

西南交通大学

留学研究生培养手册

Southwest Jiaotong University

Handbook of Study and Research for International Postgraduates

研究生院

Graduate School

2019

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(English Version)

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English Version

About Southwest Jiaotong University

Southwest Jiaotong University (SWJTU) was founded in 1896. It was originally named Imperial Chinese Railway College, and later called Tangshan Jiaotong University and then Tangshan Railway Institute. SWJTU is one of the earliest universities in China, known as “the Cradle for the Chinese Railway Engineers” and “East Cornell”. Through the centuries, SWJTU has developed into a key national multi-disciplinary university, with focus on engineering and a distinct specialty in rail transportation. Its three sprawling campuses, Jiuli, Xipu and Emei, cover a total area of 5,000 acres.

SWJTU owns a complete Bachelor-Master-Doctor cultivation system, with 26 schools, 39 master programs, 9 doctoral programs and 11 post-doctoral stations. Nowadays it has 2,600 faculty members, among whom 4 are academicians of the Chinese Academy of Science (CAS), 8 are academicians of the Chinese Academy of Engineering (CAE), and 1,200 are professors and associate professors. In addition, approximately 40 CAS and CAE academicians are employed as part-time professors.

In recent years, SWJTU has been promoting international exchanges and cooperation. It has set up various exchange programs with over 166 universities and institutes in 54 countries and regions, attracting approximately 1,000 international undergraduates or postgraduate students pursuing their study.

Our Motto:

Cultivate talents to rejuvenate the Nation and strive unceasingly

Our Tradition:

Conscientious in Studies and Stringent in Qualifications

Introduction to the Graduate School

The SWJTU Graduate School aims to promote a distinguished postgraduate educational experience, celebrate the achievements of postgraduates, provide valuable resources and supportive environments, and diversify professional programs. As it takes on an important role in providing instruction and guidance to the study and research of postgraduates, the SWJTU Graduate School adheres to the strategy of offering improved services for all postgraduates and the faculty members.

Contact Us

Admission Office (only for Chinese students)

Admission Inquiries: 028- 66367561

Office of Provost

Course and Transcript Inquiries: 028-66367296

Degree Office

Dissertation Inquiries: 028-66367155

Professional Degree Office

Professional Degree Inquiries: 028-66367235

Discipline Center

Discipline Inquires: 028-66367232

Administration Office

General Inquiries: 028-66366293

You may download detailed information regarding the International Postgraduates education.

Please log on to the Graduate School website, <http://gsnews.swjtu.edu.cn/>.

The University reserves the right to change its policies, rules, regulations, graduation requirements, course offerings, and any other contents in this handbook at any time.

Study and Research Instructions to International Students for Master Degree

1. Introduction

1.1 Period of Study

An international student for Master Degree is reasonably expected to complete his/her full-time study within three years. The maximum length of registration for full-time studies is typically four years.

※ Program students should follow the rules that the program requires.

1.2 Timetable of Study

Every academic year consists of two semesters; the first semester is generally from September each year to January of the following year and the second semester is generally from March to July of the following year.

Following is a general outline of the timetable of study:

Year 1 (semester 1 to 2): Course study

Year 2 –Year 3(semester 3 to 6): Research and Thesis Writing

- a) Thesis proposal (scheduled to be finished before the end of Semester 3)
- b) Thesis work plan and thesis writing
- c) Thesis defense (Preliminary review- Review- Defense)

1.3 Journal Publication Requirements

Refer to **Provisions on Publishing the Academic Papers by Graduate Students during the Period of Attendance at Southwest Jiaotong University** for details.

1.4 Chinese Language Proficiency

Students whose programs are taught and assessed in the medium of Chinese should accomplish professional study and research in Chinese. Before graduation those students must pass HSK level 5.

Students whose programs are taught and assessed in the medium of other foreign languages should accomplish professional study and research in the foreign languages. Before graduation those students must pass HSK level 3.

2. Course Study

2.1 Course and Credit Requirements

An international student for Master Degree is required to accomplish the course study and earn at least 27 credits, which include public courses (10 credits), specialized courses (15 credits) and academic & practice training (2 credits).

Public courses are compulsory, including Basic Chinese, Intermediate Chinese, Advanced Chinese (4 credits each) and China Overview (2 credits).

Academic & practice training includes Academic Lectures and Scientific Research Practice, one credit each. For Academic Lectures, a student is required to attend no less than five academic lectures or seminars, fill up the *Registration Card of Participating Academic Lectures*, write a report and submit them to the supervisor; For Scientific Research Practice, a student should do some research practice and fill up *The Report on Scientific Research Practice* and submit it to the supervisor. (For this part, the exact requirement varies among schools.)

※ Students whose major is concerned with Chinese or translation should follow specific requirements of programs of the School of Foreign Language.

Course	Credit	Semester	Credit Requirement
Basic Chinese	4	I	≥8
Intermediate Chinese	4	II	
Advanced Chinese	4	II	
China Overview	2	I / II	2
Academic Lectures	1	II	1
Scientific Research Practice	1	II	1

Students will be divided into different class of Chinese courses according to their level of Chinese.

2.2 Course Registration and Procedures

A personal course schedule and the course selection are completed within the first three weeks of semester 1 with the guidance of the supervisor. The course selection of semester 2 is normally completed in the first two weeks of semester 2. Any attempt to alter the course schedule should be approved by the supervisor.

*A student is suggested to ask the supervisor to introduce a fellow Chinese student to assist in selecting courses.

2.2.1 Procedure for Course Registration

Step One

Draw up a course schedule by selecting courses after consulting the curriculum list with your supervisor.

Step Two

Log in the Student Number and password (which is the same as the student number) in the Graduate School website, use the appropriate registration app and click to choose the courses in the course schedule.

Note: 1. If a student wants to apply for public course exemption, he/she just needs to complete step one i.e. a student just select the course into the schedule and should not register the course.(read 2.3 for instructions to course exemption)

2. Those who fail the course selection and miss the deadline should fill up the *Application Form for Course Alterations* and submit it to the Office of Provost of the Graduate School. Course alteration application is generally not accepted after Week 6.

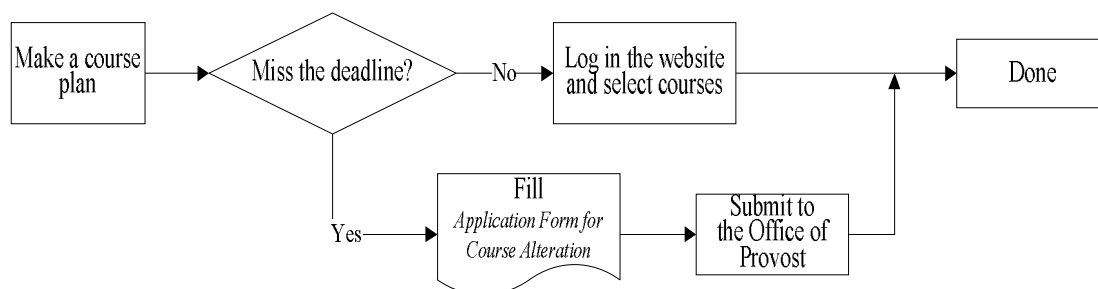


Chart 2-1 Procedure for selecting courses

2.2.2 Procedure for Dropping Courses

Step One

Log in the Student Number and password in the Graduate School website and select the appropriate registration application. Click to drop the course from the list of registered courses.

Step Two

Click to drop the course from the course schedule.

Note: Those who fail to drop courses before the deadline should fill up the *Application Form for Course Alterations* and submit it to the Office of Provost. Course alteration application is generally not accepted after Week 6.

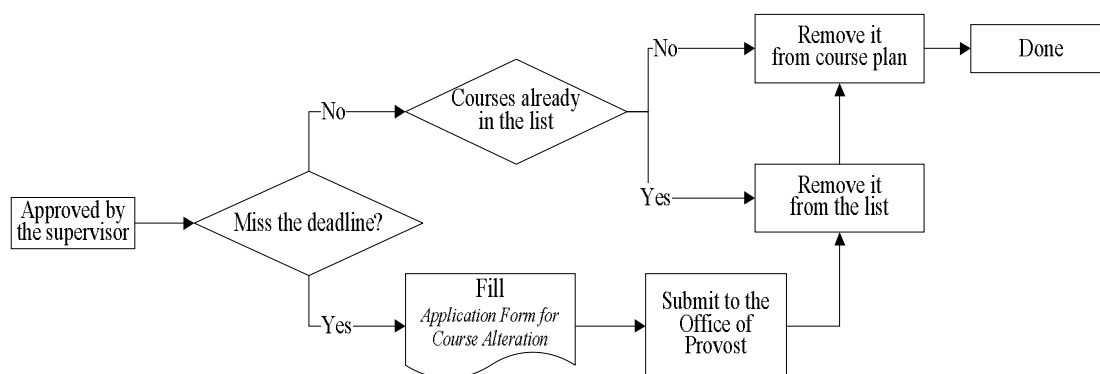


Chart 2-2 Procedure for dropping courses

2.3 Instructions to Course Exemption

A student who qualifies can apply for course exemption on line.

Course	Qualifications for Course Exemption
Basic Chinese	1. Having obtained the credit of the similar course; 2. Having passed HSK Level 3;
Intermediate Chinese	1. Having obtained the credit of the similar course; 2. Having passed HSK Level 4;
Advanced Chinese	1. Having obtained the credit of the similar course; 2. Having passed HSK Level 5;
China Overview	1. Having obtained the credit of the same course

Step One

Log onto the Graduate School website and select the appropriate application. Click to apply for course exemption.

Step Two

The course teacher will check the application for course exemption. If approved, the student will get “M” (that means exemption) in his/her transcript instead of specific scores.

3. Thesis and Defense

Overseas students can write thesis in English but its abstract must be written in Chinese. However, our university encourages overseas students to write Thesis in Chinese.

3.1 Thesis Proposal

The student should meet all the school requirements prior to the submission of *SWJTU Thesis or Dissertation Proposal*. The proposal should be finished before the end of semester 3, and presented according to the school schedule. Approval of the proposal is required to continue with

the thesis writing and research.

Application Procedure for the thesis proposal:

Step One

Choose a thesis topic and discuss it with your supervisor.

Step Two

Download the *SWJTU Thesis or Dissertation Proposal* and *Thesis/Dissertation Research Work Plan*.

Step Three

Obtain the necessary signatures.

Step Four

Submit the *SWJTU Thesis or Dissertation Proposal* and *Thesis/Dissertation Research Work Plan* to the school coordinator.

The thesis is supervised throughout its preparation by the student's supervisor. The international student is advised to follow the schedule of the thesis.

3.2 Thesis Defense

After passing all required courses and earning the required credits in the period of study, a student can request a Master defense under his/her supervisor's approval.

3.2.1 Basic Requirements for Master Thesis

- a) The main subject and conclusion of the thesis should display somewhat theoretical or practical contribution to academic knowledge or the construction of the national economy.
- b) The thesis should exhibit the student's mastery of theoretical methodology and professional skills.
- c) The thesis should demonstrate a new idea, indicating that the student can conduct scientific research or technical work independently.

3.2.2 Thesis Defense Process

Step One

Once a manuscript of the thesis is approved by his/her supervisor, the student may go to the website, <http://202.115.72.10/>, to apply a Citation Check for the thesis. A *Citation Check Report of Thesis/Dissertation* will be provided by the University Library. According to the regulation, a citation rate of less than 30% applies to the thesis of an international postgraduate student in Arts (e.g., management or human sciences); a citation rate of less than 25% applies to the thesis of an international postgraduate student in Sciences.

