

Implementation Rules of Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences for Defense and Degree Conferment

Chapter 1 General

Article 1 According to the *Regulations of the People's Republic of China on Academic Degrees* (passed at the 13th meeting of the Standing Committee of the 5th National People's Congress on February 12, 1980, and revised in accordance with the *Decision on Amending the 'Regulations of the People's Republic of China on Academic Degrees'* issued at the 11th meeting of the Standing Committee of the 10th National People's Congress on August 28, 2004), *Interim Measures for the Implementation of the Regulations of the People's Republic of China on Academic Degrees* (formulated by the State Council Academic Degree Committee and approved by the State Council on May 20, 1981), *Organizational Regulations of University of Chinese Academy of Sciences on Academic Degree Evaluation Committees* (XFXW ZI [2023] No. 119) and *Regulations of the Academic Degree Evaluation Committee of Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences* (SYJF [2023] No. 49), in combination with the actual situation of the Chinese Academy of Sciences Shenzhen Advanced Technology Research Institute (SIAT), these Implementation Rules are hereby formulated.

Article 2 Under the authorization of the State Council Academic Degree Committee and the Ministry of Education, the University of Chinese Academy of Sciences (UCAS) grants qualified degree applicants with master's and doctor's degrees according to disciplines and specialties.

Article 3 These Rules are applicable to the degree conferment of graduate students enrolled by the UCAS in accordance with the national enrollment plan and studying for master's and doctoral degrees in the SIAT (hereinafter referred to as "master's student and Ph.D. student"). The UCAS implements the system of "unified award and hierarchical management". With the approval of the Degree Evaluation Committee of the UCAS, the Degree Evaluation Committee of the SIAT conducts the preliminary examination of the award of graduate students.

Article 4 Any degree applicant who supports the *Constitution of the People's Republic of China*, the socialist system, abides by laws and regulations, possesses patriotism, social responsibility, good scientific ethics and spirit, and has the prescribed academic level may apply to the UCAS for the corresponding degree in accordance with the relevant provisions of these Rules.

Article 5 After applying for a degree at the SIAT, degree applicants are not allowed to apply for the same degree from other degree granting units simultaneously.

Article 6 The Degree Evaluation Committee of the SIAT should organize a dedicated person to review the ideological and political performance of degree applicants and provide specific review comments.

Article 7 Before the degree applicant submits the dissertation defense, the scientific research achievements they should obtain (such as published papers, patents, monographs, and other evaluated research achievements) must meet the relevant system of research achievement requirements formulated by the working groups of various disciplines of the SIAT.

Article 8 All students who apply for the degree of the UCAS must byline "University of Chinese Academy of Sciences" for their valid scientific research achievements (excluding patents and awards), otherwise their degree applications will not be accepted. The byline requirements for patents, awards, and scientific research achievements obtained before February 23, 2017 shall be recognized by the Degree Evaluation Committee of the SIAT when students apply for degrees.

Chapter 2 Master's Degree

Article 9 Applicants for a master's degree must complete the required courses, required processes, and dissertation defense as stipulated in the master's graduate student program for their respective disciplines. Those who pass the exams and meet the following academic standards can apply for a master's degree:

(I) Those who have a solid grasp of basic theories, systematic specialized knowledge, advanced technical methods, and means in their respective disciplines;

(II) Those who have the ability to engage in scientific research or independently undertake specialized technical work.

Article 10 Course requirements for a master's degree

(I) Marxist theory course: mastery of the basic theories of Marxism;

(II) Basic theoretical courses and professional courses: mastery of solid basic theories and systematic specialized knowledge;

(III) Foreign language: one course, requiring proficiency in reading foreign language materials related to the major, and possessing general listening, speaking, and writing abilities.

Article 11 Master's dissertation requirements

(I) The dissertation must be a systematic and complete academic paper, following established academic norms and requirements. It must not only comply with the formal norms of the dissertation, but also meet the quality standards of the dissertation. The dissertation should be a research result independently completed by the graduate student under the guidance of the supervisor, and must not plagiarize the work of others.

(II) The topic of the master's dissertation should be an important field of the discipline, with certain theoretical significance or application value; and there should be a certain degree of innovation in theory or methods, which solves an important problem in science or production practice, achieves important research results, and has good social benefits or application prospects.

