour of assessment undermine the JEI's, SUSTech's and King's reputation and educational standards.

2.3 The JEI has a responsibility to investigate all instances of potential academic misconduct. All cases will be considered with consistency and fairness and will be investigated in line with these Procedures. All cases will be considered on the balance of probabilities.

2.4 There may be instances where a student states that the behaviour giving rise to an academic misconduct concern is related to a long-term medical/mental health condition or disability. In such a case, the JEI may consider whether to proceed with academic misconduct procedures or refer the student to the JEI Policy and Procedures for Support for Study.

2.5 It is expected that all parties involved in an academic misconduct investigation will act reasonably and fairly and treat the process in a respectful manner. If inappropriate behaviour is displayed, further action may be taken under the JEI Regulations for Student Conduct.

***Investigating a case of academic misconduct***

2.6 In reaching a decision about whether or not any form of academic misconduct has occurred, the following factors should be taken into consideration:

- all available evidence, considered on the balance of probabilities
- the type and nature of the assessment task
- compelling evidence that the conduct arose from a lack of understanding, which may take into account the level of study or experience, but does not include an obvious lack of effort or engagement

***Considering the outcome of academic misconduct***

2.7 Where academic misconduct is deemed to have occurred, the following factors should subsequently be taken into account when considering the most appropriate outcome/penalty to be applied:

- if the student has demonstrated genuine reflection on their actions and/or contrition
- if the student has engaged in the process with honesty
- the severity of extent of any misconduct
- any personal, compassionate or mitigating circumstances
- principles of proportionality and fairness

## 3. ACADEMIC MISCONDUCT AND PROGRESSION

3.1 No mark should be assigned to an assessment that is being considered under these Procedures until the matter has been resolved and proceedings have concluded.

3.2 Marks withheld will not contribute to credit obtained for the purposes of progression. Any decision regarding a student's progression to the next stage of their studies will be based on whether they have obtained sufficient credit in modules unaffected by the academic integrity concerns to meet the relevant programme requirements.

3.3 A student's final award will be withheld whilst any action is being taken under th ese Procedures. This restriction will be lifted upon completion of the action.

## 4. IDENTIFYING ACADEMIC INTEGRITY CONCERNS

4.1 Concerns around academic integrity can arise in a variety of ways. All concerns will be investigated in accordance with these Procedures.

4.2 A judgement about marks awarded, the significance of certain contributions to an overall piece of work, degree classification, research methodology, whether feedback is correct or adequate, and the content or outcomes of a course will normally involve academic judgment.

4.3 Staff may use the electronic software "TurnitinUK" or other means, either in the UK or China, to assist them in the process of detecting academic misconduct. Any material presented for assessment may be submitted to an academic misconduct detection service for text analysis and the findings considered as part of an investigation under these Procedures. Submitted work will be stored in a database (along with the student's name, email address, programme/module details and institution) and will form part of the body of student work against which future submissions from King's, SUSTech and other institutions will be compared.

4.4 Where a third party or member of the JEI community has concerns about the academic integrity of a student, they may report this to the relevant JEI Assessment Sub-Board Chair. The Chair will then make a decision as to whether the case should be referred to the JEI Teaching Affairs Office to be documented. Action is not normally taken on anonymous complaints, and to ensure procedural fairness, students will have a right to know the evidence on which their case is based. However, where an Assessment Sub-Board Chair considers there is suitable reason to do so, a student may be invited to attend an Academic Integrity Meeting as outlined in Stage One of these Procedures to discuss the concerns. Where there is compelling evidence available from reliable sources, the Assessment Sub-Board Chair may consider appropriate action under these Procedures.

## 5. INVESTIGATING ACADEMIC INTEGRITY CONCERNS

5.1 It is not necessary to prove intention to commit academic misconduct and all cases will be considered in line with these Procedures, regardless of whether the misconduct was intentional. However, proven intent to commit academic misconduct is likely to be considered an aggravating factor when considering potential outcomes/penalties.

5.2 The relevant JEI Assessment Sub-Board Chair, or their nominee, should be notified of any academic integrity concern identified. In consultation with module and/or programme leads, the Chair, or their nominee, will consider the information available about the concern, such as:

- the student's submission
- instruction, guidance or requirements for the assessment task
- a similarity or authorship report produced by TurnitinUK or other relevant software
- search engine results linked to the submission content
- original source material identified
- academic judgement of relevant markers/module leads
- any statement or evidence provided by the student
- notes of any relevant meeting or discussion, and/or any relevant email correspondence
- evidence from any other relevant parties where relevant
- any history of academic misconduct by the student

The JEI Assessment Sub-Board Chair may also request access to assignments that have been submitted by the student within the same academic year.

5.3 Once the Chair, or their nominee, has reviewed the information available, they may decide that the concern relates to poor academic practice and that no academic misconduct has occurred. Poor academic practice involves an unintentional misunderstanding of scholarly practice. Examples include when sources are acknowledged to some extent, but citation is inadequate or incomplete. It does not include instances when the failure to adhere to scholarly practice is blatant, extensive or results from a lack of effort. Poor academic practice is not a form of academic misconduct. For a case of poor academic practice, the student will be provided with feedback, and the work will be marked in line with the assessment criteria. The student should be signposted to academic support resources.

5.4 Where the JEI Assessment Sub-Board Chair, or their nominee, is satisfied that there is sufficient reason to believe that the concern may involve academic misconduct, the student will normally be invited to a Stage One Academic Integrity Meeting (AIM). The Chair may escalate any case directly to Stage Two: JEI Academic Misconduct Committee (see paragraph 8.1 below) but second cases of suspected academic misconduct should always be referred to Stage Two following a local investigation. A second case does not need to be the same type of academic misconduct as a first instance in order to be considered as such. For example, if a student has had a first case of plagiarism and the second case is collusion, the collusion counts as a second case and vice versa.

5.5 Proceedings under Stages One to Three below are not invalidated or postponed due to the absence of the student, provided that the student has been given timely written notice of the AIM/Committee and provided that those conducting the AIM/Committee believe that all the evidence and representations are before it. In the event that a student has indicated that they will attend but then cannot do so for good reason an adjournment may be considered.

## 6. STAGE ONE: ACADEMIC INTEGRITY MEETING

6.1 The student will be invited to attend the Academic Integrity Meeting (AIM), which will normally be with any two of the following staff members: module leader, programme leader, or deputy, JEI Assessment Sub-Board Chair, or nominee, or personal tutor. The meeting is not a hearing, and the meeting should be informal, supportive and exploratory.

6.2 The student may be accompanied at the meeting by another JEI member, including a member of the SUSTech Students' Union, or by a friend. Any accompanying member is usually permitted to advise and assist but not represent, other than the SU, and therefore would not normally be permitted to speak to the case on behalf of the student. A legal representative is not permitted at the AIM. If a student wishes to have a legal representative, they can decline to attend the AIM and the Assessment Sub-Board Chair should refer the matter to the JEI Teaching Affairs Office for consideration by a JEI Academic Misconduct Committee. The Chair of the Committee will then decide whether it is appropriate for a legal representative to attend and if so in what capacity, for example to provide support.

6.3 The student is permitted a sign language communicator or interpreter as a reasonable adjustment. AIMs are not normally recorded, but a recording or a transcript may be made a reasonable adjustment where requested and agreed. In these circumstances the recording or transcript should only be made by staff members and provided to the student.

6.4 The purpose of the AIM is to discuss the student's assessment. The following topics should be explored in the AIM:

- how the student prepared the assessment task
- providing feedback on the academic integrity concerns identified
- any other circumstances impacting the student's submission which they may wish to raise.

Staff members should discuss the concerns with the student and the student should be given an opportunity to input and discuss.

6.5 Where the academic integrity concerns involve concerns of third-party involvement or doubts about the authorship of the submission, it is appropriate to ask the student to explain their answers, ideas, concepts or references. This may inform an academic judgement about whether the submission represents a genuine reflection of the student's own understanding and abilities.

6.6 The student should not be under any pressure or obliged to provide specific responses. If a student declines to engage with the AIM, they will have the opportunity to provide a written response. The Chair will reach an outcome on the basis of the information available, even if the student declines to provide any further response.

6.7 Staff should keep notes of the discussion and share these with the student, along with any other relevant materials discussed, for example the items listed in paragraph 5.2 above. The student may provide any other relevant information after the meeting and should normally do this within 5 working days. Following the AIM, staff should reflect on all of the information available and make a recommendation to, or consult with, the JEI Assessment Sub-Board Chair, or their nominee. If there are concerns of a serious nature, the Chair, or their nominee, may also consult the JEI Teaching Affairs Office for advice.

6.8 Staff members should provide the student with information about support available, including academic skills and/or pastoral support.

***Outcomes and penalties***

6.9 Following the receipt of any further relevant information from the student, the JEI Assessment Sub-Board Chair, or their nominee, will determine the outcome of the Stage One AIM within five working days, and will reach one of the following decisions:

**Outcome 1**: There is no cause for concern regarding the student's submission. No further action will be taken, and the work will be marked as usual. The JEI will keep a record of the AIM occurring, noting that no misconduct was found.

**Outcome 2**: That no academic misconduct has occurred, and the concerns relate to poor academic practice. The student will be provided with feedback, and the work will be marked in line with the assessment criteria. The JEI will keep a record of the AIM occurring, noting that no misconduct was found.

**Outcome 3**: Academic misconduct has occurred and an outcome should be applied. The list of available outcomes/penalties can be found in paragraph 6.12 below. The outcome will be sent to the student in writing, giving reasons for the decision.

**Outcome 4**: That the matter should be referred to Stage Two. Cases which warrant referral to Stage Two include:

- All second instances of academic misconduct. A second instance does not need to be the same type of academic misconduct as a first instance in order to be considered as such. For example, if a student has had a first case of plagiarism and the second case is collusion, the collusion counts as a second case and vice versa
- Any case where the Chair of the Assessment Sub-Board considers that a more serious penalty than those listed in paragraphs 6.12 is required

- Any case where the JEI Assessment Sub-Board Chair considers there are aggravating factors which warrant consideration of a more serious penalty than those listed in paragraphs 6.12
- Any other case where the Chair considers it necessary or appropriate for the case to be considered under Stage Two.

6.10 The outcome should be recorded by the JEI, including a summary of what was discussed in the AIM, all relevant evidence considered, and reasons for the outcome determined.

6.11 If a student does not attend the initial meeting, they should be offered one further opportunity to attend. Should the student not attend either meeting, the JEI Assessment Sub-Board Chair can decide whether academic misconduct has taken place and issue the outcomes/penalties listed below.

6.12 The following outcomes/penalties can be given:

(1) Those parts of the student's work that are unaffected by the concern to be marked.

(2) Referral to support services or activities which may include referral to the JEI Policy and Procedures for Support for Study.

(3) The requirement that the student undertake a specified formative task or training.

(4) The requirement that the student resubmit an amended version of the assessment. This will not count as an additional attempt but the mark for the resubmission will be capped at the pass mark.

(5) Those parts of the student's work that are unaffected by the concern to be marked and the assessment result capped at the pass mark.

(6) The assignment of the pass mark to the assessment.

(7) The cancellation of the results in an assessment/s and a mark of zero returned.

***Contestation***

6.13 A student cannot contest Outcomes 1 or 2, in paragraph 6.9 above as no academic misconduct has been found and no penalty applied. A student cannot contest Outcome 4, as this does not constitute the final outcome with regards to whether any misconduct has occurred.

6.14 In the case of Outcome 3, where academic misconduct has been found and a penalty applied by the JEI Assessment Sub-Board Chair, the student may contest this outcome. The contestation should be sent to JEI Teaching Affairs Office in writing within 10 working days from the date of written notification of the Stage One outcome. The contestation should outline the reasons that the case warrants further review. Suitable reasons for further review include, but are not limited to:

- that there is new evidence or information of sufficient significance that the case warrants further review
- that a significant procedural or administrative error occurred during the Stage One consideration and the case warrants further review
- the Stage One outcome cannot reasonably be sustained by relevant guidance on assessment, academic integrity or penalties.

6.15 The JEI Teaching Office will consider the contestation and the outcome will normally be communicated to the student in writing within 15 working days. Where the Office is satisfied that the grounds listed above have been met and so the case warrants further review, the matter will be referred to Stage Two.