Telephone Number of Citation Office: 028-87634142(Jiuli)
028-66366221(Xipu) 028-66367935(Xipu)

* Specific requirements on the citation rate may vary among schools.

Step Two

Based on *the Citation Check Report of Thesis/Dissertation* from the Library, the student may download and complete the form *Statement for Citation Check Report of Thesis or Dissertation*. Other documents required by the school should be submitted before a thesis review.

Step Three

To prepare for the thesis review and defense, the student may download the file, *Materials of International Master Defense*, which contains the following:

- a) *File Checklist (to be completed by the secretary of the Defense Committee)*
- b) *Approval of Master's Thesis Defense Committee Members*
- c) *Application for Master Degree (printed in double-face)*
- d) *Minutes of Master Defense (printed in double-face)*
- e) *Academic Assessment of Reviewer on Master Thesis (two copies printed in double-face)*
- f) *File Notes (completed by the secretary of the Defense Committee)*
- g) *Procedure of Postgraduate Degree Defense*
- h) *SWJTU Personnel Information Form of Postgraduate for Master Degree (two copies printed in double-face)*

Step Four

The student is required to submit bound copies of the thesis and materials listed in step three to the school coordinator, in preparation for the thesis defense according to the schedule of the school.

3.2.3 Leaving Process

After passing the thesis defense, the student should obtain the *Leaving Process Sheet* from the International Affairs Office. Completing all the procedures in the *Leaving Process Sheet*, the student could obtain a graduation certificate and a degree certificate from School of International Education.

Study and Research Instructions to International Students for Doctoral Degree

1. Introduction

1.1 Period of Study

An international student for Doctoral Degree is expected to complete his/her full-time study within four years. The maximum length of registration for full-time studies is typically six years. Any exception to this requirement must be approved by his/her supervisor, the school, and the International Affairs Office. Normally, at least one and a half years of study and research should be carried out at the University. The tests of the main courses and thesis defense should be accomplished as well.

※ Program students should follow the rules that the program requires.

1.2 Timetable of Study

Every academic year consists of two semesters; the first semester is generally from September each year to January of the following year and the second semester is generally from March to July of the following year.

Following is a general outline of the timetable of study:

Year 1 (semester 1 to 2): Course study

Year 2 (semester 3 to 4): Preliminary work of dissertation

- a) Dissertation proposal (scheduled to be finished ahead of semester 3)
- b) Dissertation writing plan

Year 3 (semester 5 to 6): Interim report of dissertation

- a) Finish the interim report in semester 5.
- b) Draft the bulk of the dissertation.

Year 4 (semester 7 to 8): Dissertation defense

- a) Write up the dissertation and discuss it with the supervisor to specify any addition or revision.
- b) Preliminary review (lasting one month) permitted by the supervisor; application for preliminary review should be at least three months ahead of the defense
- c) Peer review (lasting no more than two months, organized by the Degree Office)
- d) Defense (one-week materials preparation)

1.3 Journal Publication Requirements

Published articles are expected to be written in either Chinese or English. Exceptions require strong scholarly justification and certifications from experts in related fields for its translated version in Chinese.

Refer to **Provisions on Publishing the Academic Papers by Graduate Students during the Period of Attendance at Southwest Jiaotong University** for details.

1.4 Chinese Language Proficiency

Students whose programs are taught and assessed in the medium of Chinese should accomplish professional study and research in Chinese. Before graduation those students must pass HSK level 5.

Students whose programs are taught and assessed in the medium of other foreign languages should accomplish professional study and research in the foreign languages. Before graduation those students must pass HSK level 3.

2. Course Study

2.1 Course and Credit Requirements

An international student for Doctoral Degree should accomplish the course study and earn at least 20 credits, which include public courses (10 credits), specialized courses (7 credits) and academic training (3 credits).

Public courses are compulsory, including Basic Chinese, Intermediate Chinese, Advanced Chinese (4 credits each) and China Overview (2 credits).

Academic training includes Academic Lectures (1 credit) and Frontier Academic Seminars (2 credits). For *Academic Lectures*, a student is required to attend no less than eight academic lectures, at least one of which is delivered by the student himself. The Attendance Form of Academic Lectures should be filled up. The written report or outline of the lecture delivered by the student is submitted to the supervisor. For *Frontier Academic Seminars*, a student is also required to attend at least four seminars, each with 4 to 10 hours. (For this part, the exact requirement varies among schools.)

Course	Credit	Semester	Credit Requirement
Basic Chinese	4	I	≥8
Intermediate Chinese	4	II	
Advanced Chinese	4	II	
China Overview	2	I / II	2
Academic Lectures	1	II	1
Frontier Academic Seminars	2	II	2

Students will be divided into different class of Chinese courses according to their level of Chinese.

2.2 Course Registration and Procedures

A personal course schedule and the course selection are completed within the first three weeks of semester 1 with the guidance of the supervisor. The course selection of semester 2 is normally completed in the first two weeks of semester 2. Any attempt to alter the course schedule should be approved by the supervisor.

*A student is suggested to ask the supervisor to introduce a fellow Chinese student to assist in selecting courses.

2.2.1 Procedure for Course Registration

Step One

Draw up a course schedule by selecting courses after consulting the curriculum list with your supervisor.

Step Two

Log in the Student Number and password in the Graduate School website, use the appropriate registration app and click to choose the courses in the course schedule.

Note: 1. If a student wants to apply for public course exemption, he/she just needs to complete step one i.e. a student just select the course into the schedule and should not register the course.(read 2.3 for instructions to course exemption)

2. Those who fail the course selection and miss the deadline should fill up the *Application Form for Course Alterations* and submit it to the Office of Provost of the Graduate School. Course alteration application is generally not accepted after Week 6.

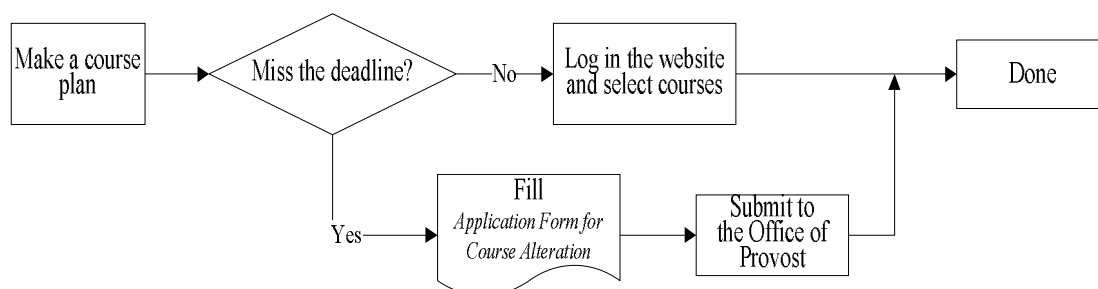


Chart 2-1 Procedure for selecting courses

2.2.2 Procedure for Dropping Courses

Step One

Log in the Student Number and password in the Graduate School website and select the appropriate registration application. Click to drop the course from the list of registered courses.

Step Two

Click to drop the course from the course schedule.

Note: Those who fail to drop courses before the deadline should fill up the Application Form for Course Alterations and submit it to the Office of Provost. Course alteration application is generally not accepted after Week 6.

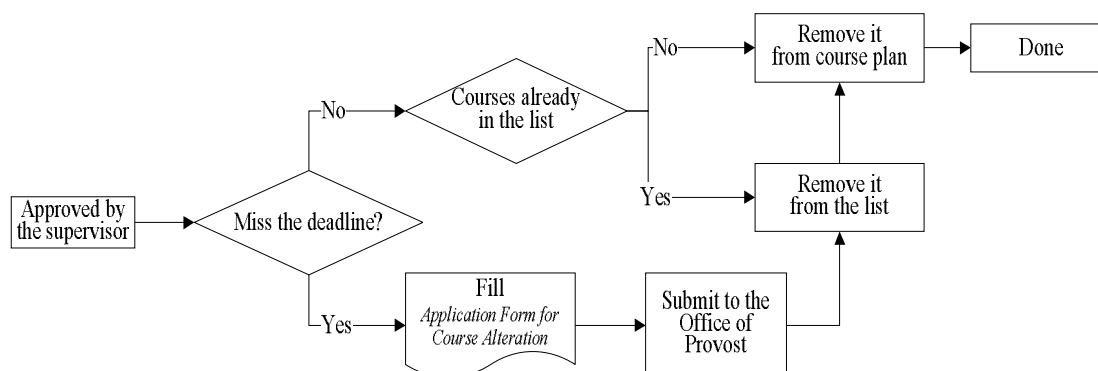


Chart 2-2 Procedure for dropping courses

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A student who qualifies can apply for course exemption on line.

Course	Qualifications for Course Exemption
Basic Chinese	1.Having obtained the credit of the similar course; 2.Having passed HSK Level 3;
Intermediate Chinese	1.Having obtained the credit of the similar course; 2.Having passed HSK Level 4;
Advanced Chinese	1.Having obtained the credit of the similar course; 2.Having passed HSK Level 5;
China Overview	Having obtained the credit of the same course

Step One

Log onto the Graduate School website and select the appropriate application. Click to apply for course exemption.

Step Two

The course teacher will check the application for course exemption. If approved, the student will get “M” (that means exemption) in his/her transcript instead of specific scores.

3. Dissertation and Defense

Overseas students can write thesis in English but its abstract must be written in Chinese. However, our university encourages overseas students to write Thesis in Chinese.

3.1 Dissertation Proposal

The student should meet all the school requirements prior to the submission of the *SWJTU Thesis or Dissertation Proposal*. The proposal should be finished before the end of semester 2, which could be postponed to the end of semester 3. The proposal should follow the arrangement of each school. Approval of the proposal is required to continue with the dissertation writing and research.

Application Procedure of the Dissertation Proposal:

Step One

Download *SWJTU Thesis or Dissertation Proposal* and *Thesis/Dissertation Research Work Plan*.

Step Two

Obtain the necessary signatures.

Step Three

Submit the *SWJTU Thesis or Dissertation Proposal* and *Thesis or Dissertation Research Work Plan* to the school coordinator.

The dissertation proposal is rated by “E”, “P”, and “F” (Excellent, Pass, and Fail, respectively). The result of the rating is granted as the transcript of the Qualifying Examination. The student who receives an “E”, taking up no more than 10% of all candidates, may apply for the SWJTU Innovation Fund for Doctoral Degree Candidates. The student who fails may be permitted, at the discretion of the faculty, to re-take it within six months after revising the proposal. A student may not apply for the dissertation proposal more than twice during his/her registration. Those who fail again may not continue with the program.

The preparation of dissertation is supervised by the student's supervisor. The international student is advised to follow the schedule of the dissertation.

3.2 Interim Assessment of Dissertation

The *Interim Assessment of Doctoral Dissertation*, which is a periodic one for qualifying for the dissertation writing, should be executed roughly one year after the dissertation proposal.

Application Procedure for the Interim Report:

Step One

Download the *Interim Assessment of Doctoral Dissertation*.

Step Two

Obtain the necessary signatures and comments.

Step Three

Submit the *Interim Assessment of Doctoral Dissertation* to the school coordinator.

The report is rated by "E", "P", and "F" (Excellent, Pass, and Fail, respectively). A student who fails may be permitted, at the discretion of the faculty, to re-take it within six months after revising the report. A student may not apply for the interim report of dissertation more than twice during his/her registration. Those who fail again may not continue with the program.

3.3 Dissertation Defense

After passing all required courses and meeting the required credits and number of papers published in the period of study, a student can request a Doctoral dissertation defense under his/her supervisor's approval.