(III) The master's dissertation shall be written in accordance with the *Regulations of Graduate Students on Writing Master's Dissertation of University of Chinese Academy of Sciences*. The word count of the dissertation shall be 30,000-40,000 words.

Article 12 Master's degree defense application

(I) Master's degree applicants who meet the above qualification requirements may submit a master's dissertation defense application to the Degree Evaluation Committee of the SIAT within the prescribed time, and also submit the following materials:

1. Application for dissertation defense;
2. Dissertations that meet the specific requirements for writing dissertations formulated by the *Guiding Comments of University of Chinese Academy of Sciences on Writing Standards for Graduate Student Dissertations* and the Degrees Evaluation Sub-committee of related disciplines;
3. A photocopy of an officially published dissertation, a copy of an dissertation accepted for publication (with a formal acceptance letter signed by the supervisor), or other relevant academic achievement proof materials obtained;
4. Detailed abstracts in both Chinese and English for the dissertation.

(II) Graduate students applying for a master's degree should undergo qualification review by their center, research institute, discipline group, etc., and submit to the Degree Evaluation Committee of the SIAT for review.

Article 13 Master's dissertation review

(I) All dissertations applying for a master's degree will undergo blind review, and the composition of dissertation reviewers will be recommended by the degree applicant's supervisor and reviewed by the Degree Evaluation Committee of the SIAT. The supervisor of the degree applicant cannot serve as a reviewer. Reviewers should write detailed academic comments on the dissertation and provide clear comments on whether the dissertation defense can be organized for reference by the dissertation defense committee.

(II) The application for a master's dissertation should be reviewed by at least three peer experts, who should hold senior (or equivalent) professional and technical positions or have the qualifications of a master's student's supervisor. At least one

expert from another organization should be included. There should be at least one expert from the industry or enterprise among the reviewers of dissertations.

(III) The degree applicant must respond to the revision comments on the dissertation review item by item, and make necessary modifications and supplements to the dissertation.

(IV) If one reviewer disagrees with the defense during the dissertation review process, two additional reviewers should be hired for review. Where there are two or more reviewers who disagree with the defense, the dissertation will not be allowed to enter the defense stage, and this degree application will be invalid.

Article 14 Master's dissertation defense

The composition of the dissertation defense committee is reviewed and approved by the Degree Evaluation Committee of the SIAT. In the defense organized after the implementation of these Rules, the supervisor of the respondent cannot serve as a member of the defense committee and should be avoided during the evaluation stage.

The master's dissertation defense committee should be composed of at least three peer experts, with an odd total number of members. The members of the defense committee should be experts with senior (or equivalent) professional and technical positions or experts with qualifications as master's student's supervisors. The members should generally include experts from their own unit and at least one expert from another unit. At least one expert from an industry or enterprise should be included for a master's degree.

If the master's dissertation defense is not passed, with the consent of more than half of the members of the defense committee, a resolution can be made to revise the thesis and re defend it within six months to one year. If the defense committee does not make a decision to revise the dissertation and hold a new defense, or if the applicant fails to complete the dissertation revision within the deadline, or if the new defense still fails, their degree application will generally not be accepted.

Chapter 3 Doctoral Degree

Article 15 Applicants for a doctoral degree must complete the required courses, required processes, and dissertation defense as stipulated in the doctoral student program for their respective disciplines. Those who have reached the following academic levels can apply for a doctoral degree:

(I) Mastering solid and broad basic theories and systematic and in-depth specialized knowledge in their respective disciplines;

(II) Having the ability to independently engage in scientific research work;

(III) Making creative achievements in science or specialized technology.

Article 16 Course requirements for a doctoral degree

(I) Marxist theory course: a good mastery of the basic theories of Marxism;

(II) Basic theoretical courses and professional courses: mastery of solid and broad basic theories and in-depth systematic specialized knowledge;

(III) Foreign language: at least one foreign language should be mastered, and the first foreign language requirement is to be able to proficiently read foreign language materials of the major, and have certain listening, speaking, and writing abilities.

Article 17 Doctoral dissertation requirements

(I) The dissertation must be a systematic and complete academic paper, following established academic norms and requirements. It must not only comply with the formal norms of the dissertation, but also meet the quality standards of the dissertation. The dissertation should be a research result independently completed by the graduate student under the guidance of the supervisor, and must not plagiarize the work of others.