## 7. SUSPECTED ACADEMIC MISCONDUCT DURING SUMMATIVE EXAMINATIONS

7.1 The invigilator/proctor in the examination room will give an on-the-spot warning if any of the following actions occur and will submit a report with relevant documentation to the SUSTech Teaching Affairs Office for review and issue of the relevant penalty; warning or serious warning according to the seriousness of the circumstances for breach of the SUSTech examination regulations:

(11) Bringing any examination materials, assistive devices, communication tools or other items into the examination venue without permission, but without using such devices.

(12) Attempting to look at the examination paper before the examination has started.

(13) Failure to comply with the instructions on an examination paper.

(14) Failure to comply with the instructions of an invigilator.

(15) Remaining in the examination venue and/or making noise near the examination venue room after handing in the examination paper and refusing to correct themself after being given an on-the-spot warning.

(16) Committing any other behaviour that impacts upon the order of the examination and causes disruption to other students.

7.2 The student can contest the above allegations and penalty within five working days of receiving the penalty in which case the JEI Teaching Affairs Office will refer the matter to the JEI Academic Misconduct Committee.

7.3 A student who commits any of the following actions during a summative examination will be dealt with under Stage Two of these Procedures, referral to the JEI Academic Misconduct Committee:

(1) Taking the examination for others or asking others to take the examination for themselves.

(2) Taking unauthorised material into an examination.

(3) Using unauthorised aids, for example a calculator or a phone, during an examination when not expressly permitted.

(4) Copying the examination paper.

(5) Stealing, deliberately concealing, destroying or throwing away the examination paper or the answer sheet

(6) Exchanging examination related information outside the examination venue.

(7) Copying someone else’s work during an examination

(8) Colluding with another student or third party during an examination.

(9) Communicating with other students or third parties during an examination.

(10) Passing answers to others or collaborating with others to pass the examination or facilitating opportunities for others to cheat.

(11) Any other behaviour that impacts upon the order of the examination, causes disruption to other students and undermines the integrity of the assessment.

(12) Any other behaviour that involves acting in a dishonest way to gain an unfair advantage compared to other students.

(13) Any other behaviour as defined in the SUSTech Regulations on examination work and results management.

7.4 Those who are not found cheating during the summative examination but evidence of suspected cheating comes to light afterwards shall be referred to the JEI Academic Misconduct Committee and, if appropriate, given outcomes/penalties according to the relevant provisions of these Procedures. Those who, after receiving a penalty for breaching the examination rules, cheat or breach the examination rules again within the duration of this penalty, shall be given a heavier penalty.

## 8. STAGE TWO: JEI ACADEMIC MISCONDUCT COMMITTEE

8.1 A suspected case of academic misconduct may be referred to a JEI Academic Misconduct Committee for the following reasons:

(1) It is the recommendation of the JEI Assessment Sub-Board Chair following Stage One, for example, if an outcome could not be determined locally, if the case is deemed serious or complex enough to be referred, or if the penalty required is more serious than those listed in paragraph 6.12 above.

(2) If the student contests the decision at Stage One.

(3) If it is a second case of academic misconduct.

8.2 The Chair, or their nominee, will provide the JEI Academic Misconduct Committee organiser with all documentation considered at Stage One, including the notes from the AIM and any other representations or information presented by the student.

8.3 The Committee organiser will review the information provided and determine whether the case requires a full hearing by a JEI Academic Misconduct Committee. A full hearing may not be required where the facts are not contested by the student and they acknowledge the mistake. If the Committee organiser considers that a full hearing may not be required, they will write to the student to inform them about the procedure and provide them with the opportunity to request a full hearing if they prefer. The student will also be provided with a copy of all of the documentation to be considered in their case. They will have 5 working days to provide any further evidence or information. The case will then be considered in writing by the JEI Academic Misconduct Committee Chair only, with procedural advice from the Committee organiser. The Chair may issue an outcome and actions within 10 working days. In any case where the Chair considers that the appropriate outcome calls into question the student's registration (that is, the outcome should include suspension or expulsion) they should refer the case to a full hearing.

8.4 Written notice of the Academic Misconduct Committee date, including the names of the Committee members, the witnesses, together with all documentary evidence, will normally be sent to the student at least 10 working days before the Committee date.

8.5 The student may present documentary material or witnesses in their defence or mitigation. Documentary evidence for consideration by the Academic Misconduct Committee, and/or the names of any additional witnesses and written copies of their evidence, must be sent to the Committee organiser at least five working days in advance of the Committee, who will ensure this evidence is sent to the Committee. Documentary evidence and/or witnesses received after this deadline will only be accepted at the discretion of the Chair of the Committee.

8.6 The Chair has the discretion to adjourn the Committee where the above time frames have not been met. The Chair will determine whether additional witnesses should be invited to attend the Academic Misconduct Committee, or where written evidence shall suffice. Where a witness is required to attend the Committee, it is the student's responsibility to invite any of the witnesses they wish to attend, to ensure that witnesses can attend. Committee documentation may only be shared with witnesses with prior written approval from the Chair. The Committee will not normally be adjourned due to the unavailability of a witness, and any decision to adjourn is the sole discretion of the Chair.

8.7 A student facing a charge of academic misconduct may be represented at any point in the proceedings by another JEI member or by a member of the SUSTech Students' Union.

8.8 If a student wishes to be represented by an individual not listed above, including legal representation, they should make representations to the Chair of the JEI Academic Misconduct Committee. The Chair has the absolute discretion to accept or reject an application for alternative representation, including if they are permitted to attend, the capacity in which they may attend, for example to provide support. The Chair's decision will be final.

8.9 If a student is to be represented or accompanied, the name of the person who is to attend must be received in writing by the JEI Academic Misconduct Committee organiser at least 48 hours in advance of the Committee. The Chair of the Committee has the discretion to refuse to permit a representative or friend or family member to attend where prior notice has not been given with reasonable cause. Committee documentation may be shared with approved representatives.

8.10 The student facing the charge will have the right to be present during the Committee except if the Committee requires private discussions where only the Committee and the Clerk will be present.

8.11 The Chair of the JEI Assessment Sub-Board or other relevant JEI member depending on the circumstances, will present the charge and evidence gathered to the Committee. The student facing the charge, or their representative, will be invited to reply. Either party may call witnesses to the fact, in accordance with the timeframes and provisions set out above. The Committee may ask questions of all those called before it, and the Chair of the Assessment Sub-Board or other JEI member and the student may raise questions through the Chair. At the conclusion of the presentations and questions, the student facing the allegation may address the Committee and make a statement.

8.12 The Committee will deliberate in private and will normally reach a decision and outcome without adjournment. At any time during the proceedings, the Chair may adjourn the Committee for the purpose of reaching a decision, outcome, or for other good cause. The

Committee will ensure that any adjournment does not unreasonably delay the academic misconduct proceedings.

8.13 A decision of the Committee will be reached by a majority vote of the members of the Committee present at the Committee but will be announced as a decision of the Committee. The votes of the individual Committee members will be treated as confidential. In the event of a tie, the Chair will have the casting vote.

***Outcomes and penalties***

8.14 The outcome of the JEI Academic Misconduct Committee is either:

- that a charge of academic misconduct is not established; this decision will be communicated to all persons involved in the case, normally within five working days of the date of the Committee
- that a charge of academic misconduct has been substantiated on the balance of probabilities, the Committee may decide one or more of the outcomes/penalties listed in 8.15 below

8.15 The following outcomes/penalties can be given.

(1) Those parts of the student's work that are unaffected by the concern to be marked.

(2) Referral to support services or activities which may include referral to the JEI Policy and Procedures for Support for Study.

(3) The requirement that the student undertake a specified formative task or training.

(4) The requirement that the student resubmit an amended version of the assessment. This will not count as an additional attempt but the mark for the resubmission will be capped at the pass mark.

(5) Those parts of the student's work that are unaffected by the concern to be marked and the assessment result capped at the pass mark.

(6) The assignment of the pass mark to the assessment.

(7) The cancellation of the results in an assessment/s and a mark of zero returned.

(8) The cancellation of the results in an assessment/s and a mark of zero returned and any mark resulting from a resit capped at the pass mark.

(9) The cancellation of the results in an assessment/s and a mark of zero returned. The final module mark following reassessment is capped at the pass mark.

(10) The cancellation of the results in an assessment/s and a mark of zero returned and the student not permitted to resit but permitted to take an alternative module (but with only one attempt at the assessment permitted, which will be capped at the pass mark

(11) The student is not permitted to resubmit the assessment.

(12) Cancellation of all assessments undertaken within a specified period of time, to be no greater than one year. The student will be permitted to reattempt the modules (with or without teaching). The final module mark following reassessment is capped at the pass mark.

(13) A non-contact order regarding one or more members of the JEI, SUSTech, King's community.

(14) The student's right to be considered for a King's exit award withdrawn.

(15) A warning/academic warning or serious warning/serious academic warning.

(16) A demerit recording.

(17) Conditions for the continuation of student status, such as academic probation.

(18) Expulsion (with or without credit retained).

(19) A recommendation to the degree awarding bodies of SUSTech and King's that the student's award be revoked.

8.16 The JEI Academic Misconduct Committee may decide that the outcome be imposed immediately or be deferred (in exceptional circumstances). The conditions of any deferment will be clearly stated as part of the decision of the Committee.

8.17 The JEI Academic Misconduct Committee will have the discretion to indicate a point in the future, and the conditions under which, a substantiated allegation of misconduct may be considered spent.

8.18 The decision of the Committee and penalty imposed will normally be sent to the student, the Chairs of the relevant Assessment Sub-Board and the JEI Assessment Board within five working days of the date of the decision of the Committee. A copy of the decision and penalty will be placed on the student's file. The student will be advised that the case may be taken into consideration in the event of a future substantiated offence.

8.19 For penalties (15) – (19) above, which are in the category of SUSTech disciplinary penalties. the JEI Student Affairs Office will submit the recommended penalties of Stage Two to the SUSTech Student Affairs Office for further review and execution following the procedures regulated by the SUSTech Student Conduct Policy.

## 9. STAGE THREE: APPEAL

9.1 A student may appeal the decision of the JEI Academic Misconduct Committee on either or both of the following grounds:

- that there is new evidence that could not have been, or for good reason, was not made available at the time of the Committee and the case warrants further consideration
- that evidence can be produced of significant procedural error on the part of the JEI before or during the Committee and the case warrants further consideration

9.2 The JEI Executive Dean will have discretion to take into account grounds, including grounds of compassion, other than those stated above in deciding whether to allow an appeal to be heard.

9.3 A student should submit the relevant form to request a hearing by the SUSTech Student Appeal Handling Committee within 14 days of the date of the JEI Academic Misconduct Committee outcome. Forms received after this deadline will only be accepted at the discretion of the JEI Executive Dean. The Executive Dean will normally advise the student of their decision on the appeal within 30 working days of receipt. If the appeal is to be heard

the case will be referred to the Student Appeal Handling Committee. If the appeal is rejected, reasons will be given.

***Outcomes***

9.4 The decision of the Student Appeal Handling Committee will normally be sent to the student, the Chairs of the relevant Assessment Sub-Board and the JEI Assessment Board and the JEI Executive Dean within five working days of the date of the decision of the Committee. A copy of the decision and penalty will be placed on the student's file.

9.5 The Student Appeal Handling Committee may uphold or reject the appeal. Where the appeal is upheld, the Committee may order one or more of the following measures:

- modify or reverse the findings of the JEI Academic Misconduct Committee
- modify or reverse the penalty of the JEI Academic Misconduct Committee

9.6 Where the Student Appeal Handling Committee rejects the appeal the findings and penalties of the JEI Misconduct Committee will stand.

9.7 A decision of the Student Appeal Handling Committee will be final.

**SUSTECH – KING'S SCHOOL OF MEDICINE (JOINT EDUCATION INSTITUTE)**

**REGULATIONS, POLICIES AND PROCEDURES**

**PROCEDURES FOR STUDENT COMPLAINTS**

## 1. PURPOSE AND SCOPE

1.1 These Procedures set out the JEI's procedures for student complaints. A complaint is defined as an expression of dissatisfaction that warrants a response and these Procedures set out how this will happen.