3.3.1 Basic Requirements for Doctoral Dissertation

- a) The main subject and conclusion of the dissertation should make a significant theoretical or practical contribution to academic knowledge or the construction of the national economy.
- b) The dissertation should exhibit student mastery of theoretical methodology and professional skills involved in the dissertation.
- c) The dissertation should demonstrate originality in science or technology, indicating that the student can conduct academic research independently.

The student can also provide other publications/awards related to his/her Doctoral research to help

make an integrated assessment on the dissertation.

3.3.2 Doctoral Dissertation Pre-review Process

3.3.2.1 Citation Check of Doctoral Dissertation

Upon his/her supervisor's approval of the manuscript of the dissertation, the student may go to the website, <http://202.115.72.10/>, to apply a Citation Check for the dissertation. A *Citation Check Report* will be provided by the University Library. A citation rate of less than 25% applies to the dissertation of an international postgraduate student in Arts (e.g., management or human sciences); a citation rate of less than 20% applies to the dissertation of an international postgraduate student in Sciences.

Telephone Number of Citation Office: 028-87634142(Jiuli)

028-66366221(Xipu) 028-66367935(Xipu)

* Specific requirements on the citation rate may vary among schools.

3.3.2.2 Doctoral Dissertation Pre-review Process

The student shall request a dissertation pre-review 3 months prior to the defense through the following steps.

Step one

The student may download the file, *Materials of Doctoral Defense for International Postgraduates*, and find the forms of *Report of the Pre-review Panel on the Doctoral Dissertation* and *Application for Doctoral Degree*, in which the student should complete these forms, *Personnel Information Form of Doctoral Applicant* and *SWJTU Application for Doctoral Defense*. His/her supervisor should write statements in the *Academic Assessment of the Supervisor on the Doctoral Dissertation*.

Step Two

According to the requirement of the school, the student should submit the documents and forms listed below before the pre-review. The school will make arrangement for the pre-review in due course.

- a) Application for Doctoral Degree
- b) Report of the Pre-Review Panel on the Doctoral Dissertation (anonymous; three copies in most cases)
- c) Three anonymous copies of dissertation
- d) Photocopy of the academic paper published or accepted formally, with the journal cover/category/full text
- e) Citation Check Report from the Library

f) Statements for the Citation Check Report of Thesis or Dissertation

The pre-review process typically takes a month. Experts in the pre-review process will assess the dissertation in terms of the following scales: originality and academic performance, theory and methodology, contribution and achievement, outcome and conclusion.

Step Three

The student should revise and correct the dissertation with reference to the judgment of the pre-review process.

A pre-review judgment will be made on the dissertation via three ratings, namely, “Approved”, “To be revised”, and “Rejected”. The specific requirements for each judgment may vary among schools.

- a) A student who receives an “Approved” rating can apply for peer review under the condition that minor corrections have been made satisfactorily.
- b) A student who receives a “To be Revised” rating should revise the dissertation based on the pre-review comments within three to six months, and can apply for peer review under his/her supervisor’s approval.
- c) A student who receives a “Rejected” rating should carefully revise the dissertation and deepen the research within two years; he/she could subsequently apply for peer review under the approval of his/her supervisor and pre-review experts. Additionally, a written description of the dissertation amendment must be turned in with his/her application.

3.3.3 Approval of the Degree Office and Peer-review Process

A student can apply for dissertation peer review after finalizing the manuscript, submitting the following documents to the Degree Office of Graduate School:

- a) *Application for Doctoral Degree*
- b) *Report of Pre-Review Panel on Ph.D. Dissertation*
- c) *Report of Reviewer on Doctoral Dissertation*
- d) *Recommended Reviewers in Peer Review Process*
- e) *Information Form of Publication & Scientific Research Achievements*
- f) *Published Articles*
- g) *A Citation Check Report by university library*
- h) *Manuscripts of dissertation (anonymous and using different symbols respectively to replace names of the author and his/her supervisor)*

The Degree Office will confirm whether the manuscript could meet the peer review requirements. The peer review process, which typically takes two months, adopts the one-vote veto. Defense

could be deferred if one of reviewers finds the dissertation lacking in originality or creativity. In this case, the student should undertake an amendment of the dissertation within three to six months, and re-submit the revised dissertation to the Degree Office for re-review. Prior to defense and after being informed about the approval of each reviewer, the secretary of the Defense Committee should submit *Appointment of Doctoral Defense Committee Members* to the Degree Office and collect some materials from the Degree Office. The materials include the following:

- a) *An archival Bag, ballots and letters of appointment*
- b) *Appointment of Doctoral Defense Committee Members*
- c) *File Notes*
- d) *File Checklist*
- e) *Summary of Reviewer Statements on Doctoral Dissertation*
- f) *Minutes of Doctoral Defense*

3.3.4 Dissertation Defense

The school is responsible for the arrangement of the dissertation defense and putting up two posters on campus. For more information on the defense procedure, the student can refer to related regulations in the file of *Materials of Doctoral Defense for International Postgraduates*.

3.3.5 Leaving Process

After passing the thesis defense, the student should submit to his/her school and Degree Awarding Sub-committee two copies of *SWJTU Personnel Information Form of Doctoral Degree Applicant* (printed in double-face) and two copies of *SWJTU Personnel Information Form of Postgraduate for Doctoral Degree*.

The student should obtain the *Leaving Process Sheet* from the International Affairs Office. Completing all the procedures in the *Leaving Process Sheet*, the student could obtain a graduation certificate and a degree certificate from School of International Education.

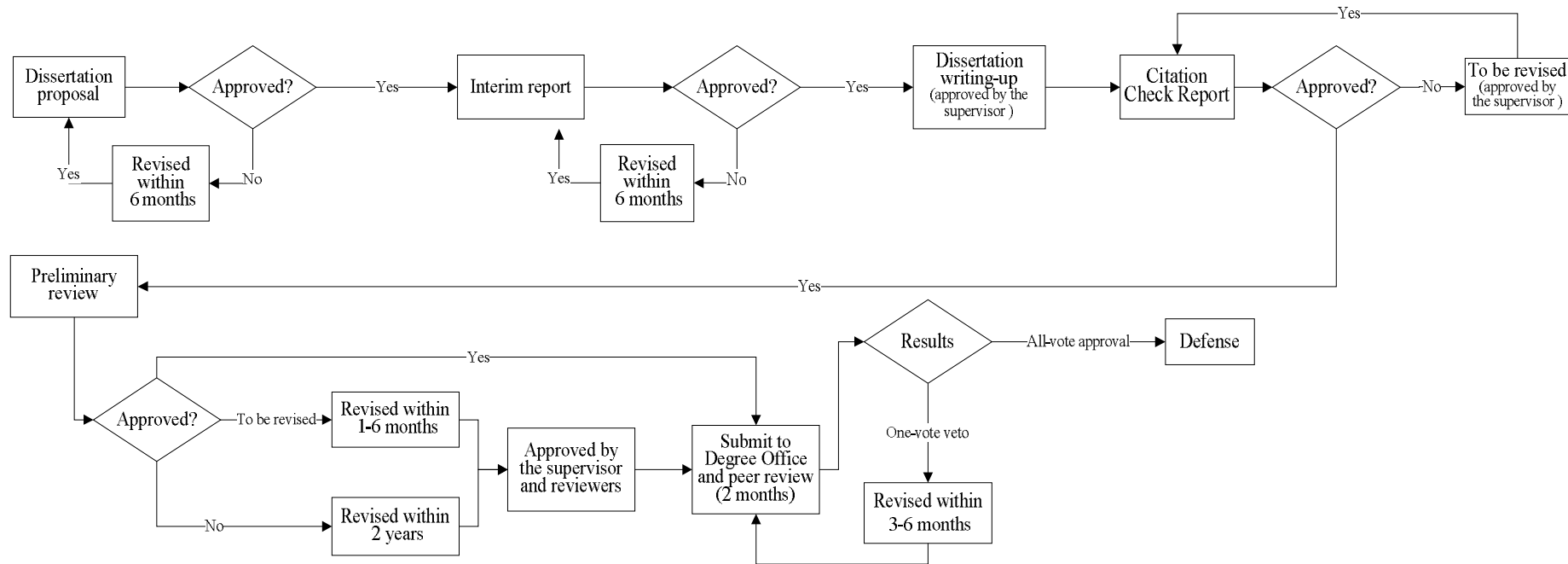


Chart 3-1 Procedure for dissertation defense application

4. Rules and Regulations of Graduate Student for Reference

XJXY [2019] No. 24

Regulations on Graduate Student Status Management of Southwest Jiaotong University

Chapter I General Provisions

Article 1 The Regulations are specifically formulated in accordance with the *Education Law of the People's Republic of China*, *Higher Education Law of the People's Republic of China*, *Provisions on the Administration of Students in Regular Institutions of Higher Education* (Decree No. 41 of the Ministry of Education) and *Statutes of Southwest Jiaotong University*, to implement the national education policy, maintain the normal teaching order, strengthen and improve the graduate student status management, promote the comprehensive development of graduate students in morality, intelligence, physique and aesthetics and ensure the quality of graduate student training.

Article 2 The Regulations shall apply to the graduate students enrolled by Southwest Jiaotong University in accordance with the national admission policies and regulations for receiving the academic education.

Chapter II Enrollment and Registration

Article 3 New students enrolled according to the national enrollment regulations are expected to come to the place designated by the university within the specified time to register with Admission Notice and relevant materials in accordance with the requirements specified in the Registration Guide. Those who fail to register on time shall ask for leave from their own schools with valid documents and their schools shall report the leave of absence to the Graduate School for the record. Except for the reason of force majeure, those who fail to ask for a leave within the specified registration time or those who exceed their permitted leaves will be regarded as voluntarily giving up enrollment. Generally, the leave time shall not be more than two weeks.

Article 4 The university shall be responsible for reviewing the admission qualification of new students when they come to the university for registration. Those who pass the review can go through the admission procedures and register to be students of the university. If it is found that the Admission Notice, examinee information and other proof materials of a new student do not match the actual situation through the review, or there are other cases in violation of the national admission examination provisions, the admission will be cancelled.

Article 5 New graduate students who fail to register on time because they are drafted into the Chinese People's Liberation Army (including the Chinese Armed Police Force), participate in the Teaching Assistance Group of Graduate and other national special plans and

suffer from physical and mental illnesses or participate in the innovation and undertaking practice can apply for retaining the admission qualification.

Article 6 For those who apply for retaining the admission qualification because they are drafted into the Chinese People's Liberation Army (including the Chinese Armed Police Force), the admission qualification retaining period is calculated by year until the first new-student-registration semester after the expiration of term of service. For those who apply for retaining the admission qualification because they participate in the Teaching Assistance Group of Graduate and other national special plans, suffer from physical and mental illnesses and participate in the innovation and undertaking practice, the admission qualification retaining period is calculated by year and the admission qualification can only be retained for one year.

Article 7 Those who apply for retaining the admission qualification shall submit a written application to the university and provide relevant proof materials and descriptions (those who cannot study at the university due to physical and mental illnesses shall submit the relevant diagnosis proofs of national Grade III Class A hospitals); those who pass the review can retain the admission qualification. Those who retain the admission qualification do not have the student status.

Those who retain the admission qualification shall apply for admission to the university when the new students register in the next year. Those who pass the review by the university (those who retain the admission qualification due to physical and mental illnesses shall have the relevant proofs issued by national Grade III Class A hospitals) can go through the admission procedures. Those who fail to pass the review or go through the admission procedures on time will be disqualified from the admission.

