

Implementation Rules of Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences on Strengthening the Quality Monitoring of Doctoral Student Training Process (Trial)

Chapter 1 General

Article 1 In order to further strengthen and standardize the management of the doctoral student (Ph.D. student) training process, promote the quality assurance of dissertations and the construction of supervision systems, and continuously improve the education quality of Ph.D. student, these Implementation Rules are formulated according to the *Regulations on Strengthening the Quality Control of Academic Degree Doctoral Student Training Process of the University of Chinese Academy of Sciences (Trial)* (XFPY ZI [2022] No. 112) and combined with the actual situation of Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences (SIAT).

Article 2 These Implementation Rules aim to comprehensively establish a system for monitoring and ensuring the quality of doctoral dissertations for key training processes such as Ph.D. student qualification examinations, dissertation proposals, mid-term assessments, academic presentations and social practices, dissertation format reviews, dissertation plagiarism checks, and pre-defense of doctoral dissertations.

Article 3 Ph.D. students must strictly comply with the *Code of Conduct for Research Activities of Graduate Students of Chinese Academy of Sciences* (KFJS ZI [2016] No. 116) and conduct scientific research work responsibly. The supervisor is the primary person responsible for graduate student training and must strictly monitor the research, writing, publication, academic level, and academic norms of the dissertation.

Article 4 These regulations apply to Ph.D. students registered at the University of Chinese Academy of Sciences and undergoing training at SIAT, including: direct Ph.D. students, integrated master's and Ph.D. students, and regular Ph.D. students. Joint training program graduate students and interns shall follow the relevant regulations of their home institution regarding their student status.

Chapter 2 Qualification Examination

Article 5 The Ph.D. qualification examination focuses on whether Ph.D. students have mastered a solid and broad disciplinary foundation and specialized knowledge; whether they can comprehensively apply this knowledge to analyze and solve problems; and whether they have the ability to conduct innovative research work.

Article 6 In principle, direct Ph.D. students shall take the qualification examination and shall have completed the required course credits of the training program before taking the qualification examination. The Ph.D. qualification examination for direct Ph.D. students shall be completed by the end of the fourth semester after enrollment.

Article 7 The qualification examination shall be organized uniformly by the training department, and the examination panel shall consist of at least three peer experts with senior (or equivalent) professional and technical positions. Each Ph.D. student shall give a presentation of at least 10 minutes, focusing on the learning of professional courses, the execution of the training plan, and the approach to analyzing and solving problems by using professional knowledge, etc.

Article 8 The results of the qualification examination are classified as "pass" or "fail". The examination panel shall give a rating based on the Ph.D. student's mastery of knowledge in the field of study, as well as their ability to analyze and solve problems. Ph.D. students who pass the examination can proceed to the research stage of their doctoral dissertation. Students who fail the initial qualification examination shall generally retake the examination within six months. If they fail both examinations, direct Ph.D. students will be transferred to master's degree training.

Article 9 Direct Ph.D. students who are unable to take the qualification examination for some reason shall submit an application for deferred examination two weeks before the scheduled date. After obtaining approval from the supervisor, the training department, and the Department of Education, they can take the next examination. In general, only one deferral can be requested. Direct Ph.D. students who pass the qualification examination can apply to enter the dissertation proposal stage.

Chapter 3 Dissertation Proposal

Article 10 In principle, regular Ph.D. students shall complete the dissertation proposal before the end of the third semester after enrollment; integrated master's and Ph.D. students shall complete it before the end of the third semester after transferring to the Ph.D. program; direct Ph.D. students shall complete it before the end of the sixth semester after enrollment. The time between the dissertation proposal and the dissertation defense generally shall not be less than one and a half years.

Article 11 The dissertation proposal shall be submitted in writing, except where confidentiality is required, and shall be publicly defended according to the procedure. The dissertation proposal shall include the research significance, research objectives, literature review, research content and methods, innovation, research progress, and work schedule. The public defense shall include a presentation of at least 15 minutes and a question session of 15 minutes with experts. Higher requirements may be imposed by each discipline as appropriate.

Article 12 The dissertation proposal examination panel of Ph.D. students shall consist of at least three peer experts, generally experts with senior (or equivalent) professional and technical positions or experts qualified to supervise Ph.D. students.

Article 13 The results of the dissertation proposal are graded as excellent, good, pass, or fail. Students who receive a pass or above for their dissertation proposal can earn 2 credits for compulsory courses. Students who receive an excellent or good result can proceed directly to the dissertation stage. Those who receive a pass can also proceed but will be closely monitored and listed for academic warnings. Those who fail must complete a second dissertation proposal within six months. If they fail again, they will be transferred or dismissed. The training department must conduct quality checks on the dissertation proposal stage and report the evaluation to the Department of Education. Students who pass the dissertation proposal can apply to enter the mid-term assessment stage.

Article 14 In principle, research work for the dissertation shall strictly follow the plan outlined in the dissertation proposal. In the event of significant adjustments to the topic due to special circumstances, a new dissertation proposal shall be organized.

Chapter 4 Mid-term Assessment

Article 15 The mid-term assessment for Ph.D. students shall take place at least six months after the dissertation proposal and generally shall not be less than six months before the dissertation defense.