1.2 These Procedures apply to all students who are formally registered at the SUSTech - King's School of Medicine (hereafter referred to as the JEI).

1.3 These Procedures are jointly approved by both SUSTech and King's taking into consideration any local and national requirements. These Procedures will take precedence over the existing SUSTech and King's regulations/procedures for student complaints for those students formally registered on a programme of study at the SUSTech-King's JEI.

1.4 The JEI Teaching Affairs Office is responsible for the interpretation of these Procedures.

1.5 These Procedures cover complaints about the following areas:

(1) Provision or delivery of JEI programmes or parts of programmes delivered within University premises.

(2) Inadequate services or facilities provided by the JEI.

(3) Decisions, actions or perceived lack of action taken by a member of JEI, SUSTech or King's staff.

(4) Decisions, actions or perceived lack of action taken by a central SUSTech or King's service.

(5) Discrimination, harassment or bullying.

1.6 The following areas are not covered by these Procedures:

(1) Complaints relating to modules on the JEI programme that are delivered by SUSTech departments outside the JEI and which are taken by JEI students alongside SUSTech students studying on non-JEI programmes.

(2) Complaints arising from matters relating to academic progression, assessment or examination and student conduct. Students should use the appeal procedures of the respective regulations: JEI Regulations for Academic Appeals and JEI Regulations for Student Conduct. Students cannot use the JEI Procedures for Student Complaints following an unsuccessful appeal under the regulations listed in this paragraph.

(3) Complaints against the SUSTech Student's Union should be made to the SUSTech Student Affairs Office. Complaints against King's College London Students' Union should be made to the KCLSU Complaints Procedure.

1.7 Complaints relating to the activities of another student (including, but not limited to, bullying, harassment and discrimination by another student) will be investigated as allegations of misconduct under the JEI Regulations for Student Conduct. Any further action under these Procedures will be paused pending the outcome under that regulation.

1.8 Complaints relating to the activities of a member of staff (including, but not limited to, bullying, harassment and discrimination by a member of staff) will be initially investigated under these Procedures. However, if there is evidence of behaviour which warrants investigation under staff disciplinary procedures, then any further action under these Procedures may be paused pending the outcome of that procedure.

1.9 In certain circumstances complaints may be investigated with due regard to other JEI, SUSTech or King's regulations and procedures. It if is determined that this would be appropriate, the student will be informed. If a complaint is referred for consideration under another procedure any further action under these Procedures will normally be paused pending the outcome of the other procedure.

1.10 Group complaints are permitted. If the matter is not resolved at the informal stage (see paragraphs 3.1 – 3.3 below), one student from the group should submit the complaint and communicate with the JEI on behalf of the group. The outcome of the complaint will apply to all members of the group.

1.11 The scope of these Procedures extends to former students of the JEI provided that any time limitations are observed.

## 2. KEY PRINCIPLES

2.1 The JEI is committed to considering and investigating genuine complaints from students in an objective and fair manner. Any student seeking to use these Procedures will not be treated less favourably for the remainder of their studies with the JEI as a result of action taken to pursue a complaint.

2.2 It is expected that the majority of cases can be resolved through discussions at the earliest opportunity without the need for a formal complaint to be made.

2.3 All parties involved in a complaint are expected to act reasonably and fairly and treat the process in a respectful manner. If inappropriate behaviour is displayed, action may be taken.

2.4 The JEI may pause or stop the consideration of any complaint submitted where the student is suspected to be in breach of the JEI Regulations for Student Conduct and where action should be taken under those regulations.

2.5 Where it is found that a student has raised a complaint in bad faith or used false information the JEI will consider taking disciplinary action under the JEI Regulations for Student Conduct.

2.6 The JEI will not consider anonymous complaints.

2.7 If a student makes a formal complaint, a record will not be held on their student file but will be kept securely by the JEI Student Affairs Office.

2.8 The JEI will do all in its power to limit disclosure of information as is consistent with conducting an investigation and in accordance with relevant institutional and national legislation.

***Rejection of a complaint***

2.9 A complaint may be rejected in the following circumstances:

(1) When a complaint is obsessive, harassing, prolific or repetitive.

(2) When a complainant is insistent on pursuing non-meritorious complaints and/or unrealistic, unreasonable outcomes.

(3) When a complainant is insistent on pursuing what may be meritorious complaints in an unreasonable manner.

(4) When a complaint is designed to cause disruption or annoyance.

(5) When a demand for redress lacks any serious purpose or value.

(6) When a complaint is submitted outside the normal timeframe, where an adequate reason for the delay has not been provided.

(7) When a complaint is considered to be without foundation or in bad faith.

2.10 If a complaint is rejected, the JEI Student Affairs Lead will write to the student to explain why it is terminating consideration of the matter. The student can challenge this decision but is not able to submit additional evidence.

2.11 Any challenge must be submitted to the JEI Student Affairs Lead within five working days of notification of the decision. The JEI Student Affairs Office will consider whether the decision to reject the complaint was made in accordance with these Procedures. If the challenge is accepted the complaint will be considered in the usual way under these Procedures.

## 3. STAGE ONE: LOCAL INFORMAL RESOLUTION

3.1 Complaints should in the first instance be raised informally with the relevant person/area. Where a complaint relates to the provision or delivery of a JEI programme or part of a programme students should normally use the programme representative system in the first instance ie Staff/Student Liaison Committees or contact the JEI Teaching Affairs Office. Where a complaint relates to services provided by the JEI, students should contact the JEI Student Affairs Office. Where a student has a complaint about a King's provided service or activity they should contact the JEI Student Affairs Office who will investigate with the relevant King's area. Where a complaint relates to a student's college and life on campus in general they should contact the SUSTech Student Affairs Office.

3.2 The relevant person in the offices listed above will listen to and discuss the nature of the complaint. They will not carry out a formal investigation, but they can advise on how the matter could be resolved and will normally keep informal notes.

3.3 If the complaint requires a more thorough investigation or is particularly complex, the relevant person may refer the student to Stage Two of these Procedures.

## 4. STAGE TWO: FORMAL INVESTIGATION

4.1 If a student is dissatisfied with the outcome of an informal resolution, they may submit a Stage Two complaint for a formal investigation to be undertaken.

4.2 A student should submit a Stage Two complaint form to the JEI Student Affairs Lead within three months of the incident being complained about or the last event in a series of incidents. Complaints received after this deadline will only be accepted at the discretion of the JEI Student Affairs Lead.

4.3 The JEI Student Affairs Lead will appoint an appropriate member of staff from within the JEI to investigate the alleged issues in the particular area being complained about.

4.4 If the JEI Student Affairs Lead considers that the issue being complained about is the responsibility of a department/area outside the JEI to resolve, they will pass the Stage Two complaint form to the respective department/area for action.

4.5 The JEI appointed investigator will investigate the circumstances of the complaint. This may involve interviewing the student making the complaint and others directly involved, as well as seeking opinion and information from anyone with an interest in, or knowledge of, the matter being complained about.

4.6 The investigator will consider the merits of the complaint and, if upheld in part or in full, will make proposals for the resolution of the complaint and may recommend further appropriate action.

4.7 The decision of the investigator will normally be communicated in writing to the student and the JEI Student Affairs Lead within 25 working days of receipt of the Stage Two complaint.

## 5. STAGE THREE: APPEAL

5.1 A student who is dissatisfied with the outcome of a Stage Two complaint may submit an appeal to the JEI Executive Dean, or nominee, on either or both of the following grounds:

- that there is new evidence that could not have been, or for good reasons was not, made available at the time of the investigation and that sufficient evidence remains that the complaint warrants further consideration;
- that evidence can be produced of significant procedural error on the part of the JEI, SUSTech or King's in investigating the complaint and that sufficient evidence remains that the complaint warrants further consideration.

5.2 The JEI Executive Dean or nominee has discretion to take into account grounds other than those stated above, including grounds of compassion, in deciding whether to allow an appeal to be heard.

5.3 A student should submit a Stage Three complaint form to the JEI Senior Administrator within ten working days of the Stage Two complaint outcome. Appeals received after this date will only be accepted at the discretion of the JEI Senior Administrator. The JEI Senior

Administrator will normally advise the student in writing of their decision on the appeal within 20 working days of receipt.

5.4 There are three possible outcomes from the JEI Senior Administrator's review:

- that the appeal should be dismissed;
- that an offer to resolve the complaint is made
- that the appeal should be heard by the SUSTech Student Appeal Handling Committee.

5.5 If the SUSTech Student Appeal Handling Committee is convened, they will determine whether there is sufficient reason to challenge the Stage Two complaint outcome. If there is sufficient reason, the Committee will consider the merits of the complaint and, if upheld in part or in full, will determine proposals for the resolution of the complaint and may recommend further appropriate action. If there is insufficient reason, the Stage Two complaint outcome will stand. The Student Appeal Handling Committee should normally be convened within a timescale that means there is no more than 42 days between submission of the Stage Three complaint form and communication of the Stage Three outcome to the student.

5.6 New evidence that has not already been submitted as part of the appeal will not normally be considered by the Student Appeal Handling Committee. Should either party wish to submit new evidence this must be done at least five working days before the date of the Committee. The Chair of the Student Appeal Handling Committee may accept or reject new evidence and their decision will be final.

5.7 The decision of the Student Appeal Handling Committee will normally be communicated in writing to the student, and other JEI officers as appropriate, within five working days of the decision of the Committee.

5.8 The decision of the Student Appeal Handling Committee is final. There is no further right of internal appeal.

**SUSTECH – KING'S SCHOOL OF MEDICINE (JOINT EDUCATION INSTITUTE)**

**REGULATIONS, POLICIES AND PROCEDURES**

**REGULATIONS FOR STUDENT REGISTRATION**

## 1. PURPOSE AND SCOPE

1.1 These Regulations are formulated in accordance with the *Education Law of the People's Republic of China*, the *Higher Education Law of the People' Republic of China*, and the *Provisions on the Administration of Students in Regular Institutions of Higher Education* issued by the Ministry of Education in China. They are also formulated in accordance with the relevant Academic Regulations of King's College London. These Regulations contribute to the purpose of maintaining effective educational administration, promoting students' holistic development, maintaining academic standards and achieving the educational mission of SUSTech and King's.

1.2 These Regulations set out the JEI's arrangements for the enrolment and registration of students, period of study, credit, module/course selection and academic progression, removal of a student from an external environment, insufficient academic engagement with the programme, assessment and reassessment, interruption and resumption of study, suspension of study, transfer of study, termination of registration and expulsions, completion of study and graduation.

1.3 These Regulations apply to all students who are formally registered at the SUSTech - King's School of Medicine (hereafter referred to as the JEI).

1.4 These Regulations are jointly approved by both SUSTech and King's taking into consideration any local and national requirements. These Regulations should be read in conjunction with existing SUSTech and King's regulations for student enrolment and registration, as noted in 3.1 below, for those students formally registered on a programme of study at the JEI. In the event of any inconsistency with the existing SUSTech and King's relevant regulations, the terms of these Regulations shall prevail.

1.5 The JEI is responsible for the interpretation of these Regulations.

## 2. KEY PRINCIPLES

2.1 Students accepted by the JEI must follow the enrolment processes at both SUSTech and at King's. JEI students will then be registered simultaneously on the joint programmes at both SUSTech and King's.

2.2 Students who do not follow the correct enrolment procedures for either institution will lose their place on the joint programme.

2.3 In cases where verified fraudulent acts are found in the enrolment and admission procedures, the student shall immediately be dismissed from the JEI, SUSTech and King's.

2.4 Both institutions will collect student data as required for registration in accordance with their institutional and national requirements. The data required from students may therefore be different for each institution.

## 3. ENROLMENT, PAYMENT OF TUITION FEES AND REGISTRATION

3.1 Students must follow the enrolment and registration procedures of both SUSTech and King's which are set out in the following documents: *Regulations on the Administration of Undergraduates' Status of Southern University of Science and Technology* and *King's College London Academic Regulations, Chapter 2 Registration and Attendance, clauses 2.1 – 2.16 and 2.24*. All students accepted by the JEI are required to complete the enrolment process in person at the SUSTech campus on the prescribed date and subsequently complete the King's enrolment process according to the procedures issued by the JEI. Enrolment and registration procedures will include but are not limited to:

- Production of certification of qualifications, evidence of identity and other relevant documents
- Timescale for completing registration procedures
- Verification of qualifications in accordance with institutional and national requirements
- Procedures for applying for leave of absence or deferral for those unable to enrol as scheduled and consequences for not following such procedures
- Collection of student data
- Timescale for paying tuition fees
- Procedures for re-enrolment on an annual basis

## 4. PERIOD OF STUDY

4.1 For JEI students the minimum period of study is four years with up to six years to complete the programme which includes provision for periods of suspension of study.