Article 8 After the enrollment, the university shall perform the review again for graduate students within three months in accordance with the national enrollment provisions.

Article 9 At the beginning of each semester, the graduate students shall return to the university on time as required and shall come to their own schools to go through the registration procedures with graduate student ID cards. Those who fail to register on time shall ask for leave from their own schools. Generally, the leave time shall not be more than two weeks. Except for the reason of force majeure, those who fail to ask for a leave or those who exceed their permitted leaves will be regarded as voluntary withdrawal.

Article 10 Those who fail to pay the tuition fees as required or meet the registration conditions will not be registered. Graduate students with poor family conditions can apply for student loans or other forms of funding and shall go through the relevant procedures for registration.

Chapter III Duration and Period of Schooling

Article 11 The duration of graduate students refers to the basic years required for all kinds of graduate students to complete their studies. The longest period of schooling of graduate students refers to the longest years required for all kinds of graduate students to complete their

studies.

Article 12 Southwest Jiaotong University implements the school semester system. Each academic year consists of two semesters: the first semester is generally from September each year to January of the following year and the second semester is generally from March to July of the following year.

Article 13 The duration of doctoral students and master-doctor combined program graduate students (at the doctoral phase) is four years and the longest period of schooling is six years (including periods of suspension of schooling); the duration of bachelor-straight-to-doctorate students is five years and the longest period of schooling is six years (including periods of suspension of schooling).

The duration of graduate students is three years. The longest period of schooling of full-time graduate students is four years (including periods of suspension of schooling) and the longest period of schooling of part-time graduate students is five years (including periods of suspension of schooling).

The duration of MBA (Master of Business Administration), MPA (Master of Public Administration) and MPACC (Master of Professional Accounting) is two years and the longest period of schooling is five years (including periods of suspension of schooling).

Chapter IV Assessment and Record of Scores

Article 14 Graduate students are required to take courses specified in the training plan and participate in the assessment of various education and teaching links (hereinafter referred to as courses). The assessment results shall be recorded in the transcript and included in their files.

Article 15 The assessment is divided into examination and evaluation. For public courses, foundation courses and major courses, graduate students must pass the examination and the scores are assessed by using the hundred-mark system. The scores of other courses can be assessed by the school and the lecturer by using the hundred-mark system or grading system based on the course nature and teaching requirements. For unqualified courses, the scores and corresponding credits shall be obtained through the make-up examination or retaking courses.

Article 16 The ideological and moral character of graduate students shall be assessed and appraised in the form of personal summary and teacher and student democratic appraisal based on the *Guidelines for Student Conduct in Higher Education Institutions*. The school shall organize to implement the assessment and appraisal of ideological and moral character of graduate students by semester and remain the assessment and appraisal results for future reference.

Article 17 Graduate students shall, under the guidance of the advising professor, develop a personal training plan and reasonably arrange the learning progress. The total credits of courses selected in each semester are generally not more than 20. Part-time graduate students usually take no more than 10 credits per semester.

Article 18 Graduate students can apply for taking courses across schools based on the agreement between schools. The application shall be subject to the consent of the advising

professor and the school and reported to the Graduate School for the record. The scores (credits) of the course shall be reviewed by the school and reported to the Graduate School for approval.

Article 19 The academic performance of graduate students will be recorded truly and completely; the scores obtained through make-up examination and retaking courses will be clearly marked in the issued academic performance materials.

For graduate students who seriously violate the assessment disciplines or have cheating behaviors, the assessment results of the course shall be invalid and the appropriate disciplinary punishments shall be given in accordance with the *Provisions on Handling of Violation of Examination Regulations of Graduate Students of Southwest Jiaotong University*. An opportunity of make-up examination or retaking the course can be provided for those who have a good performance after criticism.

If students who suspend the studies due to quitting schooling and others participate in the graduate entrance examination again and meet the admission conditions, at the time of re-admission, the courses taken in the university and the obtained credits shall be recognized after their own application, consent of the advising professor, review by the school and approval by the Graduate School.

Article 20 Graduate students who cannot participate in the activities specified in the education and teaching plan on time due to special circumstances shall ask for leave in advance for approval. If the leave time is within two weeks, the approval by the advising professor and course teacher shall be obtained and it shall be reported to the school for the record; if the leave time is more than two weeks and within one month, graduate students shall complete the *Leave Application of Graduate Students of Southwest Jiaotong University* by themselves, and the consent of the advising professor and course teacher and the approval by the head of the school shall be obtained and it shall be reported to the Graduate School for the record. In principle, the leave time of each graduate student shall not exceed one month in each semester. Those who are absent without any reason shall be criticized in accordance with the *Provisions on Disciplinary Punishment of Students of Southwest Jiaotong University*. Under any serious circumstances, the appropriate disciplinary punishments shall be given.

Article 21 Graduate students are required to have excellent integrity and academic morality. For those who have serious behaviors of breaching promises, the appropriate disciplinary punishments shall be given in accordance with the *Provisions on Disciplinary Punishment of Students of Southwest Jiaotong University*. For those who breach the academic integrity, the degree and academic title and honor shall be restricted in accordance with the *Code of Academic Morality of Southwest Jiaotong University*.

Chapter V Changing Supervisors, Majors, Levels or Schools

Article 22 In principle, graduate students should not apply for changing supervisors after enrollment. If supervisors can't fulfill their duties due to reasons such as job transfer, retirement and health problems, and if supervisors are to be changed due to other special reasons, graduate

students can file an application. In principle, the application must be approved by both current and new supervisors, approved by leaders in charge of affairs of graduate students and reviewed and filed by the Graduate School.

After changing supervisors, graduate students should finish relevant cultivation programs under the guidance of new supervisors. In principle, the working time for graduation thesis should be not less than 1 academic year for master students and not less than 2 academic years for doctoral students.

Supervisors to be changed must have enrollment qualification in the college in the year when students apply for changing supervisors. Moreover, the number of their students (including applicants) who study for the degree at the same level should not exceed the limit prescribed by the university or school.

Article 23 If there are disputes on changing supervisors between graduate students and their supervisors, the Academic Degree Evaluation Sub-Committee or the Joint Committee of Party and Government of the school will make a decision which will be submitted to the Graduate School for review and filing.

Article 24 Graduate students who apply for major change shall implement the relevant application process in accordance with the Implementation Rules of Major Change of Graduate Students of Southwest Jiaotong University.

Article 25 Graduate students shall complete their studies in the universities admitted. Those who cannot continue to study in current universities due to specific diseases and special difficulties can apply for changing universities.

Article 26 Graduate students in the following categories cannot change universities:

(I) Students who have studied at the university for less than one semester, master students who have studied at the university for three semesters and doctoral students who have studied at the university for five semesters;

(II) Students who are enrolled in the form of directional employment or students who reach a specific training agreement with the university;

(III) Students who change universities from the lower level to higher level;

(IV) The university and major to be changed have higher admission control standards than those of the current university and major;

(V) Students who are forced to leave the university;

(VI) Students who are recommended admission free from examinations;

(VII) Students who give no credible reason for their change request.

Article 27 Doctoral students can go through the procedure of transferring to master's programs in either of the following cases:

(I) After one academic year, if the supervisor makes a proposal and the Academic Degree Evaluation Sub-Committee reviews that it is not proper for doctoral students to continue their study;

(II) After one academic year, if doctoral students make a proposal to transfer to master's programs.

Article 28 The applications of doctoral students for transferring to master's programs should be reviewed and approved by supervisors and the school and then submitted for the Graduate School for review. After approval, the Graduate School applies to the Provincial Department of Education for changing their status as doctoral students into that as master students and canceling their status as doctoral students.

Article 29 After doctoral students transfer to master's program, the time of enrollment of students who study for master's and doctoral degrees in succession starts from the time when they obtained the status as master students, while the time of enrollment of other students who transfer from doctoral programs starts from the time when they got the status as doctoral students.

Article 30 The university change of graduate students shall be decided at the president's office meeting. The university shall publicly announce the change through relevant channels within two weeks after the completion of the university change process.

Article 31 The university change process of graduate students shall be implemented under the strict supervision and management of the provincial education administrative department.

For those who change universities across provinces, the provincial education administrative department of the place where the current university is located shall consult with the provincial education administrative department of the place where the new university is located to handle the university change procedures after confirmation based on the change conditions. For those whose registered permanent residence is required to be changed, the provincial education administrative department of the place where the new university is located shall copy the relevant documents to the public security organ of the place where the new university is located.

Chapter VI Suspension of Schooling and Resuming Schooling

Article 32 Graduate students can complete their studies in stages within the longest period of schooling (including periods of suspension of schooling and retaining of student status). Those who apply for suspension of schooling or the university thinks that the suspension of schooling is required can suspend their schooling. Graduate students shall submit a written application for suspension of schooling by themselves. The suspension of schooling is allowed after graduate students themselves clarify authorities and responsibilities and the consent of the advising professor and school and the approval by the Graduate School are obtained.

Article 33 Graduate students in the following categories can apply for suspension of schooling:

- (I) Students who cannot study at the university due to physical and mental illnesses;
- (II) Students who need to suspend their schooling due to child-bearing;
- (III) Students who need to suspend their schooling due to startup business;
- (IV) Students who need to suspend their schooling due to other reasonable reasons.

Article 34 The period of suspension of schooling is generally limited to one semester. Those who cannot resume their schooling after the expiration of the semester can apply to continue to suspend their schooling and the cumulative period of suspension of schooling shall not exceed one year. Directional graduate students can only apply for suspension of schooling with the consent of directional units.

Article 35 Graduate students who are drafted into the Chinese People's Liberation Army (including the Chinese Armed Police Force) can apply for retaining their student status and the student status retaining period will last until the second year after retirement. Graduate students who participate in the across-universities joint training projects organized by the university can apply for retaining their student status and the student status retaining period specified in the specific joint training agreement shall prevail. During the student status retaining period, graduate students themselves shall establish management relationships with the army and university.

Article 36 Graduate students who apply for suspension of schooling shall leave the university after relevant procedures are handled. During the period of suspension of schooling, they do not enjoy the treatment of graduate students and the university does not bear any legal responsibility. The medical expenses of graduate students who suspend their schooling due to illnesses shall be handled in accordance with the relevant provisions of the State and Sichuan Province.

Article 37 After the expiration of the period of suspension of schooling, graduate students can handle the resuming schooling procedures according to the following provisions:

(I) Graduate students who suspend their schooling due to Physical and mental illnesses shall apply for resuming schooling before the start of the semester. When applying for resuming schooling, they shall apply to the school for resuming schooling with the proofs of Grade II Class A and above hospitals (including) after the recheck by the hospital designated by the university, and they can handle the resuming schooling registration procedures after the review by the school and the approval by the Graduate School.

(II) Those who suspend their schooling due to non-health reasons handle the resuming schooling procedures with the relevant proof materials.

(III) Those who fail to handle the resuming schooling procedures after the expiration of the period of suspension of schooling are forced to leave the university.

(IV) Graduate students who seriously violate the law and discipline during the period of suspension of schooling will be disqualified from the resuming schooling.

Chapter VII Quitting Schooling

Article 38 Graduate students in the following categories shall be ordered or permitted to quit their schooling:

(I) Students who fail to graduate from the university within the longest period of schooling (including periods of suspension of schooling) specified by the university and fail to handle the completion or incompleteness of schooling procedures;

(II) Students who fail to submit the resuming schooling application within the specified time or students whose resuming schooling application is unqualified through the review after the expiration of periods of suspension of schooling and retaining student status;

(III) Students who cannot continue to study at the university due to specific physical and mental illnesses or accidental disability diagnosed by Grade III Class A hospitals;

(IV) Students who fail to come to the university to register within the specified time;

(V) Students who take the initiative to apply for quitting schooling due to personal or family reasons;

(VI) Students who cheat seriously in academic thesis, such as purchasing thesis, falsifying research results or plagiarizing the work of others.