Article 16 The dissertation mid-term assessment report shall be submitted in writing, except where confidentiality is required, and shall be publicly defended according to the procedure. The mid-term report shall include progress since the dissertation proposal in related scientific research, dissertation writing, phased achievements, subsequent work plans, expected progress, and other relevant contents. The public defense shall include a presentation of at least 15 minutes and a question session of 15 minutes with experts. Higher requirements may be imposed by each discipline as appropriate.

Article 17 The mid-term examination panel of Ph.D. students shall consist of at least three peer experts, generally experts with senior (or equivalent) professional and technical positions or experts qualified to supervise Ph.D. students.

Article 18 The mid-term assessment results are graded as excellent, good, pass, or fail. Students who receive a pass or above for their mid-term assessment can earn 2 credits for compulsory courses. Students who receive an excellent or good result can continue to the dissertation stage. Those who receive a pass can also proceed but will be closely monitored and listed for academic warnings. Those who fail must complete a second mid-term assessment within six months. If they fail again, they will be transferred or dismissed. The training department must conduct quality checks on the mid-term assessment stage and report the evaluation to the Department of Education. Students who pass the mid-term assessment can apply to enter the defense application stage.

Article 19 For students whose progress in dissertation topic research is slow or who encounter improper technical routes or research methods, supervisors shall guide them to take remedial measures actively. For students who find it difficult to continue in-depth research on the topic, supervisors shall promptly terminate the research, guide the graduate students to propose a new dissertation proposal and mid-term. For students who lack sufficient scientific research capabilities and struggle to meet the requirements for innovative outcomes in their dissertations, supervisors shall promptly propose terminating their graduate training process. According to the *Regulations on Student Management of the University of Chinese Academy of Sciences* (XFX ZI [2021] No. 104), students who are deemed unsuitable for continuing their pursuit of a doctoral degree shall be transferred early.

Chapter 5 Academic Presentations and Social Practices

Article 20 In order to encourage Ph.D. students to actively follow and understand the latest developments in their discipline at home and abroad, broaden their horizons, and inspire creativity, Ph.D. students must attend at least ten academic seminars (including at least one international academic conference) and deliver at least two academic presentation conferences publicly during their enrollment, as well as participate in at least one type of relevant social practice activity.

Article 21 Participation in academic presentations and social practices by Ph.D. students meets the specific requirements of the training program, allowing them to obtain 2 credits for compulsory courses.

Article 22 Participation in academic presentations and social practices by Ph.D. students shall be promptly recorded in the graduate student education system, and after review and confirmation by the supervisor, it shall be submitted to the Department of Education for filing before applying for defense.

Chapter 6 Format Review and Plagiarism Check for Dissertations

Article 23 Except for cases with confidentiality requirements, all graduate student dissertations applying for defense shall undergo format review and plagiarism check before dissertation review.

Article 24 In principle, the requirement is that the "percentage of duplicate content from previously published literature by the author" shall not exceed 10%. Dissertations with a plagiarism rate exceeding 10% are considered unacceptable. After evaluation by the training department and under the condition that there is no academic misconduct, a half-month period will be provided for revisions. If plagiarism rate of the second plagiarism check still exceeds 10% after revisions or if the specified revision time is exceeded, the academic year may need to be extended. After passing the plagiarism check, the dissertation can proceed to the dissertation review stage.

Chapter 7 Pre-defense of the Dissertation

Article 25 The purpose of the pre-defense of the doctoral dissertation is to examine the completion status of the dissertation, further revise and improve the dissertation, and ensure its quality.

Article 26 Only Ph.D. students who have passed the mid-term assessment and completed the writing of their doctoral dissertations are eligible to apply for participation in the pre-defense of the doctoral dissertation. The pre-defense shall be organized in the form of an open defense, and in principle, it shall be completed one week before the dissertation is submitted for review.

Article 27 The pre-defense examination panel shall consist of at least three peer experts, generally holding senior academic positions or having the qualifications of doctoral supervisors. The doctoral supervisors may serve as members of the examination panel.

Article 28 The pre-defense panel shall conduct a comprehensive, detailed, and thorough review of materials such as the doctoral dissertation proposal, mid-term assessment report, and initial draft of the dissertation. The pre-defense includes:

(1) Dissertation presentation: The Ph.D. students present their dissertation in an open defense format.

(2) Dissertation evaluation: The pre-defense panel evaluates the novelty, academic level, workload, theoretical basis of the theoretical and experimental research, research results, key conclusions, and other aspects of the doctoral dissertation.

(3) Presentation of revision suggestions: The pre-defense panel provides detailed feedback on the shortcomings and issues identified in the doctoral dissertation, along with suggestions for revisions.

Article 29 The results of the pre-defense are graded as pass or fail.

(1) For those who pass the pre-defense, they shall supplement and revise the doctoral dissertation according to the suggestions provided by the experts, explain the modifications made, and then submit the dissertation for review after the supervisor's review.

(2) For those who fail the pre-defense, they must comprehensively revise the doctoral dissertation based on the feedback from the experts. After the supervisor's review and approval, the pre-defense shall be reorganized.

Only those who pass the pre-defense are eligible to apply for the dissertation review stage.

Chapter 8 Bylaw

Article 30 Each discipline group may further standardize and refine the Ph.D. student training program according to these Implementation Rules.

Article 31 Except for the provisions regarding qualification examinations, which will be implemented starting from the 2023 cohort of direct Ph.D. students, all other provisions will be implemented starting from the 2022 cohort of Ph.D. students, with explanations provided by the Department of Education of SIAT.