4.2 In the event that a student is enlisted by the Chinese People's Liberation Army (or the Chinese People's Armed Police Force), SUSTech and King's will reserve their status as a student for two years while they serve in the army, provided that the student shall not enjoy the same rights as enjoyed by other in-school students and SUSTech and King's are not responsible for their personal safety. The military service period is not included in the maximum period of study. The student needs to apply for resumption of study on the strength of their demobilization certificate upon expiry of the military service period.

## 5. CREDIT, MODULE/COURSE SELECTION AND PROGRESSION

5.1 Credits are the units that measure a student's study outcome. Students achieve the credits for the modules/courses they take only after they pass the assessment for the module/course.

5.2 For the General Education modules and any elective modules that are not explicitly indicated by the joint programme's timetable, students will select class times using the SUSTech Teaching Information System. General Education modules and elective modules are subject to the relevant requirements of SUSTech for module selection, withdrawal and re-selection.

***Progression***

5.3 Students can progress from each year of study to the next without having passed General Education modules. All General Education modules must be passed before the end of the programme and in order for the double degrees to be awarded.

5.4 JEI students must obtain an overall IELTS score of 6.5 with a minimum of 6.0 in each component (or an equivalent level English proficiency qualification/examination accepted by King's) before entering the second year of the programme. Students must register for and pay for the IELTS test themselves. Students who fail to obtain the required IELTS score (or equivalent English proficiency) before entering the second year of the programmes will not be allowed to continue their study at the JEI and will have their registration at SUSTech and King's terminated.

5.5 Students can take the IELTS or equivalent examination as many times as they need in order to achieve the required score.

5.6 Students are required to report their scores in the IELTS or equivalent to the JEI Teaching Affairs Office for review and recording before the start of the second year of study.

5.7 For the remaining core modules on the joint programmes, in order to progress to the next year of study the following must be achieved as a minimum:

***BSc Biomedical Science***

- Year one to year two - 4 of the non-King's credit-bearing science and competence development modules which are indicated on the programme specification/curriculum documents must be passed in order to progress. In addition, 4 modules (the equivalent credit value of 60 King's credits) must be passed
- Year two to year three – 9 year two modules (the equivalent credit value of 135 King's credits) plus any outstanding modules from year one
- Year three to year four – 8 x 15 credit year three modules or 6 x 15 credit and 1 x 30 credit year three modules (the equivalent of credit value of 120 King's credits) plus any outstanding modules from year two

***BEng Biomedical Engineering***

- Year one to year two - 6 of the non-King's credit-bearing science and competence development modules which are indicated on the programme specification/curriculum documents must be passed in order to progress. All pre-requisite science modules must be passed for progression.
- Year two to year three – 8 year two modules (the equivalent credit value of 120 King's credits) plus any outstanding modules from year one. All pre-requisite science modules must be passed for progression.
- Year three to year four – 8 x 15 credit year three modules or 6 x 15 credit and 1 x 30 credit year three modules (the equivalent of credit value of 120 King's credits) plus any outstanding modules from year two

## 6. REMOVAL OF A STUDENT FROM AN EXTERNAL ENVIRONMENT

6.1 Students undertaking a placement in an external working environment have a responsibility to conform to the regulations, policies and expected standards of behaviour and competence of that environment.

6.2 A student undertaking a placement may be removed without notice from that environment by the supervisor within that environment or by the JEI if there are concerns about the student.

Examples include but are not limited to:

(1) Behaviour or actions in breach of the regulations of the external environment.

(2) Behaviour which compromises the activities of the external environment.

(3) A health condition which would render the student unsuitable or unsafe to continue in the external environment.

(4) Failure to observe health and safety requirements of the external environment.

(5) Behaviour which is deemed offensive or unacceptable in the external environment.

6.3 Where the removal is temporary or for a specified period, conditions may be placed on the student before re-entry to the external environment will be allowed. Such conditions may constitute a written warning.

6.4 If the JEI considers that the reasons for the removal would require an investigation under the JEI Regulations for Student Conduct, the student's removal from the external environment will be temporary pending the outcomes of those investigations. The student may attend classes and sit assessments that are not in the external environment during this period. As part of the outcome the relevant committee will confirm the status of the student's removal from the external environment. See the JEI Regulations for Student Conduct for possible outcomes of an investigation.

## 7. INSUFFICIENT ACADEMIC ENGAGEMENT WITH THE PROGRAMME

7.1 A student's registration may be terminated for failure to sufficiently engage with the programme so that there is a failure to make academic progress. The JEI will ensure that students are fully aware of the possible consequences of failure to make sufficient academic progress.

7.2 A student will receive a written warning from the JEI Teaching Affairs Office for any of the following reasons:

(1) Persistent late submission of coursework without an application for consideration of mitigating circumstances.

(2) Persistent failure to respond to JEI communications or instructions.

(3) Failure to meet the academic progression requirements set forth by the relevant JEI joint programme.

(4) For any other good academic cause that results in the student not engaging with the programme.

7.3 The written warning will specify the improvements or actions to be undertaken by the student within a specified timeframe and stating the consequences of not doing so. The student's Personal Tutor and residential college should also be consulted. A warning in this context is not a disciplinary sanction, for disciplinary sanctions see the JEI Regulations for Student Conduct.

7.4 If there are concerns that a student's lack of engagement may be due to a health or personal issue the matter should be dealt with under the JEI Policy and Procedures for Support for Study.

7.5 A student's registration may be terminated on the grounds of lack of engagement and lack of academic progress for any of the following reasons:

(1) Absence from required academic activities for three or more weeks without submission of an application for leave of absence.

(2) Failure to submit a request for the resumption of study after a period of interruption within the specified time period.

(3) Inability to meet the programme requirements and requirements for graduation of SUSTech and King's.

7.6 A student may appeal the decision to terminate their registration for lack of academic engagement with the programme using the procedures in the JEI Regulations for Academic Appeals.

## 8. ASSESSMENT AND REASSESSMENT

8.1 Students must comply with the rules set out in the documentation provided by the JEI/SUSTech that sets out the requirements for examination protocols and behaviour in the examination room as well as the JEI Academic Misconduct Policy and Procedures. Any breaches of these requirements will be considered misconduct.

8.2 A student who fails to participate in an examination and has not completed the procedures for suspension of study or submitted mitigating circumstances will be deemed to be absent and will be given a mark of zero.

8.3 SUSTech and King's use different methods for calculating the outcome of degrees. Each institution will use their own methodology and algorithm to calculate the award. Further information on how this operates is contained in the JEI student handbook.

### *Reassessment*

8.4 This section does not apply to the General Education modules which follow SUSTech procedures for reassessment.

8.5 Reassessment is at the discretion of the Assessment Sub-Board. Students will normally be offered one reassessment opportunity if they fail to achieve a pass mark in module. Where students do not achieve the aggregate pass mark in a module at the first attempt, the module specification will outline how they are to be reassessed, if reassessment may be in a different format to the original assessment, and any additional conditions attached to the reassessment.

8.6 Where students do not achieve the aggregate pass mark of a module due to failing one or more components of the module, they should only be reassessed in the failed components.

8.7 Following reassessment of any component of the module, the final overall module mark will be capped at the relevant pass mark.

### *King's degree*

8.8 For the King's degree the capped pass mark is 40%. For reassessment of module components, individual assessment marks will be recorded uncapped on a student's record.

If they do not achieve a pass mark at reassessment, the highest mark of any attempt will be recorded on the student's record and transcript.

***SUSTech degree***

8.9 For the SUSTech degree for modules that are assessed using the thirteen-grade marking scheme, the grade for the resit examination is recorded as the actual grade in the calculation of the overall grade for the module. Students who pass a reassessment will have an overall grade at a maximum of 60% for the module. Failure in a reassessment will be recorded as the actual grade.

***Both degrees***

8.10 Where students have been offered a reassessment opportunity, the Assessment Sub-Board will determine whether they are required to sit the assessment with or without further attendance. With the exception of cases where students are required to resit the assessment with attendance, all reassessment attempts will normally be held prior to the start of the next academic year.

## 9. INTERRUPTION AND RESUMPTION OF STUDY

9.1 A student can apply for an interruption of study for a number of reasons, for example suffering from physical or mental illness, dealing with personal affairs. In cases where there is concern about a student's health the procedures to follow are set out in the JEI Support for Study Policy.

9.2 The duration of an interruption of study is up to one semester and a student may make consecutive applications. Recording of modules/courses taken during the period of interruption will be recorded and managed in SUSTech and King's record systems according to SUSTech and King's respective procedures. For any reasons for suspension, the total number of years of suspension shall not exceed two academic years.

9.3 To apply for an interruption of study a student must complete the Request to Interrupt Study procedures according to the requirements of the JEI, which includes filing the application providing reasons for the request and supporting documentation.

9.4 During an interruption of study, a student keeps their status as a student of the JEI, SUSTech and King's but does not re-enrol, pay tuition fees and accommodation fees, or enjoy the rights that a registered student has (unless otherwise specified by the university). A student who interrupts their study cannot:

- live on the campus
- attend teaching
- take examinations or
- obtain credits for a module/course.

9.5 A student is entitled to the same medical expense payment treatment as other students for the first year of their interruption. For a second year of interruption a student will bear their own medical expenses.

9.6 SUSTech will not be held responsible for any accident or infringement that occurs during a student's interruption of study.

9.7 During the period of interruption of study, the student must be able to be contactable by the JEI via email.

9.8 To resume study a student must complete the Resumption of Study procedures according to the requirements of the JEI.

9.9 A student who has interrupted their study due to illness must be certified fit to resume study by an independent medical practitioner. For further information see the JEI Support for Study Policy.

## 10. SUSPENSION OF STUDY

10.1 The JEI may require a student to be suspended under any of the following circumstances:

(1) Under the JEI Support for Study Policy where a student's health is affecting their ability to study and function in a university environment.

(2) Where a student's personal behaviour severely disrupts other students' normal study and life and the student has not yet been penalised for this behaviour.

(3) For any other reasons as determined by the relevant JEI regulation/policy.

10.2 The period of suspension will vary according to the circumstances of the case.

## 11. TRANSFER OF STUDY

11.1 In principle, students on the JEI programmes are not permitted to transfer to the SUSTech or King's domestic programmes.

11.2 JEI students on a Joint Educational Programme may apply to transfer to another Joint Educational Programme in accordance with JEI transfer requirements and procedures,except where the programme has entry requirements that the student does not meet. Students applying to transfer programmes within the JEI must meet the academic requirements for the programme to which they wish to transfer and receive approval from the relevant JEI committee. Even if a student meets the academic requirements of the programme to which they wish to transfer there is no automatic right of transfer and the JEI reserves the right to refuse a transfer request. Once a student has transferred between programmes they cannot transfer back to their original programme.

11.3 In the event that a student is unable to continue in the Joint Educational Programme and applies to transfer to another Chinese institution, the transfer process shall be governed by the SUSTech Implementation Rules for Undergraduate Transfer Programmes

## 12. TERMINATION OF REGISTRATION

12.1 A student's registration will be terminated if they:

(1) Fail to enrol/register on time for no reasonable cause or without applying for leave of absence.

(2) Fail to pay the tuition fee within the timeframe set by the JEI and without the consent of the JEI.

(3) Are absent from required academic activities for three or more weeks without submission of an application for leave of absence.

(4) Fail to apply for resumption of study within three weeks after the suspension of study ends or a resumption of study application has been rejected on the grounds of ineligibility.

(5) Fail to make improvements specified in a written warning, as given in regulation 7.2 above, within the required time frame.

(6) Do not engage with the programme and fail to make academic progress as set out in regulations 7.1 to 7.5 above and, if they have made an academic appeal in accordance with regulation 7.6 above, the appeal has been unsuccessful.