(VII) Students who quit their schooling due to other reasons.

Article 39 Graduate students who apply for quitting schooling by themselves shall handle the quitting schooling and leaving university procedures on time as required after approval by the university.

Those who are to be ordered to quit their schooling because they reach the longest period of schooling and fail to graduate from the university or complete their schooling shall be ordered to quit their schooling after the adoption of the decision made at the president's office meeting or the special meeting authorized by the president.

Article 40 The university shall issue the relevant quitting schooling documents and send them to graduate students who are ordered to quit their schooling. These documents shall be sent to those who refuse to sign after receiving them in the way of lien service. These documents shall be sent to those who have leaved the university by mail. These documents shall be sent to those who are difficult to contact by posting them on the Graduate School website. Moreover, their student status shall be revoked and it shall be reported to the provincial education administrative department for the record. If the quitting schooling documents cannot be sent to graduate students themselves, these documents shall be posted on the Graduate School official website for five working days and shall be deemed to have sent to graduate students.

Article 41 For graduate students who take the initiative to apply for quitting schooling, once the application is approved, the student status will be revoked immediately and the application for quitting schooling shall not be withdrawn.

Article 42 Graduate students who quit their schooling shall handle the leaving university procedures within one month. In case of any matter related to employment, files and registered permanent residence, the relevant procedures shall be handled promptly to the management departments of the university.

Chapter VIII Graduation, Completion of Schooling and Incompletion of Schooling

Article 43 The university shall award the graduation certificate to graduate students who complete the contents and links specified in the training plan within the specified period of schooling, and meet the graduation requirements of the university and pass the thesis defense.

The degree certificate shall be awarded to those who meet the degree granting conditions of the university.

Article 44 Graduate students who complete the specified training links and pass all the examinations, and come up to the evaluation criteria of excellent doctoral dissertation and master dissertation (see the *Measures for Evaluation and Award of Excellent Doctoral Dissertation and Master Dissertation of Southwest Jiaotong University* for details) can apply for advance defense; those who pass the thesis defense can graduate from the university in advance. The school time of graduate students who apply for advance defense shall meet the following conditions:

(I) When graduate students apply for advance defense, the school time shall be two years (excluding periods of suspension of schooling);

(II) When doctoral students (including master-doctor combined program graduate students) apply for advance defense, the school time (at the doctoral phase) shall be three years (excluding periods of suspension of schooling); when bachelor-straight-to-doctorate students apply for advance defense, the school time shall be four years (excluding periods of suspension of schooling).

Article 45 Graduate students who complete the specified training links and pass all the examinations within the specified period of schooling, and complete the dissertation proposal and have a good performance but do not meet the dissertation defense requirements or do not pass the dissertation defense will be given the certificate of completion only recognizing completion of their courses after the application by themselves, consent of the advising professor and the school and submission to the Training Office of the Graduate School for approval.

(I) Graduate students who complete their schooling can apply for the master dissertation defense again within one year after the completion of schooling. After passing the defense, the university will recall the certificate of completion with the consent of the Academic Degree Committee and award the master graduation certificate and degree certificate;

(II) Doctoral students who complete their schooling can apply for the doctoral dissertation defense again within 4 years after the completion of schooling. After passing the defense, the university will recall the certificate of completion with the consent of the Academic Degree Committee and award the doctor graduation certificate and degree certificate;

(III) Graduate students who complete their schooling have only one defense opportunity within the prescribed period.

Article 46 Graduate students who apply for completion of schooling can handle the leaving university procedures within one month after the completion of schooling takes effect.

Article 47 Graduate students who quit their schooling for more than one academic year can apply for the certificate of incompleteness to the university. Graduate students who quit their schooling for less than one academic year can apply for the corresponding study and score proofs to the university.

Chapter IX Academic Certificate Management

Article 48 The university shall fill in and issue the academic certificate, degree certificate and other certificates in strict accordance with the patterns of schools and study modes determined at the time of enrollment, as well as personal information reported and approved when graduate students are enrolled.

Article 49 Graduate students who change their personal information such as name and date of birth required to be filled in the certificate during the course of their studies should have reasonable and sufficient reasons to apply for the change. They shall fill in the Application Form of Graduate Student Status Change of Southwest Jiaotong University by themselves and provide the corresponding supporting documents with legal effect. After the review by the university, they shall submit them to the student academic information management platform of the Ministry of Education for handling.

Article 50 The university shall register the graduation (completion of schooling) information and graduation certificate (certificate of completion) information on the China Higher-education Student Information (hereinafter referred to as CHSI) website each year based on the higher education student status and education background electronic registration management system, and shall issue the corresponding certificates after graduate students handle the leaving university procedures. For specific management and implementation methods, see the Implementation Rules of Making and Issuance of Graduation Certificate (Certificate of Completion) and Academic Registration of Graduate Students of Southwest Jiaotong University.

Article 51 The time of taking photos on the academic certificate shall be arranged by Sichuan Branch of Xinhua News Agency in a unified manner. The notices on photo taking arrangements of each year will be released at a specific time.

Article 52 For specific processes of graduation (completion of schooling) information registration and issuance of relevant certificates of graduate students, the specific notice issued by the Graduate School shall prevail.

Article 53 For those who obtain the admission qualification or student status in violation of the national admission provisions, the university shall cancel their student status and shall not issue the academic certificate and degree certificate; the issued academic certificate and degree certificate shall be revoked by the university according to law. The academic certificate and degree certificate obtained through academic misconducts such as cheating and plagiarism as well as other improper means shall be revoked by the university according to law.

The university will cancel the registered academic certificate and degree certificate that have been revoked after the adoption of the decision made at the president's office meeting or the special meeting authorized by the president, and report to the education administrative to declare that they are invalid.

Article 54 If the academic certificate and degree certificate are lost or damaged, the university shall issue the corresponding certificates after verification after the application by

themselves. The certificate has the same effect as the original certificate.

Chapter X Appeal of Graduate Students

Article 55 Graduate students who have any objection to the decision on handling of student status by the university can file an appeal in accordance with the *Provisions on Management of Student Appeal of Southwest Jiaotong University*.

Chapter XI Supplementary Provisions

Article 56 The graduate students from Hong Kong, Macao and Taiwan and international graduate students shall be managed with reference to the Regulations.

Article 57 The Regulations shall come into force on August 20, 2019. The original Regulations on Graduate Student Status Management of Southwest Jiaotong University are abolished simultaneously. In case of any discrepancy between other documents and provisions on graduate student status and degree management in the university and the Regulations, the Regulations shall prevail.

Article 58 The Graduate School shall be responsible for the interpretation of the Regulations.

Implementation Rules for Course Assessment and Score Management of Graduate Students of Southwest Jiaotong University

I. Scope of Assessment, Assessment Methods and Scoring Methods

1. All courses specified in the training plan shall be assessed. The assessment results shall be recorded in the transcript and included in the files.

2. The assessment is divided into examination and evaluation. For public courses, foundation courses and major courses, graduate students must pass the examination and the scores are assessed by using the hundred-mark system. The scores of other courses can be assessed by the school and the lecturer by using the hundred-mark system or grading system based on the course nature and teaching requirements. In principle, the examination courses of each training unit per semester shall not be less than 60% of the offered courses.

3. *The Scientific Research (Teaching) Practice, Academic Report, Cutting-edge Technology Topic, Advanced Academic Topic and Professional Practice* shall be evaluated with Excellent (A), Good (B), Pass (C) and Fail.

4. The period from the 18th to 19th week of each semester shall be the examination week. The Graduate School shall release the examination arrangements of public courses before the 15th week and the academic dean of each school shall submit the examination arrangements of foundation courses and major courses to the Training Office of the Graduate School before the 17th week. The examination arrangements shall specify the starting and ending time, place, course teacher and supervisor. Upon determination, the examination arrangements shall not be changed randomly.

5. In case of any conflict between the examination arrangements of foundation courses and major courses and the examination arrangements of public courses, the examination arrangements of public courses shall prevail.

6. All classrooms shall be arranged by the Graduate School in a unified manner during the examination week. If it is required to borrow the classrooms, the procedures shall be handled again.

II. Question Setting for Assessment

The course assessment is an important part of the teaching process and the course teacher must strictly implement the assessment system and scoring standards.

The question setting shall be conducive to promoting independent thinking and enhancing the ability to analyze and solve problems. The difficulty level and number of questions shall meet the requirements of the teaching program and the scores of examination papers shall be determined.

III. Missing the Examination, Make-up Examination, Retaking the Course and Course Exemption

1. Those who are absent from the assessment without reason will be regarded as missing the examination and cannot sign up for make-up examination, and the “missing” shall be marked

in the transcript. Those who are absent from the make-up examination without reason will be regarded as missing the examination and the “missing” shall be marked in the transcript.

2. Those who fail to pass the course examination can sign up for make-up examination of the course and the “make-up” shall be marked in the transcript.

3. For those who have obtained the course scores and select the same course once again, the “retaking” shall be marked in the transcript.

4. Those who apply for exemption from taking English public course shall complete the online operation within the first week of the first semester of the first academic year (in case of any delay, they shall be regarded as voluntary waiver of exemption qualification), and shall upload relevant supporting materials and obtain the course scores after the review by the Graduate School. Those who apply for exemption from taking other courses shall complete the online operation within the first week of the first semester of the first academic year (in case of any delay, they shall be regarded as voluntary waiver of exemption qualification), and shall submit paper exemption application and relevant supporting materials and obtain the course scores after the approval by the school and the Graduate School.

IV. Score Transfer, Additional Recording and Change

1. Master-doctor combined program graduate students who apply for score transfer shall complete the personal online operation within the first week of the first semester of the first academic year at the doctoral phase. The scores are transferred successfully after the review of the advising professor, school and Graduate School.

2. Graduate students who have studied postgraduate courses along with the class before enrollment can make a written score transfer application of the course to the school with the original learning proofs, and shall complete the online operation within the first and second week of the first semester of the first academic year and submit it to the Graduate School for approval after the summary by the school. For those who have no score records on the net, the relevant school shall also provide the transcript, copy of the original transcript as well as original examination materials and copies of the course. Their scores of compulsory courses (*Scientific Research (Teaching) Practice, Academic Report, Cutting-edge Technology Topic, Forms and Policy, etc.*) and practice courses (*Professional Practice, Scientific Research Practice, Art Topic Practice, etc.*) during their studies shall be invalid and no score transfer is allowed.

3. With the consent of the advising professor and school, the outside learning and exchange of graduate students shall be reported to the Graduate School for the record. The scores (credits) of courses taken at other universities shall be reviewed by the school. If it is determined that their assessment criteria have reached the same level of postgraduate courses of the university, the application for score transfer can be allowed and the copies of relevant exchange documents, copies of original sealed transcripts and relevant score proof materials shall be provided. The expenses incurred by the study at other universities shall be borne by themselves. The study at other universities without permission will not be recognized.

4. The missing and wrong scores because the course teacher fail to submit their scores on time or fail to submit their scores correctly shall be added or changed. The missing scores because the students fail to select the course, select the wrong course and owe the fees shall not be added and these students shall be regarded as retaking the course.

V. Others

1. For the course selection of graduate students in each semester, in principle, the credits of long semester teaching mode shall not more than 20 and the credits of intensive block teaching mode shall not more than 10.

