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

Chapter 1 General

Article 1　In order to further strengthen and standardize the management of the master's graduate student (master's student) training process, promote the quality assurance of master's dissertations and the construction of supervision systems, and continuously improve the education quality of master's students, these Implementation Rules are formulated according to the *Regulations of the University of Chinese Academy of Sciences on Strengthening the Quality Control of Academic Degree Master 's Student Training Process* (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 master's students dissertation for key training processes such as dissertation proposals, mid-term assessments, academic presentations and social practices, dissertation format reviews, and dissertation plagiarism checks.

Article 3　Master's student 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 Implementation Rules apply to master's students enrolled at the University of Chinese Academy of Sciences and undergoing education at SIAT. Joint training program graduate students and interns shall follow the relevant regulations of their home institution regarding their student status.

Chapter 2 Dissertation Proposal

Article 5   Master's students are generally required to complete their dissertation proposals before the end of the third semester after enrollment; the interval between the dissertation proposal and the dissertation defense is generally not less than one year.

Article 6   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 10 minutes and a question session of 10 minutes with experts. Higher requirements may be imposed by each discipline as appropriate.

Article 7   The dissertation proposal examination panel of master's students shall consist of at least three peer experts, generally experts with senior and deputy senior (or equivalent) professional and technical positions or experts qualified to supervise master's students.

Article 8   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 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 9   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 3 Mid-term Assessment

Article 10 The mid-term assessment for master's 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 11 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 and dissertation writing, arrangements for subsequent research, and expected progress. The public defense shall include a presentation of at least 10 minutes and a question session of 10 minutes with experts. Higher requirements may be imposed by each discipline as appropriate.

Article 12 The mid-term examination panel of master's students shall consist of at least three peer experts, generally experts with senior and deputy senior (or equivalent) professional and technical positions or experts qualified to supervise master's students.

Article 13 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 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 14 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 master's degree shall be transferred early.

Chapter 4 Academic Presentations and Social Practices

Article 15 In order to encourage master's students to actively follow and understand the latest developments in their discipline at home and abroad, broaden their horizons, and inspire creativity, master's students must attend at least five academic presentation conferences and at least one type of relevant social practice during their period of study.

Article 16 Participation in academic presentations and social practices by master's student meets the specific requirements of the training program, allowing them to obtain 2 credits for compulsory courses.

Article 17 Participation in academic presentations and social practices by master's 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 5 Format Review and Plagiarism Check for Dissertations

Article 18 Except for cases with confidentiality requirements, all graduate student dissertations applying for defense shall undergo format review and plagiarism check before dissertation review.

Article 19 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 6 Pre-defense of the Dissertation

Article 20 The purpose of the pre-defense of the master's dissertation is to examine the completion status of the master's dissertation, further revise and improve the dissertation, and ensure its quality. It is encouraged and advocated that master's students conduct pre-defense of their dissertation, and each training department organizes it independently according to actual conditions.

Article 21 Only master's students who have passed the mid-term assessment and completed the writing of their master's dissertations are eligible to apply for participation in the pre-defense of the master's dissertation. Pre-defense can be conducted in the form of written evaluation or committee review (public defense), and it is recommended to arrange it before the dissertation is submitted for review or before the formal dissertation defense.

Article 22   The pre-defense examination panel shall consist of at least three peer experts, generally holding senior and deputy senior academic positions or having the qualifications of master's supervisors. The master's supervisors may serve as members of the examination panel.

Article 23   The pre-defense panel shall conduct a comprehensive, detailed, and thorough review of materials such as the master's dissertation proposal, mid-term assessment report, and initial draft of the dissertation. The pre-defense includes:

（1）   Dissertation presentation: The master's 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 master's dissertation.

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

Article 24 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 master's 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 master's 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 and defense stages.

Chapter 7 Bylaw

Article 25 Each discipline group may further standardize and refine the master's student training program according to these Implementation Rules.

Article 26 These Implementation Rules shall be implemented from the enrollment of the 2022 master's students and shall be interpreted by the Department of Education of the SIAT.