(7) Have exhausted all permitted attempts at assessment and have not met any other programme requirements before the end of the programme.

(8) Have not achieved the required IELTS score (or an equivalent level English proficiency qualification/examination accepted by King's) before the start of the second year of study (see regulations 5.4 – 5.6 above).

12.2 In addition to the above, a student's registration can be terminated under the following JEI regulations and procedures:

- JEI Regulations for Student Conduct
- JEI Policy and Procedures for Support for Study
- JEI Academic Misconduct Procedures

12.3 A case of termination of registration will be effective after the programme/process in question submits its decision and relevant materials to the JEI which issues a Notice on Expulsion of Undergraduates to the student in question based on the official document. In the case that the Notice fails to reach the student, the JEI shall make the Notice public on the relevant SUSTech website for five working days in accordance with practice in China, which is then deemed to have been sent to the student.

12.4 A student against whom a decision is made by the JEI under these Regulations may appeal to the SUSTech Students' Appeal Handling Committee within ten working days upon receipt of the Notice on Expulsion.

12.5 A student shall follow the procedure for leaving the SUSTech campus within ten working days upon receipt of the Notice on Expulsion of Undergraduates or, if they have made an appeal, the Notice on Appeal Result of Undergraduates, and their Student Archive and Registered Residence card will be returned to their family's registered permanent residence in accordance with practice in China. In the event the student fails to go through the required procedure within the specified time limit, their residential college will do it on their behalf and their status as a student of the JEI, SUSTech and King's will be cancelled on the date the relevant Notice is issued. An expelled student is not allowed to apply for resumption of study.

## 13. VOLUNTARY TERMINATION OF REGISTRATION

13.1 A student voluntarily applying to leave due to personal reasons shall complete the form of Application for Undergraduates to Voluntarily Withdraw and shall not follow the withdrawal procedures until after their application has been considered by the relevant JEI Programme Lead and approved by the JEI Teaching Affairs Office.

13.2 When a student leaves the JEI, SUSTech and King's, the scores and credits of the

modules/courses they have already achieved will be recorded. An exit award from each institution may be given if the criteria are met (see regulations 14.2, 14.3 and 14.5 below). Where a student is re-admitted after passing the entrance examination again and meets SUSTech and King's enrollment requirements, any credits obtained previously will be reviewed by the JEI to determine if the credits can be recognised.

## 14. COMPLETION OF STUDY AND GRADUATION

14.1 When a student has been certified as meeting the requirements to complete their programme of study as set out in the programme specification documents, they will be allowed to graduate. Consideration of results and confirmation of the degree will be carried out by the relevant degree awarding bodies of SUSTech and King's. Students will be issued with a degree certificate by both SUSTech and King's. SUSTech also issues the Undergraduate Diploma "Ben Ke Bi Ye Zheng Shu" to students.

***Students who fail to compete all programme requirements - SUSTech***

14.2 A student who fails to complete all the modules/courses required for their programme of study but the credits they have obtained reach 90% or above the minimal credits required for graduation as prescribed by the programme when the required study period is over, will be issued the Certificate of Partial Completion "Jie Ye Zheng Shu" by SUSTech. A student whose study is completed needs to complete the procedure to leave the campus. A student may apply for a degree certificate from SUSTech after they complete the modules that do not contribute to the King's degree, by sitting in classes that were not completed previously, obtain credits by participating in the activities organized by SUSTech, and meeting the requirements of the programme.

14.3 A student who has completed all the courses of the first academic year or has achieved a total of 30 credits or more in the first academic year yet does not meet the conditions for graduation or completion of study, may apply for a Certificate of Incomplete Study "Yi Ye Zheng Shu" from SUSTech. Students who drop out without finishing the first year courses may apply for the Certificate of Enrollment "Zhai Xiao Xue Xi Zheng Ming". The Certificate should be applied for by the student themself and will be issued by the SUSTech Teaching Affairs Office to the student when they complete the procedures for leaving.

14.4 Students who leave without the permission of the JEI will not obtain the Certificate of Incomplete Study "Yi Ye Zheng Shu" from SUSTech.

***Students who fail to compete all programme requirements – King's***

14.5 A student who fails to complete all the modules/courses required for their programme of study will be eligible for an exit award from King's. Further information on the exit awards available for each of the joint programmes is given in the relevant programme specification.

***Special circumstances***

14.6 A student who has completed all the required courses/modules and meets the requirements of the joint programmes, but is subject to academic probation, and the penalty has not expired at the time of graduation, will not be awarded the bachelor's degree and the graduation certificate. The conferral of SUSTech's degree and graduation certificate and King's degree will be deferred until they satisfy the requirements SUSTech set for all undergraduate enrolled students of SUSTech following the SUSTech guidance for student conduct and the King's requirement for awarding double degrees. After the probation period expires the diploma and degree certificates will be issued to the student. The date of the student's graduation will be the date when the documents are issued.

***Issue of certificates***

14.7 Certificates will be issued by the relevant office at SUSTech and at King's.

14.8 SUSTech will not re-issue the Undergraduate Diploma, Degree Certificate, Certificate of Partial Completion and the Certificate of Incomplete Study once they are lost or damaged. SUSTech may issue equivalent proof upon request. King's will issue a replacement certificate.

***Rescinding of a degree***

14.9 SUSTech and King's will rescind the degree and recall the certificate issued to a student in the following circumstances:

- where it is subsequently confirmed that their enrollment was in violation of the national and/or institution enrollment rules
- where it is subsequently confirmed that the student has committed academic misconduct under the circumstances set out in the JEI Academic Misconduct Policy and Academic Misconduct Procedures

**SUSTECH – KING'S SCHOOL OF MEDICINE (JOINT EDUCATION INSTITUTE)**

**REGULATIONS, POLICIES AND PROCEDURES**

**POLICY FOR TUTORING**

## 1. PURPOSE AND SCOPE

1.1 The tutoring system of the JEI consists of two subsystems, namely College Advisors/Personal Tutors and project supervisors which provides support for students in all aspects of their study and life as a student.

1.2 This Policy applies to all students who are formally registered at the SUSTech - King's School of Medicine (hereafter referred to as the JEI/SKMed) and whose studies are based entirely in Shenzhen, China.

1.3 This Policy has been jointly approved by both SUSTech and King's taking into consideration any local and national requirements. This Policy will take precedence over the existing King's policies relating to tutor support. It will be used in conjunction with the existing relevant SUSTech tutoring policies for those students formally registered on a programme of study at the JEI.

1.4 The JEI Student Affairs Office is responsible for the interpretation of this Policy.

## 2. KEY PRINCIPLES

2.1 SUSTech shall be responsible for managing the students during their daily life in the JEI in Shenzhen; King's shall be responsible for providing assistance.

2.2 The personal tutoring system is embedded in the SUSTech residential college advising system, which, as part of the general education provision at SUSTech, provides students with personal support and guidance relating to their study and life on campus.

2.3 A student's residential college will arrange a College Advisor/Personal Tutor for each student.

2.4 To better support the development of JEI students in the research field, they are also given the opportunity to choose a faculty member in the JEI, the SUSTech School of Medicine or Dept of Biomedical Engineering, as a Project Supervisor (Research Supervisor) to support them while undertaking a research project.

## 3. ROLES AND RESPONSIBILITIES OF THE JEI

3.1 The JEI ensures that this Policy for JEI tutoring is implemented.

3.2 The JEI appoints senior tutors to lead the implementation of this Policy.

3.3 The JEI, in conjunction with SUSTech's residential colleges, supports College Advisor/Personal Tutors to take up further training opportunities.

~~3.4~~ The JEI ensures that all students are allocated to an appropriate College Advisor/Personal Tutor by the start of the academic session.

3.5 The JEI ensures that students are provided with regular opportunities to feedback on their experiences of personal tutoring.

3.6 The JEI ensures that College Advisors/Personal Tutors have access to tutor resources, including student records and students' academic progress records.

3.7 The JEI supports senior tutors in monitoring staff and student engagement with tutoring.

## 4. ROLES AND RESPONSIBILITIES OF COLLEGE ADVISORS/PERSONAL TUTORS

4.1 All faculty members at SUSTech have a responsibility to serve as residential college advisors. For JEI students this role will be known as a College Advisor/Personal Tutor to reflect the fact that for JEI students the role reflects the merger of the SUSTech system and the King's personal tutoring function and will be carried out by SUSTech faculty members.

4.2 The residential colleges, in coordination with JEI at SUSTech are responsible for arranging student's College Advisor/Personal Tutor selection and for providing a suitable environment for the tutors to perform their duties. Each residential college has its own activity rooms and facilities and tutors assist with supervising and supporting student events and activities that are organised by and for students of the college.

4.3 The College Advisor/Personal Tutor is responsible for:

- 4.1 Providing support to ensure that students adapt smoothly to university life and study.
- 4.2 Providing tutees with the opportunities to review and reflect on their academic progress.
- 4.3 Discussing any difficulties that tutees may be experiencing and that impact on their studies.
- 4.4 Providing guidance in tutee's selection of optional courses/modules and signing the students' selection sheet for confirmation.
- 4.5 Encouraging students to engage with thinking about their employability skills and career planning.
- 4.6 Allocating time to meet with tutees and be proactive in arranging meetings with them.
- 4.7 Meeting their tutees at least three times per semester.
- 4.8 Keeping accurate and factual records of meetings with tutees.
- 4.9 Treating all tutees' personal information sensitively, in line with local and national policies on confidentiality.

## 5. ROLES AND RESPONSIBILITIES OF PROJECT SUPERVISORS (RESEARCH SUPERVISORS)

5.1 The JEI encourages students to participate in research during their undergraduate study.

5.2 The JEI students have the opportunity to choose a project supervisor to assist with the development of their research skills and to provide guidance on their research projects.

5.3 Project supervisors will be faculty members of the JEI, SUSTech School of Medicine or Dept of Biomedical Engineering.

## 6. ROLES AND RESPONSIBILITIES OF SENIOR TUTORS

6.1 Senior tutors ensure that a robust system for tutoring is in place within the JEI, in accordance with the baseline outlined above and in consultation with the JEI Executive Dean. The role of Senior Tutor at JEI is fulfilled by the Deputy Dean. Additionally, the JEI Deputy Dean has the authority to appoint other faculty members to serve as senior tutors within the JEI, ensuring a comprehensive and effective tutoring framework.

6.2 Senior tutors promote the JEI training for new tutors and ensure that they are aware of the JEI requirements of their role and that they have access to up-to-date resources supporting tutoring.

6.3 Senior tutors inform and advise tutors, where appropriate, of the declared disabilities of their tutees. The senior tutor should be aware of any additional support that might be required by a disabled student based on JEI's regulation requirement and the impact this may have on tutors' time.

6.4 Senior tutors ensure that information about the JEI tutoring system is made available to students, through programme handbooks and during induction talks, on how the JEI tutoring system works on top of the SUSTech Student Support System, including their responsibility to make good use of it.

6.5 Senior tutors take referrals from colleagues who are not in a position to assist a particular student, particularly where the situation involves a student identified to be 'of concern' or who is seeking approval for changes to their registration status.

6.6 Senior tutors act as a point of contact for the JEI tutoring system, SUSTech residential colleges and student services.

6.7 Senior tutors monitor the engagement of staff with the personal tutoring system, referring to the related residential college Dean(s) and JEI Executive Dean those who are not fulfilling the role adequately.

6.8 Senior tutors ensure that students have the opportunity to feedback on the JEI tutorial system via a standing item on the agenda of Staff-Student Liaison Committees.

**SUSTECH – KING'S SCHOOL OF MEDICINE (JOINT EDUCATION INSTITUTE)**

**REGULATIONS, POLICIES AND PROCEDURES**

**POLICY FOR ASSESSMENT ADJUSTMENTS**

## 1. PURPOSE AND SCOPE

1.1 The purpose of this Policy is to ensure that all students are given an equal opportunity for assessment. It sets out the procedures for making reasonable adjustments in assessments for students with health conditions or other circumstances that may affect their performance in assessment. Reasonable adjustments are known as Personalised Assessment Arrangements.

1.2 This Policy applies to all students who are formally registered at the SUSTech - King's School of Medicine (hereafter referred to as the JEI).