2. The course teacher shall complete the submission of course scores within two weeks after the end of the course assessment. Those who are dissatisfied with the examination scores may make a written application for the check of examination papers (the application form can be downloaded from the download area on the Graduate School website) and submit the application form to the Graduate School within one week after the submission of the scores. In case of holidays, the time will be automatically extended accordingly.

3. Only when the credits of courses taken by graduate students are not less than 80% of the required credits for the graduation, the proposal can be allowed and is generally arranged in the third semester.

4. Graduate students shall complete all the courses specified in the individual training plan and obtain the credits before the defense, and the credits shall meet the requirements for total credits and individual credits of the major; otherwise, the defense is not allowed.

XJXY [2014] No. 14

Provisions on Publishing the Academic Papers by Graduate Students during the Period of Attendance at Southwest Jiaotong University

Article 1 General Provisions

1. The Provisions are specifically formulated to further improve the graduate student training quality and scientific research ability and gradually enhance the academic level of the university's graduate students and their academic status in the country.

2. The Provisions shall apply to full-time doctoral students and master candidates at the university (including personnel with the same educational level of applying for master degree).

3. During the period of attendance at the university, graduate students shall publish the academic papers (the first signature unit shall be Southwest Jiaotong University) related to the dissertation work as the first author (if the graduate student is the second author, his/her advising professor shall be the first author).

4. Unless otherwise specified, all papers shall be officially published (including published online) in the journals (excluding supplements) specified in the *Catalog of Academic Journals in Grades of Southwest Jiaotong University* (hereinafter referred to as the Grading Catalog).

5. If the graduate student publishes monographs, receives state research awards, applies for patents, etc., these monographs, awards and patents can be converted into the academic papers and the specific conversion relationship shall be determined by the Academic Degree Evaluation Subcommittee (hereinafter referred to as the Subcommittee); however, it is required that the number of converted papers shall not exceed one and the conversion class shall not exceed class B+. The conversion standards shall be announced publicly and submitted to the Academic Degree Evaluation Committee of the university for the record.

6. On the basis of not below the standards specified in the Provisions, the subcommittees can develop specific standards and implementation details for different subcommittees, schools or disciplines according to the specific circumstances of the discipline and major. These standards and implementation details can be announced publicly and implemented after the submission to the Academic Degree Evaluation Committee of the university for the record.

Article 2 Basic Requirements for Publishing the Academic Papers by Doctoral Students during the Period of Attendance at the University

During the period of attendance at the university, doctoral students who officially publish papers meeting one of the following four conditions in the journals specified in the Grading Catalog can apply for the dissertation defense.

1. Publishing at least one class A+ and above paper;
2. Publishing at least two class A and above papers;
3. Publishing at least three class B+ and above papers (including at least one class A and above paper);
4. Publishing at least four class B and above papers (including at least two class B+ and

above papers).

The academic papers in the above conditions must include one foreign academic paper. If these academic papers are all Chinese papers, it is required to publish another foreign academic paper in official journals or at academic conferences. Only one conference paper can be recognized at most and it is required to publish a non-conference paper at least.

Article 3 Basic Requirements for Publishing the Academic Papers by Master Candidates during the Period of Attendance at the University

1. Academic master candidates who officially publish at least one academic paper related to the dissertation during the period of attendance at the university can apply for the dissertation defense.

2. The paper publication requirements of professional degree master candidates during the period of attendance at the university shall be formulated by the subcommittees combined with the actual situation and submitted to the Academic Degree Evaluation Committee of the university for the record.

Article 4 Others

1. The Provisions shall come into force at the time of graduate student admission in 2014.
2. The Graduate School shall be responsible for the interpretation of the Provisions.

XJXY [2019] No.25

Implementation Rules of Major Change of Graduate Students of Southwest Jiaotong University

Chapter I General Provisions

Article 1 Combined with the actual situation of graduate education in the university, the Implementation Rules are specifically formulated in accordance with the *Provisions on the Administration of Students in Regular Institutions of Higher Education* and *Regulations on Graduate Student Status Management of Southwest Jiaotong University* issued by the Ministry of Education, to further standardize the management of major change of graduate students and to facilitate reasonable arrangement of study plan of students.

Article 2 The Implementation Rules shall apply to the graduate students enrolled by the university in accordance with the national admission policies and regulations for receiving the full-time academic education.

Chapter II Basic Requirements

Article 3 In principle, the graduate students shall complete their studies in the majors admitted. Graduate students in the following categories can apply for major change:

(I) Students whose major is adjusted or the university is undergoing the discipline construction and development;

(II) Students who have a strong interest in the major to be changed and make outstanding achievements;

(III) Students who cannot continue to study in the original major within the duration due to health proved by Grade II Class A and above hospitals designated by the university;

(IV) Students who have other special reasons.

Article 4 The application for major change of graduate students who meet one of the following conditions is not accepted:

(I) The admission time of new students is less than one semester; or graduate students study at the university for more than two years and doctoral students study at the university for more than three years;

(II) The full-time professional degree graduate students can not apply to change into the major of the full-time academic degree graduate student;

(III) Graduate students who have different learning modes (full-time and part-time) cannot change majors each other;

(IV) MBA, MPA and MPACC part-time students cannot change majors and students of other majors cannot change to the above majors;

(V) The students have changed a major;

(VI) There are clear relevant restrictions on the current major at the time of enrollment or the current major is clearly specified as a support major;

(VII) The passing marks of re-examination of majors to be changed by graduate students of the year are higher than those of their current majors at the same year;

(VIII) Graduate students who are enrolled by a separate examination

(IX) Graduate students belong to joint training and directional training students;

(X) Graduate students suspend schooling and the student status and admission qualification are retained;

(XI) Graduate students are forced to leave the university.

Article 5 The restrictions on the major change of retired soldiers after resuming schooling of graduate student are relaxed. If a graduate student soldier resumes schooling after retirement, he/she shall voluntarily apply for the major change. After the university agrees and performs the relevant procedures, the graduate student soldier can change to other majors of the university and shall comply with relevant provisions of the new major.

Chapter III Application Procedures

Article 6 In principle, the graduate students who apply for the major change shall handle the relevant application procedures three weeks after the start of each semester. The applicants shall fill in the *Application Form of Major Change of Graduate Student of Southwest Jiaotong University*. The procedures are as follows:

(I) If a graduate student who is enrolled in the second level discipline applies for the major change in the first level discipline, the consent of the current and new advising professors and the consent of the heads of current and new second level disciplines must be obtained; if the major is changed across schools, the consent of the heads of current and new schools in charge of the graduate teaching must also be obtained. The new graduate training unit shall submit the application form and personal training plan of the graduate student to the Training Office of the Graduate School.

(II) If a graduate student applies for the major change across first level disciplines in the same discipline field, with the consent of the current and new advising professors and the heads of current and new training units, the new unit needs to organize 3-5 experts to assess the applicant (interview or written test) and give advice based on the assessment situation. The assessment materials, assessment advice, application form and training plan of the graduate student shall be submitted to the Provost Office of the Graduate School.

(III) If a graduate student applies for the major change across discipline fields, with the consent of the current and new advising professors and the heads of current and new training units, the new unit needs to organize an expert group to assess the applicant and the interview and written test must be performed. The expert group needs to give advice based on the assessment situation. The new unit shall submit the assessment materials, assessment advice, application form and training plan of the graduate student to the Provost Office of the Graduate School.

(IV) The Graduate School shall summarize and review the list of students to be accepted by the schools and shall post it on the Graduate School website for 5 days. In case of no objection, the list shall be reported to the head in charge of it for approval.

(V) The Graduate School shall record changes in the status of graduate students approved for major change and submit the corresponding list to the relevant units, such as Student Enrollment and Employment Office, Archives Center and Degree Office of the Graduate School.

Article 7 A graduate student who has been approved for major change shall implement the training plan of the new major in the same grade and shall comply with the relevant management regulations of the new major and school.

Article 8 The period of schooling of major-changed students is not affected by the major change and is still from the date of school registration. The tuition fees shall be based on the tuition fees of the new major.

Chapter IV Appeal and Arbitration

Article 9 A graduate student who disagrees with the result of the major change may appeal to the Graduate School and it will be judged by the Graduate Teaching Committee.

Chapter V Supplementary Provisions

Article 10 The Rules are implemented from September 1st, 2019.

Article 11 The Graduate School shall be responsible for the interpretation of the Rules.

XJXY[2017]No.22

Implementation Rules for Course Assessment and Score Management of Graduate Students of Southwest Jiaotong University

I. Scope of Assessment, Assessment Methods and Scoring Methods

1. All courses specified in the training plan shall be assessed. The assessment results shall be recorded in the transcript and included in the files.

2. The assessment is divided into examination and evaluation. For public courses, foundation courses and major courses, graduate students must pass the examination and the scores are assessed by using the hundred-mark system. The scores of other courses can be assessed by the school and the lecturer by using the hundred-mark system or grading system based on the course nature and teaching requirements. In principle, the examination courses of each training unit per semester shall not be less than 60% of the offered courses.

3. *The Scientific Research (Teaching) Practice, Academic Report, Cutting-edge Technology Topic, Advanced Academic Topic and Professional Practice* shall be evaluated with Excellent (A⁺, A, A⁻), Good (B⁺, B, B⁻), Pass (C⁺, C, C⁻) and Fail (D) .

4. The period from the 18th to 19th week of each semester shall be the examination week. The Graduate School shall release the examination arrangements of public courses before the 15th week and the academic dean of each school shall submit the examination arrangements of foundation courses and major courses to the Training Office of the Graduate School before the 17th week. The examination arrangements shall specify the starting and ending time, place, course teacher and supervisor. Upon determination, the examination arrangements shall not be changed randomly.

5. In case of any conflict between the examination arrangements of foundation courses and major courses and the examination arrangements of public courses, the examination arrangements of public courses shall prevail.

6. All classrooms shall be arranged by the Graduate School in a unified manner during the examination week. If it is required to borrow the classrooms, the procedures shall be handled again.

II. Question Setting for Assessment

The course assessment is an important part of the teaching process and the course teacher must strictly implement the assessment system and scoring standards.

The question setting shall be conducive to promoting independent thinking and enhancing the ability to analyze and solve problems. The difficulty level and number of questions shall meet the requirements of the teaching program and the scores of examination papers shall be determined.

III. Missing the Examination, Make-up Examination, Retaking the Course and Course Exemption

1. Those who are absent from the assessment without reason will be regarded as missing the examination and cannot sign up for make-up examination, and the “missing” shall be marked in the transcript. Those who are absent from the make-up examination without reason will be regarded as missing the examination and the “missing” shall be marked in the transcript.

2. Those who fail to pass the course examination can sign up for make-up examination of the course and the “make-up” shall be marked in the transcript.

3. For those who have obtained the course scores and select the same course once again, the “retaking” shall be marked in the transcript.

4. Those who apply for exemption from taking English public course shall complete the online operation within the first week of the first semester of the first academic year (in case of any delay, they shall be regarded as voluntary waiver of exemption qualification), and shall upload relevant supporting materials and obtain the course scores after the review by the Graduate School. Those who apply for exemption from taking other courses shall complete the online operation within the first week of the first semester of the first academic year (in case of any delay, they shall be regarded as voluntary waiver of exemption qualification), and shall submit paper exemption application and relevant supporting materials and obtain the course scores after the approval by the school and the Graduate School.