(II) The topic of the doctoral dissertation should be a frontier field of the discipline, with certain theoretical significance or application value; and there should be great innovation in theory or methods, which solves an important problem in science or production practice, achieves breakthrough research results, and has important social benefits or application prospects.

(III) The doctoral dissertation shall be written in accordance with the *Regulations Of Graduate Students on Writing Master 's Dissertation of University of Chinese Academy of Sciences*. The word count of the dissertation shall be 50,000- 80,000 words.

Article 18 Doctoral degree defense application

(I) Doctoral degree applicants who meet the above qualification requirements may submit a doctoral dissertation defense application to the Degree Evaluation Committee of the SIAT within the prescribed time, and also submit the following materials:

1. Application for dissertation defense;
2. Dissertations that meet the specific requirements for writing dissertations formulated by the *Guiding Comments of University of Chinese Academy of Sciences on Writing Standards for Graduate Student Dissertations* and the Degrees Evaluation Sub-committee of related disciplines;
3. A photocopy of an officially published dissertation, a copy of an dissertation accepted for publication (with a formal acceptance letter signed by the supervisor), or other relevant academic achievement proof materials obtained;
4. Detailed abstracts in both Chinese and English for the dissertation.

(II) Graduate students applying for a doctoral degree should undergo qualification review by their center, research institute, discipline group, etc., and submit to the Degree Evaluation Committee of the SIAT for review.

Article 19 Doctoral dissertation review

(I) All dissertations applying for a doctoral degree will undergo blind review, and the composition of dissertation reviewers will be recommended by the degree applicant's supervisor and reviewed by the Degree Evaluation Committee of the SIAT. The supervisor of the degree applicant cannot serve as a reviewer. Reviewers should write detailed academic comments on the dissertation and provide clear comments on whether the dissertation defense can be organized for reference by the dissertation defense committee.

(II) The application for a doctoral dissertation should be reviewed by at least five peer experts, who should hold senior (or equivalent) professional and technical positions or have the qualifications of a Ph.D. student's supervisor. At least two experts from another organization should be included. There should be at least one expert from the industry or enterprise among the reviewers of dissertations.

(III) The degree applicant must respond to the revision comments on the dissertation review item by item, and make necessary modifications and supplements to the dissertation.

(IV) If one reviewer disagrees with the defense during the dissertation review process, two additional reviewers should be hired for review. Where there are two or more reviewers who disagree with the defense, the dissertation will not be allowed to enter the defense stage, and this degree application will be invalid.

Article 20 Doctoral dissertation defense

The composition of the dissertation defense committee is reviewed and approved by the Degree Evaluation Committee of the SIAT. In the defense organized after the implementation of these Rules, the supervisor of the respondent cannot serve as a member of the defense committee and should be avoided during the evaluation stage.

The doctoral dissertation defense committee should be composed of at least five peer experts, with an odd total number of members. The members of the defense committee should be experts with senior (or equivalent) professional and technical positions or peer experts with doctoral supervisor qualification. The president of the defense committee should have the qualification of a doctoral supervisor, and the number of Ph.D. student's supervisors among the members should generally not be less than two-thirds, and should include experts from their own unit and at least two experts from other units. At least two experts from an industry or enterprise should be included for a doctoral degree.

If the doctoral dissertation defense is not passed, with the consent of more than half of the members of the defense committee, a resolution can be made to revise the thesis and re defend it within six months to two years. If the defense committee does not make a decision to revise the dissertation and hold a new defense, or if the applicant fails to complete the dissertation revision within the deadline, or if the new defense still fails, their degree application will generally not be accepted.

Chapter 4 Dissertation defense procedure

Article 21 The defense committee shall appoint one secretary. The secretary of the defense committee should be a responsible, conscientious, and graduate degree holder or a senior graduate student. The secretary of the defense committee participates in the entire defense process and objectively and in detail records the questions raised by the defense committee, the responses of the respondent, and the resolutions of the defense committee during the defense process. The secretary of the defense committee does not have voting rights.