1.3 This Policy does not apply to those General Education modules that are open to all students at SUSTech.

1.4 This policy has been jointly approved by both SUSTech and King's and will take precedence over any existing policy for assessment adjustment in place at either SUSTech or King's for those students formally registered on a programme of study at the SUSTech-King's JEI.

1.5 The JEI Teaching Affairs Office is responsible for the interpretation of this Policy.

## 2. KEY PRINCIPLES

2.1 Assessment adjustments are designed to provide equality of opportunity but should not unfairly advantage or disadvantage any students. The need to make reasonable adjustments has to be balanced against the need to protect the academic integrity of assessment.

2.2 Responsibility for submitting requests for assessment adjustments lies with the student who will be supported in these requests by the JEI Teaching Affairs Office staff.

2.3 All student requests will be considered equitably by the office/panel where requests for written examination adjustments will be considered.

## 3. PERSONALISED ASSESSMENT ARRANGEMENTS (PAA)

3.1 A student who is eligible for a Personal Assessment Arrangement can request arrangements which can include, but are not limited to for example:

- having additional time during an examination, which can be used to complete the examination or for rest breaks. For rest breaks:
  - any granted extra time/rest breaks are to be treated equally as all of the granted time will be added in full to the duration of the examination
  - students are allowed to work and/or rest during the given time, and can go to the toilet at any time during the examination
- having a coursework coversheet or examination script sticker that informs the examiner of a student's specific learning disability
- using special tinted paper, also known as a coloured overlay, which can be used on top of the exam paper and can be helpful to students with dyslexia
- using a computer or laptop (provided by the JEI) to type up answers for a written examination
- requesting for the text on the examination paper to be larger than the standard font size
- requesting up to seven days of additional time to complete assessed coursework

3.2 A student who has a long-term health condition or learning difficulty (a condition that has affected them for over a year) and who provides supporting evidence that fulfils the requirements will have their PAA approved. A student will not have to re-apply for PAA for the duration of their time at the JEI, provided that they remain enrolled on the same programme and their circumstances do not change.

3.3 The JEI web pages for students includes guidance on how to apply for PAA, what evidence is needed to be provided during the application process, the deadlines for applications and answers to common questions about the application process.

**SUSTECH – KING'S SCHOOL OF MEDICINE (JOINT EDUCATION INSTITUTE)**

**REGULATIONS, POLICIES AND PROCEDURES**

**POLICY AND PROCEDURES FOR SUPPORT FOR STUDY**

## 1. PURPOSE AND SCOPE

1.1 This Policy and Procedures set out how the JEI will deal with students when there is a concern about their capacity to engage with their studies. Capacity is defined here as a student's ability to engage fully with their programme of study whilst maintaining appropriate standards of behaviour required by the JEI and in a manner which does not have a negative impact on the student, other students, staff or third parties. The aim therefore is to enable a student to succeed and progress in a supportive environment, whilst being mindful of the need to ensure the safety and wellbeing of the student themselves and of other JEI and University members.

1.2 This Policy and Procedures detail the JEI's response to situations where there are concerns about a student's health, attitude and/or about their capacity to engage with study, progress academically, and/or function in a university environment, including where a student is unaware that they are not well enough to study. The Policy and Procedures provide a route for both informal and formal escalations of concerns and set out the framework for providing a positive and coordinated approach to ensuring fairness in terms of support for study for all students.

1.3 This Policy and Procedures applies to all students who are formally registered at the SUSTech - King's School of Medicine (hereafter referred to as the JEI).

1.4 This Policy and Procedures are jointly approved by both SUSTech and King's taking into consideration any local and national requirements. This Policy and Procedures will take precedence over the existing SUSTech and King's policies/procedures for support for study for those students formally registered on a programme of study at the SUSTech-King's JEI.

1.5 This Policy and Procedures do not apply to the following circumstances:

(4) Any dangerous or acute situation where a member of staff believes that a student's behaviour presents an immediate risk to themselves or others. In such circumstances, the emergency services should be contacted.

(5) Behaviour which does not meet the expected standards of a member of the JEI community as set out in the JEI Regulations for Student Conduct and which is unrelated to a diagnosed or undiagnosed medical or mental health condition, or disability.

(6) Failure of academic progress where lack of engagement is not indicated as a result of welfare concerns. Procedures for dealing with a lack of engagement are set out in the JEI Regulations for Student Registration.

1.6 The JEI Student Affairs Office is responsible for the interpretation of this Policy and Procedures.

## 2. KEY PRINCIPLES

2.1 The JEI recognises the importance of a student's health and wellbeing in relation to their academic performance, progression and wider student experience.

2.2 There may be occasions when a student's physical or mental health give rise to concerns about the student's fitness to study and capacity to engage with their studies and/or about the appropriateness of their behaviour in relation to the JEI, SUSTech and King's community.

2.3 This Policy and Procedures are supportive measures and should not be considered from a misconduct perspective.

2.4 The student may be accompanied at any point in the proceedings by another JEI member or by a member of the SUSTech Students' Union. Additionally, the student may be accompanied by a family member or a friend who will not be able to speak on the student's behalf, unless this is a reasonable adjustment, such as, a sign language communicator or interpreter.

**Confidentiality and non-disclosure**

2.5 The JEI will limit the disclosure of information involving any case where a student is referred under this Policy and Procedures in line with relevant data protection legislation and other statutory obligations.

2.6 The scope of disclosure will vary in each case. Relevant parties, who are deemed necessary by the JEI and/or who are directly involved in the facilitation of support for the student, will be kept informed and will be notified accordingly of any directives or sanctions arising from proceedings under this Policy and Procedures.

2.7 A student may disclose a mental health illness or disability but elect to opt-out of receiving relevant support and for this information not to be shared further. The student should complete a "Student Non-Disclosure Form" which should be retained by the JEI Student Affairs Office.

## 3. STUDENT SUPPORT MECHANISMS

3.1 The JEI and SUSTech have a range of support mechanisms in place to assist students in meeting their academic obligations:

- Personal Tutor system
- Residential College Counsellor
- Personalised Assessment Arrangements
- JEI Regulations for Mitigating Circumstances
- Access to support from SUSTech professional services including Student Services Centre, Learning Centre, Mental Health and Wellbeing Services, Counselling Services, Disability Advisor

- Voluntary interruption of study

3.2 Students with physical and/or mental health concerns are strongly recommended to contact the available support services as early as possible in order to receive support and facilitate reasonable adjustments. Students should maintain regular engagement with the support services and be aware of this Policy and Procedures.

## 4. WHEN THIS POLICY AND PROCEDURES APPLY

4.1 A student may be deemed as needing support for study where they are unable to meet the definition of capacity for study as set out in paragraph 1.1 above and/or where one or more of the following criteria apply:

(1) The student is unable to actively engage in their programme of study, to attend classes or meetings with tutors or supervisors, or to spend sufficient regular time in private study in such a way as to enable them to succeed.

(2) The student's health, wellbeing and behaviour is causing concern to others, although there may be no negative impact on their academic work and progression.

(3) The student's continued study is likely to have a detrimental impact on fellow students and staff.

4.2 This Policy and Procedures are applicable to any academic activity the student engages in as well as to any activity that occurs on or off-campus or in Residential Colleges that gives justifiable cause for concern about the student's capacity for study.

4.3 If a member of staff has a concern about a student but is unsure as to the next steps, they should raise their concerns with the JEI Student Affairs Lead who will advise them whether they need to initiate these Procedures or submit a Student of Concern referral to the SUSTech Centre for Counselling and Psychological Services.

4.4 There may be times whilst these Support for Study Procedures are being used to support a student when an acute, urgent or serious concern arises in relation to the student's general welfare. In these cases, staff should submit a Student of Concern referral. Examples of when this is appropriate are: hospitalisation of the student, victim or perpetrator of serious crime, serious risk to self or others.

4.5 The Student of Concern referral process and the Support for Study Procedures are not mutually exclusive. However, whilst a Student of Concern referral is being used to deal with an acute or urgent welfare concern, the Support for Study Procedures may be paused.

***Support for Study and student conduct***

4.6 There may be instances where a student states that the behaviour giving rise to a misconduct concern is related to their long-term medical/mental health condition or disability. The JEI may consider whether to proceed with misconduct proceedings or refer the student to this Policy and Procedures. To ensure this Policy and Procedures are used appropriately and where there are justifiable concerns about misconduct, these concerns should be raised with the JEI Student Affairs Lead or nominee who will ask the Centre for Counselling and Psychological Services to review the case and decide whether to invoke this Policy and Procedures or continue with misconduct proceedings. This may include consultation with members of staff from the student's programme or other relevant members of the University community.

4.7 Students considered under this Policy and Procedures may be referred for action under the JEI Regulations for Student Conduct where:

- the student at any time represents a serious and immediate risk to themselves, to others or to the reputation of the JEI, SUSTech and King's
- the student's conduct continues to have an adverse effect on the learning or working environment, or on the health or wellbeing of other students or members of staff
- the student fails to provide adequate documentary evidence about their health or wellbeing

## 5. STAGE ONE – ONGOING CONCERNS IDENTIFIED

5.1 The aim of this Stage is to explore the student's situation with regard to their academic studies, progress and engagement; identify any additional support which might be needed; and signpost to the relevant JEI/SUSTech support services. Stage One can be recommended by any member of staff who is closely involved in student support or academic progression. Prior to Stage One being initiated, informal supportive meetings with the student should already have taken place.

5.2 When a student is identified as having a difficulty that is impacting adversely on their academic engagement, a formal structured meeting is held between the student and their Personal Tutor (PT)/Residential College Counsellor/JEI Student Affairs Office staff member. The staff member coordinates this meeting and takes notes during the session. They should inform the JEI Student Affairs Lead that a Stage One meeting has been convened.

5.3 During the meeting, the following points should be considered, as appropriate with notes and actions to be shared with the student and retained by the JEI Student Affairs Office staff member:

(1) Identification/explanation of the concern being raised giving clear examples.

(2) Opportunity for the student to give their perspective on what is happening.

(3) Information about the support for study procedure, advice about possible outcomes and next steps.

(4) Clarification of whether this has happened before and, if so, what was previously helpful.

(5) Clarification of relevant JEI boundaries and rules that the student needs to be aware of.

(6) Clarification of the student's personal responsibility, for example to be well enough to study and to be respectful to others.

(7) Consideration of what would be helpful and make a difference to the student in order to support them and minimise concerns.

(8) Signposting the student to any relevant JEI/SUSTech support services that they may benefit from.

(9) Clarification of agreed actions and options to support the student and minimise the concern.

(10) Agreement of a date to meet again to review the situation and of who needs to attend. The length of time between the meeting and the review should be agreed by all present, considering relevant academic and personal factors.

(11) Explanation that a continuation of the same concern or any additional concerns could result in escalation to Stage Two of these Procedures.

5.4 Options which may be considered in any combination and as appropriate include the following:

- support from services such as the Learning Centre, Mental Health and Wellbeing Services, Counselling Services, Disability Advisor
- Personalised Assessment Arrangements (see JEI Policy for Assessment Adjustments)
- extra academic support available via the VLE or online resources
- voluntary interruption of study
- transfer of programme
- transfer of university
- voluntary withdrawal

5.5 A case may be escalated to Stage Two, held for further review at this level or closed, depending upon the circumstances.

5.6 The JEI Student Affairs Office staff member will arrange a review meeting with the student where progress against the actions is checked. See section Non-engagement at paragraphs 7.1 – 7.3 below for action to be taken if a student is not engaging with the process.

## 6. STAGE TWO – PERSISTENT/SERIOUS CONCERNS

6.1 This meeting is held where there is a significant concern about a student's health and wellbeing and their ability to study and cope at university. Further options for support are explored as well as possible courses of action available, including mandatory interruption or, in very limited circumstances, withdrawal of the student by the JEI.

6.2 This Stage may be initiated if one or both of the following occur:

- actions agreed at Stage One have not been achieved or only partially achieved and the difficulties persist; and/or
- a case is referred by the Student of Concern referral process or by another relevant party, for example a Residential College

6.3 A formal structured meeting is arranged by the JEI Student Affairs Lead who attends the meeting. Attendees include the student, the Senior Tutor, the Personal Tutor and a representative from SUSTech Mental Health and Wellbeing Services. Evidence is collated about previous support interventions so there is a clear understanding of the student's circumstances. The student is provided with a clear outline of the structure the meeting will take, the parties who will attend and the potential outcomes. The student is advised that they can be accompanied by a family member or friend for support or represented by a JEI member or SUSTech Students' Union representative as outlined in paragraph 2.4 above. Notes are taken by the JEI Student Affairs Lead or nominee.