IV. Score Transfer, Additional Recording and Change

1. Master-doctor combined program graduate students who apply for score transfer shall complete the personal online operation within the first week of the first semester of the first academic year at the doctoral phase. The scores are transferred successfully after the review of the advising professor, school and Graduate School.

2. Graduate students who have studied postgraduate courses along with the class before enrollment can make a written score transfer application of the course to the school with the original learning proofs, and shall complete the online operation within the first and second week of the first semester of the first academic year and submit it to the Graduate School for approval after the summary by the school. For those who have no score records on the net, the relevant school shall also provide the transcript, copy of the original transcript as well as original examination materials and copies of the course. Their scores of compulsory courses (*Scientific Research (Teaching) Practice, Academic Report, Cutting-edge Technology Topic, Forms and Policy, etc.*) and practice courses (*Professional Practice, Scientific Research Practice, Art Topic Practice, etc.*) during their studies shall be invalid and no score transfer is allowed.

3. With the consent of the advising professor and school, the outside learning and exchange of graduate students shall be reported to the Graduate School for the record. The scores (credits) of courses taken at other universities shall be reviewed by the school. If it is determined that their assessment criteria have reached the same level of postgraduate courses of the university, the application for score transfer can be allowed and the copies of relevant exchange documents, copies of original sealed transcripts and relevant score proof materials shall be provided. The

expenses incurred by the study at other universities shall be borne by themselves. The study at other universities without permission will not be recognized.

4. The missing and wrong scores because the course teacher fail to submit their scores on time or fail to submit their scores correctly shall be added or changed. The missing scores because the students fail to select the course, select the wrong course and owe the fees shall not be added and these students shall be regarded as retaking the course.

V. Others

1. For the course selection of graduate students in each semester, in principle, the credits of long semester teaching mode shall not more than 20 and the credits of intensive block teaching mode shall not more than 10.

2. The course teacher shall complete the submission of course scores within two weeks after the end of the course assessment. Those who are dissatisfied with the examination scores may make a written application for the check of examination papers (the application form can be downloaded from the download area on the Graduate School website) and submit the application form to the Graduate School within one week after the submission of the scores. In case of holidays, the time will be automatically extended accordingly.

3. Only when the credits of courses taken by graduate students are not less than 80% of the required credits for the graduation, the proposal can be allowed and is generally arranged in the third semester.

4. Graduate students shall complete all the courses specified in the individual training plan and obtain the credits before the defense, and the credits shall meet the requirements for total credits and individual credits of the major; otherwise, the defense is not allowed.

Chinese Version

西南交通大学简介

西南交通大学肇建于 1896 年，曾先后定名为“山海关北洋铁路官学堂”、“唐山交通大学”、“唐山铁道学院”等，是中国近代建校最早的高等学府之一，素有“中国铁路工程师的摇篮”和“东方康奈尔”之称。历经世纪耕耘，今日之交大已成为一所以工科为主、轨道交通为特色、多学科协调发展的全国重点大学。学校总占地面积近 5000 亩，已形成“一校两地三校区”的办学格局：“镜湖如鉴，竹影横斜”的九里校区、“虹桥飞渡，杨柳依依”的犀浦校区、“峨眉山麓，钟灵毓秀”的峨眉校区。

学校拥有完整的学士—硕士—博士培养体系，设有 26 个学院，有 39 个一级学科硕士学位授权点，19 个一级学科博士学位授权点和 11 个博士后流动站。学校拥有一支博学多闻、穷究学理的教师队伍，现有专任教师 2600 余名。其中，中国科学院院士 4 人，中国工程院院士 8 人，教授、副教授 1200 余名，另外还聘请了 40 余位中国科学院院士、中国工程院院士为兼职教授。

近年来，学校加大开放式、国际化办学力度，同世界上 54 个国家、地区的 166 所高校和科研院所建立了长期合作伙伴关系，吸引了近一千名留学生来我校学习和深造。

交大精神

实事求是 自强不息

办学传统

严谨治学 严格要求

研究生院办事指南

西南交通大学研究生院旨在为学生提供出色的研究生培养过程，营造优良的学习氛围及科研环境，共创出色的研究生学习成果，及多元化的专业学位项目；研究生院作为学校学位与研究生教育政策及程序的管理部门，更是致力于不断提升管理水平，为全校师生提供更优质的服务。

联系方式：

招生办公室： 招生咨询: 028-66367561

培养办公室： 课程与成绩咨询: 028-66367296

学位办公室： 论文相关咨询: 028-66367155

专业学位办公室： 专业学位咨询: 028-833637235

学科中心： 学科相关咨询: 028-66367232

综合管理办公室： 其他咨询: 028-66366293

更多研究生选课、论文工作等相关信息还可参考研究生院网站：

<http://gsnews.swjtu.edu.cn/>。

西南交通大学保留对各种政策的修改及解释权。

硕士留学生培养手册

1. 学习概况

1.1 学制和学习年限

硕士留学生学制为3年，最长学习年限为4年，原则上整个培养过程应在我校完成。

※项目研究生的学制以该项目要求的培养方案为准。

1.2 学习时间表

西南交通大学实行学年学分制。每一个学年包含两个学期：第一个学期从每年9月至次年1月，第二个学期从次年3月至7月。

第一学年（第1-2学期）：课程学习

第二至三学年（第3-6学期）：论文研究工作（论文研究工作不少于1年）

（1）第三学期内完成学位论文开题报告

（2）制定论文工作计划，进入论文工作

（3）论文答辩工作（预审——评阅——答辩）

1.3 论文发表要求

具体要求参见《西南交通大学关于研究生在学期间发表学术论文的规定》。

1.4 语言能力

以中文为专业教学语言的学科、专业中，来华留学生应当能够顺利使用中文完成本学科、专业的学习和研究任务；毕业时，其中文能力应当达到《国际汉语能力标准》五级水平。

以外语为专业教学语言的学科、专业中，来华留学生应当能够顺利使用相应外语完成本学科、专业的学习和研究任务；毕业时，其中文能力应当至少达到《国际汉语能力标准》三级水平。

2. 课程学习

2.1 课程和学分要求

应于一年内完成公共课程（10学分），专业课程（15学分）的学习以及必修环节（2学分），所修学分总数不低于27学分。

公共课程包含“初级汉语”（4学分）、“中级汉语”（4学分）、“高级汉语”（4学分）、“中国概况”（2学分），汉语类课程须修满8学分，“中国概况”为必修课。

必修环节包含“学术报告”（1学分）和“科研实践”（1学分）。硕士留学生应至

少参加5次国内外的学术报告或专题讲座，填写《研究生参与参加学术报告专题讲座登记卡》并向导师提交书面收获和体会（具体要求请咨询所在学院）；应参加科学实验训练、教学实践或社会实践和社会调查，撰写《研究生教学（科研）实践报告》。

※汉语类专业的硕士研究生学制以该专业的培养方案要求为准。

课程名称	学分	学期	学分要求
初级汉语	4	I	4
中级汉语	4	II	≥4
高级汉语	4	II	
中国概况	2	I / II	2
学术报告	1	II	1
科研实践	1	II	1

2.2 制定课程学习计划及选课流程

在导师的指导下，留学研究生应于第一个学期开学后三周内完成个人课程计划的制定以及本学期的选课工作。第二个学期的选课工作应在第二个学期开学后的两周内完成。变更个人课程计划须经导师同意。

*建议要求导师指定一位中国学生协助留学生选课。

2.2.1 选课流程

第一步：在导师的指导下，根据全校留学生课程库，拟定个人课程学习计划。

第二步：登录研究生院网页，输入用户名和密码（初始密码同学号），提交并打印课程学习计划。

第三步：登录研究生院网页，进入选课界面，输入课程代码或名称进行选课。

注意：

1. 若有申请免修的课程，只需完成第一步，即将该课程选入个人学习计划即可，无需选课。（详情请参阅“2.3 课程免修申请”）

2. 若超出选课规定时间选课，需填写《留学研究生课程变更申请表》并交至校研究生院培养办公室。原则上，第六周后不允许办理。

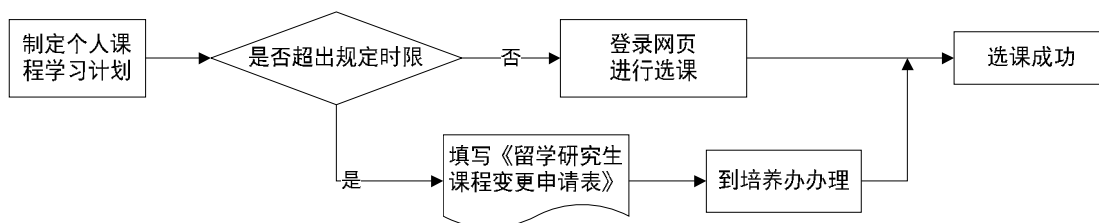


图 2-1 选课流程图

2.2.2 删除课程流程

第一步：登录研究生院网页，输入用户名和密码，进入选课界面，将课程从已选课程列表中删除。

第二步：将该课程从“个人课程学习计划”中删除。

注意：若超出规定时间删除课程，需填写《留学研究生课程变更申请表》并交至校研究生院培养办公室。原则上，第六周后不允许办理。

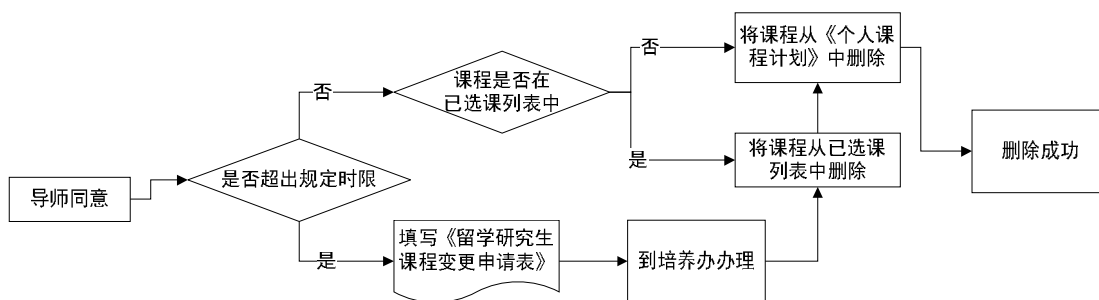


图 2-2 删课流程图

2.3 课程免修申请

满足以下条件的留学研究生可申请课程免修。

课程名称	免修条件
初级汉语	1. 学习过类似的课程并取得学分； 2. 通过了 HSK3 级。
中级汉语	1. 学习过类似的课程并取得学分； 2. 通过了 HSK4 级。
高级汉语	1. 学习过类似的课程并取得学分； 2. 通过了 HSK5 级。
中国概况	1. 学习过类似的课程并取得学分；

第一步：登录研究生院网页，选择课程免修功能进行申请。

第二步：任课教师将审核免修资格，若通过审核，该门课程的成绩将被标记为“M”（即“免修”），而不是具体的分数。

3. 学位论文工作

学位论文可以使用英文撰写，论文摘要须为中文。我校鼓励来华留学研究生使用中文撰写学位论文。

3.1 学位论文选题

硕士留学生一般应于第三学期内完成学位论文选题报告，请按照各学院的选题报告时间安排进行准备。在完成主要课程学习并通过论文选题报告后，进入论文工作阶段。

学位论文选题报告步骤如下：

第一步：联系导师，讨论论文选题。

第二步：下载并填写《硕士留学生选题报告》，提交给导师审核。

第三步：将选题报告提交至学院教务办公室，进行选题报告。

硕士留学生的论文工作应在导师的指导下，按论文工作安排计划进行。

3.2 学位论文答辩

在规定的学习年限内，按照培养计划完成课程学习，达到毕业学分要求，经导师同意，可根据所在学院的安排，申请硕士学位论文答辩。

3.2.1 硕士学位论文的基本要求

- (1) 论文的基本论点和结论，应在学术上或对国民经济建设具有一定的理论或实用价值；
- (2) 对论文所涉及的各个问题，应具有必要的基础理论和专门知识；
- (3) 对所研究的课题应有新的见解，表明作者具有从事科学研究工作或独立担负专门技术工作的能力。