Article 22 Dissertation defense should generally be held publicly according to the procedure. The Degree Evaluation Committee of the SIAT authorizes relevant personnel (such as the defense supervisor or defense secretary) to introduce the composition of the defense committee members, and the president of the defense committee presides over the defense meeting. The agenda of the defense meeting:

(I) The president of the defense committee announces the meeting;

(II) The degree applicant reports their dissertations; master's students generally take 20 minutes, while Ph.D. students take 30 minutes (the defense committee may propose higher requirements);

(III) Members of the defense committee and attendees ask questions, and degree applicants answer questions; master's students generally take 10 minutes, while Ph.D. students take 20 minutes (the defense committee may propose higher requirements);

(IV) After the completion of the degree applicant's defense, the degree applicant's supervisor can provide supplementary explanations on the dissertation and the questions raised in the defense;

(V) The defense meeting will be adjourned, and the degree applicants and attendees will leave;

(VI) The defense committee shall hold a plenary meeting, and the defense supervisor and educational management personnel may attend as non-voting members. The agenda is as follows:

1. The supervisor of the degree applicant will introduce the applicant's basic information, academic performance, scientific research achievements, and other issues that need to be explained to the defense committee;

2. The defense committee will conduct a comprehensive evaluation based on the reviewers' comments on the dissertation, the level achieved, and the defense situation, to evaluate whether the degree applicant's dissertation meets the academic level required for the applied degree;

3. The defense committee shall vote by secret ballot, and only with the consent of two-thirds or more of the members of the defense committee can a resolution be made to recommend granting a master's or doctoral degree to the degree applicant;

4. The members of the defense committee should fill in the situation of the thesis defense and the degree award resolution, and the members of the defense committee should sign their names on the degree award resolution.

(VII) The defense meeting resumes, the president of the defense committee announces the resolution of the defense committee, the degree applicant speaks, and the defense meeting ends.

Article 23 The members of the dissertation defense committee should attend the defense meeting and the defense committee meeting throughout the entire process, and fulfill their duties according to the corresponding procedures.

Chapter 5 Application for Master's Degree by Combined Master and Doctoral Students and Direct Ph.D. Students

Article 24 After transferring from a combined master and doctoral student to a Ph.D. student for two years, if a direct Ph.D. student does not meet the requirements for doctoral training after four years of enrollment and is unable to complete their doctoral dissertation within the longest duration of study, the student may apply to terminate the doctoral student training plan. With the consent of my supervisor, the student will apply for a master's degree in accordance with the specific requirements for graduate training after obtaining approval from the Degree Evaluation Committee of the SIAT.

Article 25 The doctoral dissertation defense committee believes that although the doctoral dissertation of the doctoral degree applicant has not reached the level of a doctoral dissertation, it has already reached the level of a master's dissertation, and may make a decision to recommend granting a master's degree. The applicant must resubmit their master's dissertation and related application materials in accordance with the requirements for applying for a master's degree, and submit them to the Degree Evaluation Committee of the SIAT.

Article 26 If the doctoral dissertation defense committee has made a resolution that the doctoral dissertation defense has been approved, and the applicant has obtained a doctoral graduation certificate, then the applicant cannot apply for a master's degree again.

Chapter 6 Degree Preliminary Review

Article 27 The Department of Education will submit the following materials of master's and doctoral degree applicants who have passed the dissertation defense to the Degree Evaluation Committee of the SIAT for review:

- (I) Application for dissertation defense;
- (II) Dissertation evaluation;
- (III) Status of dissertation defense and the degree award resolution;
- (IV) Dissertation and abstract.

Article 28 The Degree Evaluation Committee of the SIAT shall conduct a comprehensive review and evaluation of degree applicants; and vote by anonymous ballot on whether to agree to confer the corresponding degree, and with the consent of more than half of all members, make a resolution to propose to confer the corresponding degree.

Article 29 The Department of Education shall, within the prescribed time, submit to the Degree Office of the UCAS a list of proposed degree recipients with the official seal of the Degree Evaluation Committee of the SIAT and their electronic information on their degrees.

Chapter 7 Degree Awarding

Article 30 The discipline group degree evaluation sub-committee of the UCAS and the Degree Evaluation Committee of the UCAS are responsible for reviewing the list of master's and doctoral degrees awarded.

Article 31 The list of degree recipients shall be published by the university's degree evaluation committee in a document. The date of degree award is the final decision made by the university's Degree Evaluation Committee to approve the degree award.