6.4 During the meeting, the following points should be considered, as appropriate:

(1) Summary of the presenting situation, concern(s) being raised and past relevant information.

(2) Opportunity for the student to give their perspective on the issue(s)/concern(s) and, if appropriate, a history of events, past experiences and helpful strategies for managing these.

(3) Clarification of relevant JEI boundaries and regulations.

(4) Consideration of realistic academic timelines in relation to overdue assessments.

(5) Clarification of the student's personal responsibility, for example to be well enough to study and to be respectful to others.

(6) Identification of any further information which may be required.

(7) Clarification of the options available to the student at this stage which could include options such as continuing to study with clear deadlines/agreements in place, a period of interruption or a recommendation for withdrawal of the student.

(8) Consideration of what would be helpful and/or make a difference to the student in relation to the options available.

(9) Signposting the student to any relevant JEI/SUSTech support services that they may benefit from.

(10) Clarification of agreed options/actions and support options that the student is encouraged to access.

(11) Explicit clarification of the consequences of failing to complete the agreed actions and/or a continuation of the cause for concern.

(12) Agreement of any interim monitoring or measures.

(13) Agreement of a date to meet again to review the situation, if appropriate.

(14) In cases where interruption of study is the outcome, the meeting should consider and make explicit what is required to happen before the student is permitted to return to study.

6.5 One or more of the following options will be considered:

(1) All of the options as listed in Stage One at paragraph 5.4 above.

(2) Mandatory interruption of study. The JEI may interrupt a student on a mandatory basis if this is considered to be in the best interests of the student. In the case of mandatory interruption, all other options of support whilst studying must have been exhausted. The student will receive the relevant advice and support regarding their funding and accommodation as appropriate. A date will be agreed to review the student's circumstances prior to resuming study

(3) Mandatory interruption due to incapacity. In exceptional circumstances when a student has been deemed incapacitated or not capable of giving informed consent, for example, due to their mental health under Chinese Mental Health law, the JEI will interrupt the student until such time as they are deemed to have capacity by an independent medical professional. Once the student is able to engage with the JEI, they will be invited to be involved in the processes under these Procedures.

(4) Withdrawal of the student by the JEI. In extreme and very limited circumstances, the JEI may propose the withdrawal of a student if it considers this to be in the best interests of the student and report to the relevant officers at SUSTech and King's for a final decision (see JEI Regulations for Student Registration). In the case of withdrawal of the student, all other options must have been exhausted, including interruption (whether mandatory or voluntary), unless an independent medical professional recommends that a student be withdrawn in their best interests. The JEI will offer support during this transitionary period such as support with alternative accommodation or financial advice.

## 7. NON-ENGAGEMENT WITH THE SUPPORT FOR STUDY PROCEDURES

7.1 Where a student does not engage with this Policy and Procedures at any stage, the JEI may offer a further meeting with the student or escalate to the next Stage. The JEI Student Affairs Lead will convene a Stage Two meeting for any case where the student has not engaged.

7.2 If a student is unwilling to engage, for example not responding to messages/not turning up to meetings, the JEI may decide to continue the process in their absence. The JEI may ultimately decide to interrupt or withdraw the student in their absence.

7.3 Where a student does not engage with this Policy and Procedures and there is serious risk of harm to the student or other members of the JEI and SUSTech community, further steps listed in 6.5 (2), (3) and (4) above may be considered by the Centre for Counselling and Psychological Services.

## 8. SUPPORT FOR A STUDENT WHILST ON INTERRUPTION AND RETURN TO STUDY

8.1 During a period of interruption, students can access support from SUSTech support services, via the JEI Office for Student Affairs.

8.2 At the JEI's discretion, students on an interruption under this Policy and Procedures will continue to have access to their SUSTech and King's email, VLE and library services as deemed appropriate.

8.3 The student's programme should also have in place a coordinated communication and return plan which should be discussed and agreed with the student prior to interruption. This should include a communication plan, if necessary, a suggested return date and other requirements of the programme on their return.

8.4 When a student has interrupted either on a voluntary or mandatory basis, the JEI may put in place conditions which the student will need to meet before they may return to study. For example, the student may be required to engage with support whilst on interruption and/or provide medical evidence from an independent medical professional stating that they are capable of returning to study.

8.5 The student should be invited for a meeting with their Programme Lead prior to their return to discuss any additional support needs they may have and whether any adjustments may be needed to their studies. A further meeting may be necessary with the JEI Student Affairs Office to discuss support needs.

## 9. APPEAL PROCESS

9.1 A student may appeal against a decision reached at Stage Two to mandatorily interrupt or withdraw them. An appeal will only be accepted where there is evidence of one or more of the following:

- evidence can be produced of procedural irregularity
- bias or failure to reach a reasonable decision in handling the process
- evidence of further material circumstances which could not reasonably have been expected to have been submitted for consideration in the meeting

9.2 A student can appeal via the JEI Student Affairs Office by submitting a written statement detailing the grounds for their appeal within 10 working days of being notified of a decision at Stage Two. The JEI Executive Dean has the discretion to take into account grounds, includes grounds of compassion, other than those stated above in deciding to allow an appeal to be heard.

9.3 The appeal will be considered by the JEI Executive Dean or their nominee, having reviewed the case documentation and evidence to date. The student will be told of the outcome within 15 working days. There is no further right of appeal within the JEI, SUSTech or King's.

**SUSTECH – KING'S SCHOOL OF MEDICINE (JOINT EDUCATION INSTITUTE)**

**REGULATIONS, POLICIES AND PROCEDURES**

# REGULATIONS FOR ACADEMIC APPEALS

## 1. PURPOSE AND SCOPE

1.1 There is an academic appeals process available to students. These Regulations set out the procedure for students to make an appeal which ensures that appeals are handled in an objective and fair manner whilst maintaining academic standards.

1.2 These Regulations apply to all students who are formally registered at the SUSTech - King's School of Medicine (hereafter referred to as the JEI or SKMed).

1.3 These Regulations have been jointly approved by both SUSTech and King's taking into consideration any local and national requirements. These Regulations will take precedence over the existing SUSTech and KCL regulations for academic appeals for students formally registered on a programme of study at the SUSTech-King's School of Medicine.

1.4 The JEI Student Affairs Office is responsible for the interpretation of these Regulations.

## 2. KEY PRINCIPLES

2.1 Other than described in these Regulations, no decision of an Assessment Sub-Board, acting in accordance with JEI regulations, may be modified.

2.2 The appeals process cannot be used to challenge academic judgment; appeals based on academic judgment will not be considered.

2.3 Marks will never be raised following an academic appeal.

2.4 It is expected that all parties involved in an academic appeal will act reasonably and fairly and treat the process in a respectful manner. If inappropriate behaviour is displayed, action may be taken.

2.5 The JEI may pause or stop the consideration of any appeal submitted where the student is suspected to be in breach of the JEI Regulations for Student Conduct and where action should be taken under those regulations.

2.6 If an appeal contains matters which fall under the JEI Procedures for Student Complaints, consideration of the appeal may be paused until the complaints process is complete. In such cases, the findings of the complaint investigation may be considered as evidence for the appeal.

2.7 Group appeals are permitted. In the first instance a group should raise any issues with the programme lead via their student representative or a nominated member of the group. If the matter is not resolved, the nominated student will then submit the appeal and communicate with the JEI on behalf of the group. Any outcome of an appeal will apply to all members of the group.

## 3. STAGE ONE APPEAL

3.1 A student should submit a Stage One Appeal Form within 15 working days of the release of ratified results or within 15 days of receiving notice that their registration is being terminated for lack of academic engagement with the programme. Appeals received after this deadline will only be accepted at the discretion of the JEI Student Affairs Office.

3.2 A student may appeal on either or both of the following grounds:

- that there is evidence that assessment(s) may have been adversely affected by mitigating circumstances which the student was unable, or for valid reasons unwilling, to make known before the original decision was reached
- that there is clear evidence that assessment(s) may have been adversely affected by a significant administrative error on the part of the JEI or in the conduct of the assessment

3.3 A student who is dissatisfied with the outcome of the mitigating circumstances process, may submit an academic appeal once their results have been ratified on either or both of the following grounds:

- that there is new evidence that could not have been, or for good reason was not, made available at the time of the submission of the Mitigating Circumstances Form and that sufficient evidence remains that their mitigating circumstances warrant further consideration
- that evidence can be produced of significant procedural error on the part of the JEI in the consideration of the mitigating circumstances, and that sufficient evidence remains that the original mitigating circumstances warrant further consideration

3.4 A Stage One appeal may be rejected before forwarding to the JEI Assessment Board for consideration in the following circumstances:

(1) where the appeal is not made on the correct form, or the form is incomplete
(2) where the appeal has been submitted late
(3) where, if appealing on ground 3.2 (1) above there is no independent third-party evidence of the mitigating circumstances or the evidence provided is not a certified translation
(4) where the appeal contains no evidence that either of the grounds for review has been met
(5) where the appeal is frivolous or vexatious; and/or
(6) where the appeal does not fall within the scope of these Regulations and should be considered under an alternative regulation

3.5 If the appeal is rejected at this stage a student can contest this decision but is not able to submit additional evidence.

3.6 Any contestation submitted must be submitted to the JEI Student Affairs Office within five working days of the date of notification of the decision. The Office will consider whether the decision to reject the appeal was made in accordance with these regulations. If the

contestation is accepted, the appeal will be passed to the JEI Assessment Board for consideration. If the contestation is rejected, there are no further opportunities for the appeal to be considered.

3.7 The JEI Assessment Board will normally consider the appeal and report its decision to the JEI Student Affairs Office within 30 working days of the release of results.

3.8 The JEI Assessment Board will decide whether the grounds for appeal have been met or not. Where the ground(s) have been met, the Board will decide whether to modify or confirm the original decision. Where the ground(s) have not been met, the original decision of the Assessment Sub-Board stands. The Board may also reject the appeal on any of the filter grounds set out in Regulation 3.3 above or where the student has challenged academic judgment.

3.9 A written statement confirming the decision of the JEI Assessment Board and the reasons for this will be prepared by the Chair of the Board. This statement should be sent to the JEI Student Affairs Office and included in the outcome letter which is sent to the student.

## 4. STAGE TWO APPEAL

4.1 A student may appeal the decision of the JEI Assessment Board on the following grounds:

- that there is new evidence that could not have been, or for good reason was not, made available at the time of the Stage One submission and that sufficient evidence remains that the appeal warrants further consideration; and/or
- that evidence can be produced of significant procedural error on the part of the JEI in considering the appeal, and that sufficient evidence remains that the appeal warrants further consideration; and/or
- giving due consideration to the evidence and representations previously provided, the decision of the JEI Assessment Board was unreasonable

4.2 A student should submit a Stage Two Appeal Form within 10 working days of the Stage One Appeal outcome. Appeals received after this deadline will only be accepted at the discretion of the JEI Student Affairs Office.

4.3 The Office will normally advise the student in writing of their decision on the appeal request within 30 working days of receipt. If it is determined that an appeal should be heard an Appeal Committee will be arranged in accordance with the Appeal Committee Structure.[5]

**Appeal Committee**

4.4 A student may be represented at the Appeal Committee by another JEI member or a member of the SUSTech Students' Union.

4.5 Additionally, a student may be accompanied by a family member or a friend who will not be able to speak on the student's behalf, unless this is a reasonable adjustment, such as a sign language communicator or interpreter.

4.6 If a student is to be represented or accompanied, the name of the person who is to attend must be received in writing by the Appeal Committee organiser at least 48 hours in advance of the Committee. The Chair of the Appeal Committee may accept or reject a request, and

[5] This will be the existing SUSTech Student Appeal Handling Committee with added JEI/King's representatives.

their decision will be final. The Chair may refuse to permit a representative, friend or family member to attend where 48 hours' notice has not been received.

4.7 Written notice of the Committee will normally be sent to the student, together with the names of the Committee members and the Chair, and all documentary evidence, at least 10 working days before the Committee date. Any concerns regarding documentation or membership of the Committee should be raised in writing by the student at the earliest opportunity to the Appeal Committee organiser.

4.8 New evidence that has not already been submitted as part of the appeal will not normally be considered by the Appeal Committee. Should either party wish to submit new evidence this must be done at least five working days before the Committee date. The Chair of the Appeal Committee may accept or reject new evidence, and their decision will be final.

4.9 The Appeal Committee shall consider the documentary evidence and invite the student and the JEI Assessment Board Chair (or their nominee) to give evidence. Other persons shall be asked to attend to give evidence if the Committee wishes.

4.10 The absence of the student or the Chair of the JEI Assessment Board will not prevent the Committee from taking place nor invalidate the proceedings. In the event that a student has indicated they will attend but then cannot do so for good reason, an adjournment would generally be considered.

4.11 The Appeal Committee will determine whether there is sufficient reason to challenge the Stage One appeal outcome. If there is sufficient reason, the Appeal Committee can set aside the decision of the JEI Assessment Board and replace it with one of its own, or it can refer the case back to the JEI Assessment Board for fresh consideration with commentary. If there is insufficient reason, the appeal will be dismissed and the outcome of the Stage One appeal will stand.

4.12 Where an appeal is upheld, the Appeal Committee may set aside an attempt at an assignment or module and permit the student to be re-assessed in any specific assessment or specific module, not limited to those listed by the student in their appeal. The Appeal Committee has the discretion to consider other decisions, but these must comply with the JEI regulations and the relevant programme requirements.

4.13 An Appeal Committee is not an Assessment Board, and cannot raise marks in assignments or modules, amend marks from fail to pass, raise degree classifications or make awards. If a successful appeal is regarding an award or classification the student's appeal will be referred back to the relevant Assessment Sub-Board for reconsideration.

4.14 The decision of the Appeal Committee is final at the JEI. There is no further right to appeal and no right to appeal against the decision of the JEI Assessment Board if the case has been referred back to the Board.

4.15 The decision of the Appeal Committee shall normally be communicated in writing by the Appeal Committee organiser to the student, the Chair of the JEI Assessment Board and the JEI Student Affairs Office within five working days of the decision of the Appeal Committee.

4.16 A student has no automatic right to continue with their studies or to progress to the next stage of their programme pending the outcome of an appeal; the JEI may exercise their discretion to allow this attendance, if applicable and permitted by the programme regulations.

**SUSTECH – KING'S SCHOOL OF MEDICINE (JOINT EDUCATION INSTITUTE)**

**REGULATIONS, POLICIES AND PROCEDURES**

# REGULATIONS FOR EXTERNAL EXAMINERS

## 1. PURPOSE AND SCOPE

1.1 These Regulations set out the details of the external examiner system which includes criteria for appointment, duties and operation of those duties.

1.2 These Regulations apply to all programmes in the SUSTech - King's School of Medicine (hereafter referred to as the JEI or SKMed).

1.3 These Regulations have been jointly approved by both SUSTech and King's taking into consideration any local and national requirements. These Regulations will take precedence over the existing King's regulations relating to external examiners for those students formally registered on a programme of study at the SUSTech-King's School of Medicine.

1.4 The JEI Student Affairs Office is responsible for the interpretation of these Regulations.

## 2. KEY PRINCIPLES

2.1 The external examiner system is a key component of the quality assurance framework in the UK and as such is required to be in operation for the award of UK degrees.

2.2 External examiners assist in ensuring that the academic standards of the JEI Joint educational Programmes are comparable to their King's domestic equivalent programmes and advise if there is a falling below UK national standards in the subject area for which they are responsible.

2.3 External examiners will seek to ensure that assessment processes are fair, rigorous and operated equitably.

2.4 External examiners will have regard to the totality of the degree programme in question and will be involved in decisions relating to the award of each degree.

2.5 The membership of each Assessment Sub-Board should include an external examiner. If an Assessment Sub-Board wishes to have more than two external examiners appointed, then a request must be made to the Chair of the King's Academic Standards Sub-Committee (ASSC).

2.6 The JEI Joint Educational Programmes may:

- choose to use the same external examiners as the King's domestic equivalent programmes; or
- appoint new external examiners; or
- use a combination of existing and new external examiners

2.7 External examiners for the JEI Joint Educational Programmes will be appointed by King's in accordance with the operational procedures set out in the King's Quality Assurance Handbook.

2.8 In respect of the duties listed in regulations 6.1 – 6.6 below, external examiners will carry these out for the modules on the Joint Educational Programme that have been allocated King's credit and which contribute to the award of the King's degrees.

## 3. ELIGIBILITY AND SELECTION

3.1 Nominees for appointment as an external examiner should meet the following criteria:

(1) An appointee must be external to King's and SUSTech.
(2) An appointee should normally be an academic member of staff from another UK higher education institution. Assessment Boards must seek permission from the King's Academic Standards Sub-Committee to appoint an external examiner from outside the UK.
(3) An appointee must have relevant current experience and expertise in the discipline being assessed, including the design and operation of assessment, in order to speak authoritatively on academic standards germane to the discipline and should be familiar with the standards and procedures of university-level education in the UK.
(4) An appointee should have relevant academic and/or professional qualifications to at least the level of the qualification being externally examined and/or extensive practitioner experience where appropriate.
(5) An appointee must have competence and experience relating to the enhancement of the student learning experience.
(6) Former lay members of King's College Council, or the SUSTech equivalent, students or employees of King's or SUSTech shall not be appointed before a period of five academic years has elapsed.
(7) Any individual who has been involved in the validation or approval of a programme as an external expert or similar will be excluded from acting as an external examiner for that programme before a period of three academic years has elapsed.
(8) An appointee should not have any close personal, professional or contractual relationship with staff or students involved in the delivery of the programme nor be involved in any activity that could be considered a conflict of interest.
(9) An appointee should not normally belong to an institution in which a member of King's staff is appointed to act as an external examiner in the same subject and at the same level. It is recognised that, in certain subjects, this situation might be unavoidable. In such instances a case must be referred to King's Academic Standards Sub-Committee by the Chair of the relevant Assessment Sub-Board.
(10) An appointee should not belong to an institution to which an existing or exiting external examiner belongs.
(11) An appointee should not have been significantly involved in recent or current substantive collaborative research activities with a member of staff closely involved in the delivery management or assessment of the programmes or modules in question.
(12) An appointee should not hold an external examiner role for more than two institutions.

## 4. APPOINTMENT

4.1 An external examiner is normally appointed for a period of four years with no option for an extension. On completion of the appointment, an external examiner will not normally be eligible for re-appointment until a further five years have elapsed. In exceptional circumstances reappointment may occur earlier on agreement with the Vice President (Education & Student Success) of King's.

4.2 When a nomination is approved, the appointee shall be informed within one month of the date of the approval. Normally, the appointment will commence upon the expiry of the appointment of the previous external examiner and will coincide with the start of the academic year.

4.3 If an external examiner is no longer eligible to hold office (under the above or is unable or unwilling to fulfil the duties specified below), or there is a conflict of interest that cannot be satisfactorily resolved, their appointment will be terminated on the recommendation of the Vice President (Education & Student Success) of King's.

4.4 If either party has cause to terminate the appointment, this should normally be arranged to take effect at the end of an academic year, but in any case, is subject to three months' notice by either party.

4.5 An Assessment Sub-Board may request an extension of an external examiner's appointment beyond the normal term in order to meet local requirements. Such a request must be approved by the Chair of the relevant Sub-Board and submitted through the King's Faculty for approval by the Assessment Board Chair who will then notify the Academic Regulations, Quality and Standards team. Extensions will not normally be granted for more than one year.

4.6 An external examiner is normally appointed to one programme or components of a programme. Additional programmes may only be assigned to an external examiner's duties on approval from the Chair of the King's Academic Standards Sub-Committee.

## 5. INFORMATION AND INDUCTION

5.1 External examiners will be provided with relevant information relating to King's and JEI regulations and procedures on an annual basis.

## 6. DUTIES OF EXTERNAL EXAMINERS

6.1 External examiners are required to comment upon and give approval to all draft examination papers and other forms of assessment with a significant contribution to the module and/or programme for which they are responsible. A record of all approvals will be kept.

6.2 External examiners have the right to inspect any script or other assessed material relevant to the duties of the appointment and are required to sample scripts or other assessed material, including coursework.

6.3 The Chair of an Assessment Sub-Board will determine the distribution of work between external examiners. In those cases where external examiners see a selection of scripts, the guiding principle for such selection must be that the external examiners should have enough evidence to carry out their duties. In general, all scripts should be made available to the external examiners on request, but their attention should be drawn to a sample of scripts from

the top, the middle and the bottom of the range. An external examiner should also see all scripts where the examiners have been unable to reach agreement on the marks

6.4 External examiners are required to advise whether marking schemes and schemes for the classification of honours or award of degrees are consistent with King's and UK standards.

6.5 External examiners may be called upon to adjudicate in cases of conflict between internal examiners.

6.6 External examiners may not change individual marks (except where adjudicating) but may recommend appropriate action to ameliorate systemic issues in marking.

6.7 External examiners are ex-officio members of Assessment Sub-Boards and are invited to attend all meetings of the Sub-Boards to which they are appointed. They must, as a minimum requirement, attend the main meeting of the Sub-Board held to determine the results of assessments. They may be requested to attend other meetings as notified by the Chair. Attendance at meetings can be via virtual means. External examiners should report to the Sub-Board any areas of good practice and key issues identified during the year.

6.8 External examiners shall approve the results and the final award recommendations of the Assessment Sub-Board.

6.9 External examiners are required to submit a written report to the Vice-Chancellor of King's at the conclusion of the assessment period. The report should be submitted within one calendar month of the main meeting held to determine the results of students in the relevant academic year. The report should include comment on the adequacy of the standard of the assessment and other matters relevant to the teaching and assessment of the programme or modules. The contents of the report will be brought to the attention of those teaching the programme or module, students on the programme or module, the Chair of the relevant Assessment Sub-Board, the Chair of the relevant Assessment Board, the Executive Dean of the King's Faculty and the Executive Dean of the JEI. The King's Academic Standards Sub-Committee will consider an annual report on action taken further to issues raised in external examiners' reports.

6.10 Failure to submit a report within two months of the meeting held to determine the results of students will result in a recommendation that the external examiners' appointment is terminated.

6.11 External examiners may be invited to attend any meeting convened to consider an appeal against the decision of the Assessment Sub-Board of which they are members. Attendance at such a meeting can be via virtual means.

6.12 External examiners should observe all relevant regulations and policies regarding the confidentiality of setting and marking assessments, the proceedings of Assessment Sub-Boards and all results and awards.

6.13 Chairs of Assessment Sub-Boards are responsible for ensuring that external examiners are given adequate notice of any meeting which they are required to attend. An external examiner unable to attend a meeting due to illness or other good cause should endeavour to be available for consultation. In such circumstances the absence of the external examiner from the meeting will not render it invalid.

## 7. PROCEDURE FOR INVESTIGATING CONCERNS ABOUT ACADEMIC STANDARDS AND QUALITY

7.1 External examiners should raise issues or concerns they may have about academic standards and quality with the Assessment Sub-Board and in their report to the Vice-Chancellor. External examiners have the right to raise any matter of serious concern in confidence in a separate report to the Vice-Chancellor.

7.2 Other concerns about academic standards and quality of the JEI Joint Educational Programmes (including concerns about the accuracy and completeness of information published by King's and the JEI) should be raised in writing, in the first instance, with the relevant Programme Lead or Executive Dean of the JEI, who shall normally respond within 14 days. The Programme Lead or Executive Dean may delegate the investigation of the concern to another senior staff member who may respond on their behalf.

7.3 If the person who has raised the concern remains dissatisfied following the response, they may request a review of the response by the King's Vice President (Education & Student Success). The request for a review must be submitted in writing within 14 days of the response being issued. The Vice President (Education & Student Success) will normally respond within 60 days of receipt of the request for a review and the response shall be final. The Vice President (Education & Student Success) may delegate the review to a Senior Vice President who may respond on the Vice President's behalf.

7.4 This procedure shall not be used for concerns or issues which have been or should more appropriately be raised under another SUSTech, King's or JEI procedure.