Article 32 Deferment of a degree application

(I) Deferment of a degree refers to the decision made by the Degree Evaluation Committee of the SIAT, based on thorough discussion, to suspend the degree application of degree applicants and provide detailed reasons for the suspension in the suspension resolution.

(II) The maximum probation period for a doctoral degree is two years, and the maximum probation period for a master's degree is one year, calculated on a calendar year basis. The deferment applicant can reapply for a degree within the longest probation period, and reapplying for a degree is limited to one time only. Failure to do so will result in automatic abandonment of the application.

(III) According to the resolution of deferment, those who need to re defend their dissertations should follow the procedures and requirements for degree application and review.

(IV) The Degree Evaluation Committee of the SIAT shall conduct a key review item by item for those who have applied for a degree again after deferment, in accordance with the requirements of the deferment resolution. After anonymous voting, a recommendation on whether to grant a degree shall be made and submitted to the higher-level Degree Evaluation Committee for approval.

Article 33 Revocation of degree

(I) For those who have been awarded degrees, if they are found to have obtained admission qualifications or student status in violation of the national enrollment regulations, or obtained degree certificates by cheating, plagiarism, plagiarism or other improper means, or they do not meet the provisions of the Rules of University of Chinese Academy of Sciences for University Degree Granting when applying for degrees, after deliberation by the Degree Evaluation Committee of the SIAT and anonymous voting, with the consent of more than half of all members, a recommendation to revoke the degree resolution can be made.

(II) The Degree Evaluation Committee of the UCAS is the final decision-making body for revocation of degrees. For revoked degrees, the university shall cancel their degree information and report to the education administrative department to declare their degree certificates invalid.

(III) Before making a decision to revoke the degree, the students involved should be informed of potential consequences and have the right to make statements and defend themselves.

(IV) The document revoking the degree decision shall be directly delivered by the Department of Education to the party concerned and signed for by the individual. For those who refuse to receive or cannot receive due to special circumstances, or have already left the university, they can be delivered by post or mail, or by announcement on the university's website, news media, etc.

Article 34 Handling of objections to degree granting

(I) Those who have objections to the process and results of degree awarding may appeal within three months of the decision on degree awarding, and will not be accepted after the deadline; appeals must be submitted in writing under real name, and anonymous appeals will not be accepted.

(II) The Secretariat Division of the Degree Evaluation Committee of the SIAT, as the daily handling body for accepting objections, must report to the Degree Evaluation Committee of the unit within 10 working days of receiving an appeal. The Degree Evaluation Committee of the SIAT shall establish an expert investigation team to investigate and verify the nature and severity of the problem, propose handling comments, and submit them to the Degree Evaluation Committee of the unit for review. The decision made by the Degree Evaluation Committee of the SIAT shall be feedback in writing to the appellant level by level within 30 working days of making the decision.

If the appellant has objections to the handling results, they may submit a written appeal to the higher-level Degree Evaluation Committee within 30 working days of receiving the written decision. If the deadline is exceeded, the appeal will not be accepted. If the appellant's submission time exceeds the meeting time of the Degree Evaluation Committee, it shall be submitted for review at the next meeting of the Degree Evaluation Committee. The conclusion after being reviewed and recognized by the Degree Evaluation Committee of the UCAS will no longer be reconsidered. The execution of the decision shall not be suspended during the appeal period.

Chapter 8 Honorary Doctoral Degree

Article 35 For outstanding scholars or renowned social activists both domestically and internationally, according to relevant regulations, recommended by the Degree Evaluation Committee of the SIAT, deliberated and approved by the Degree Evaluation Committee of the UCAS, and approved by the State Council Academic Degree Committee, an honorary doctoral degree of the UCAS can be awarded.

Chapter 9 Miscellaneous

Article 36 Foreign students studying at the SIAT and Hong Kong, Macao, and Taiwan personnel applying for degrees shall follow these Rules.

Article 37 The interpretation of these Rules belongs to the Director Office Meeting and is the responsibility of the Degree Evaluation Committee of the SIAT.

Article 38 These Rules shall come into effect on September 1, 2023. The original *Implementation Measures of Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences for Rules of Degree Awarding* (adopted at the second meeting of the first Academic Degree Evaluation Committee on November 26, 2010), and the *Regulations of Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences on Dissertation Defense Qualification* (SYRJ ZI [2016] No. 14) shall be repealed simultaneously.