3.2.2 申请学位论文答辩的步骤

第一步：论文经导师审定后，登录 <http://202.115.72.10/>，向图书馆申请学位论文检测，由图书馆出具检测报告。文科（即管理类或人文类）硕士留学生学位论文检测结果的文字重复百分比应小于或等于 30%，工科硕士留学生学位论文检测结果的文字重复百分比应小于或等于 25%。

学位论文检测联系电话：028-87634142 (九里)

028-66366221(犀浦) 028-66367935(犀浦)

* 请向所在学院咨询论文检测文字重复率的具体要求。

第二步：根据图书馆出具的检测报告，下载并填写《西南交通大学研究生学位论文检测说明》；根据所在学院的要求，提交其他材料，申请论文预审。

第三步：下载并填写“硕士留学生答辩材料”，准备论文评阅和答辩。

- ① 卷内目录（由秘书填写）；
- ② 答辩委员会成员名单审批表；
- ③ 申请学位审批表（双面打印）；
- ④ 研究生学位论文答辩记录（双面打印）；
- ⑤ 研究生学位论文学术评议书（一式两份，双面打印）；
- ⑥ 备考表（由秘书填写）；
- ⑦ 研究生学位论文答辩程序；
- ⑧ 西南交通大学应届毕业硕士研究生登记表（一式两份，双面打印）。

第四步：将以上材料和精装的学位论文交到学院教务办公室，按照学院要求进行论文答辩。

3.3.3 办理离校手续，领取毕业证书和学位证书

答辩通过后，到国际交流与合作处领取离校通知单，办理离校手续。离校手续完成后，到国际交流与合作处领取硕士毕业证书，学位办领取学位证书。

博士留学生培养手册

1. 研究生学习概况

1.1 学制和学习年限

我校的博士留学生学制为4年，最长学习年限为6年。原则上整个培养过程应在我校完成。如有特殊情况，可向导师、所在学院以及国际处提出申请，经批准后其课程学习、论文撰写可以部分在他国完成，但在我校进行学习和研究工作的时间累计不得少于一年半，并且其主要课程考试、学位论文答辩必须在我校进行。

1.2 学习时间表

西南交通大学实行学年学分制。每一个学年包含两个学期：第一个学期从每年9月至次年1月，第二个学期从次年3月至7月。

第一学年（第1-2学期）：课程学习，学位论文选题

第二学年（第3-4学期）：论文研究前期工作

（1）第三学期结束前完成学位论文开题报告

（2）制定论文工作计划

第三学年（第5-6学期）：论文中期考核

（1）第五学期内完成学位论文中期报告

（2）完成论文主干

第四学年（第7-8学期）：论文答辩

（1）完成论文初稿，交予导师审核

（2）预审：答辩前3个月申请，历时一个月左右

（3）评阅：由学位办公室组织实施，一般不超过2个月

（4）答辩：材料准备一周左右时间

1.3 论文发表要求

发表的论文原则上应为中文或英文版，如有其它文字版本的论文需有中文翻译件，并需获得相关专家的认证。其他具体要求，参见《西南交通大学关于研究生在学期间发表学术论文的规定》。

1.4 语言能力

以中文为专业教学语言的学科、专业中，来华留学生应当能够顺利使用中文完成本学科、专业的学习和研究任务；毕业时，其中文能力应当达到《国际汉语能力标准》五级水平。

以外语为专业教学语言的学科、专业中，来华留学生应当能够顺利使用相应外语完成本学科、专业的学习和研究任务；毕业时，其中文能力应当至少达到《国际汉语能力标准》三级水平。

2. 课程学习

2.1 课程和学分要求

应于一年内完成公共课程（10 学分），专业课程（7 学分）的学习以及必修环节（3 学分），所修学分总数不低于 20 学分。

公共课程包含“初级汉语”（4 学分）、“中级汉语”（4 学分）、“高级汉语”（4 学分）、“中国概况”（2 学分），汉语类课程须修满 8 学分，“中国概况”为必修课。

必修环节包含“学术报告”（1 学分）和“前沿性学术专题”（2 学分）。博士留学生应至少参加 8 次国内外的学术报告或专题讲座，其中本人主讲至少 1 次，填写《研究生参与学术报告专题讲座登记卡》并向导师提交书面收获和体会或主讲提纲；应参加至少 4 个前沿性学术专题，每个 4-10 学时。（具体要求请咨询所在学院）

课程名称	学分	学期	学分要求
初级汉语	4	I	4
中级汉语	4	II	≥4
高级汉语	4	II	
中国概况	2	I / II	2
学术报告	1	II	1
前沿性学术专题	2	II	2

2.2 制定课程学习计划及选课流程

在导师的指导下，留学研究生应于第一个学期开学后三周内完成个人课程计划的制定以及本学期的选课工作。第二个学期的选课工作应在第二个学期开学后的两周内完成。变更个人课程计划须经导师同意。

*建议要求导师指定一位中国学生协助留学生选课。

2.2.1 选课流程

第一步：在导师的指导下，根据全校留学生课程库，拟定个人课程学习计划。

第二步：登录研究生院网页，输入用户名和密码，提交并打印课程学习计划。

第三步：登录研究生院网页，进入选课界面，输入课程代码或名称进行选课。

注意：

1. 若有申请免修的课程，只需完成第一步，即将该课程选入个人学习计划即可，无需选课。（详情请参阅“2.3 课程免修申请”）

2. 若超出选课规定时间选课，需填写《留学研究生课程变更申请表》并交至校研究生院培养办公室。原则上，第六周后不允许办理。

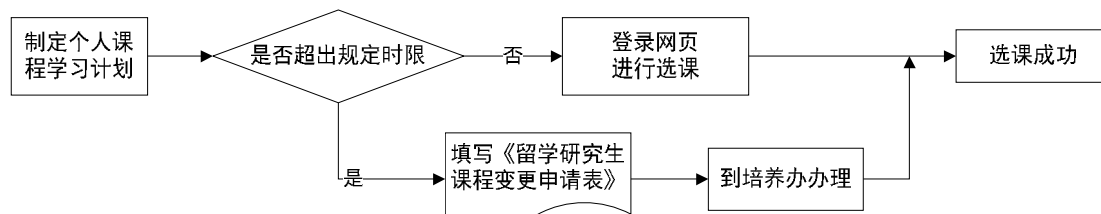


图 2-1 选课流程图

2.2.2 删除课程流程

第一步：登录研究生院网页，输入用户名和密码，进入选课界面，将课程从已选课程列表中删除。

第二步：将该课程从“个人课程学习计划”中删除。

注意：若超出规定时间删除课程，需填写《留学研究生课程变更申请表》并交至校研究生院培养办公室。原则上，第六周后不允许办理。

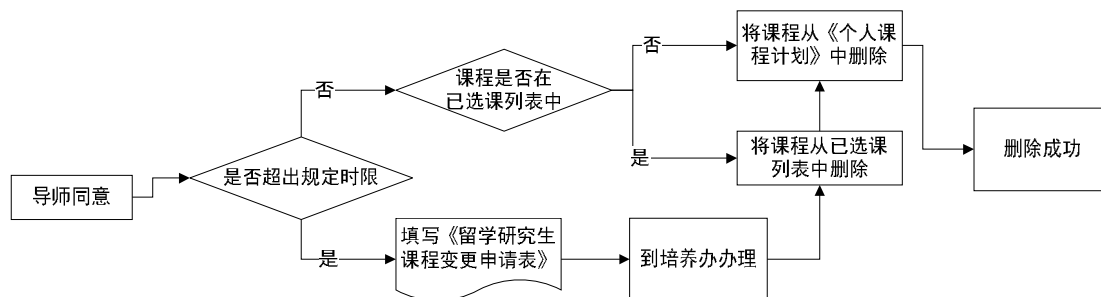


图 2-2 删课流程图

2.3 课程免修申请

满足以下条件的留学研究生可申请课程免修。

课程名称	免修条件
初级汉语	1. 学习过类似的课程并取得学分； 2. 通过了 HSK3 级。
中级汉语	1. 学习过类似的课程并取得学分； 2. 通过了 HSK4 级。
高级汉语	1. 学习过类似的课程并取得学分； 2. 通过了 HSK5 级。
中国概况	1. 学习过类似的课程并取得学分；

第一步：登录研究生院网页，选择课程免修功能进行申请。

第二步：任课教师将审核免修资格，若通过审核，该门课程的成绩将被标记为“M”（即“免修”），而不是具体的分数。

3. 博士留学生学位论文工作

学位论文可以使用英文撰写，论文摘要须为中文。我校鼓励来华留学研究生使用中文撰写学位论文。

3.1 学位论文选题

博士生的学位论文选题应在导师指导下，在第二学期结束前，最迟在第三学期内进行学位论文选题报告。

第一步：下载并填写《博士留学生学位论文选题报告》。

第二步：导师审核签字。

第三步：将《博士留学生学位论文选题报告》提交至所在学院，由学院安排选题报告事项。

博士学位论文选题报告按优、通过、不通过三级评定成绩，该成绩作为博士生“资格考试”的成绩。对其中优秀者（不超过 10%）可申请校博士生创新基金；对“不通过”者允许半年内修改、补充，再次申请选题报告，仍未通过者取消博士生资格。

博士留学生的论文工作应在导师的指导下，按论文工作安排计划进行。

3.2 学位论文中期考核

博士学位论文的中期考核是对博士生学位论文工作的一次阶段性考核，一般应在完成学位论文选题报告后的一年左右进行。

博士留学生下载并填写《博士留学生学位论文工作中期考核表》，由导师给出评语后，交由各院（系、中心）组织学位论文中期考核。

学位论文中期考核结论可分为优秀、合格、不合格三档。对于中期考核不合格者，考核小组应提出整改方向，并在半年后再次进行论文中期检查，如仍不合格，则应中断博士生培养。

3.3 学位论文答辩

在规定的学习年限内，按照培养计划完成课程学习，达到毕业学分要求以及学术论文发表要求，经导师同意，可根据所在学院的安排，申请博士学位论文答辩。

3.3.1 博士学位论文的基本要求

1. 论文的基本科学论点和结论，应在学术上或对国民经济建设具有较大的理论或实用价值；
2. 对论文所涉及各个问题，应具有较深广的基础理论和专门知识；
3. 对所研究的课题应在科学或专业技术上做出创造性的成果，表明作者具有独立从事科学研究工作的能力。申请人如有其他著作，可以提出，并与学位论文综合进行评议。

3.3.2 博士学位论文预审

1. 学位论文检测

论文经导师审定后，登录 <http://202.115.72.10/>，向图书馆申请学位论文检测，由图书馆出具检测报告。文科（即管理类或人文类）博士留学生学位论文检测结果的文字重复百分比应小于或等于 25%，工科博士留学生学位论文检测结果的文字重复百分比应小于或等于 20%。

学位论文检测联系电话：028-87634142 (九里)

028-66366221(犀浦) 028-66367935(犀浦)

* 请向所在学院咨询论文检测文字重复率的具体要求。

2. 学位论文预审

学位论文预审一般安排在学位论文正式答辩之前的 3 个月内进行。

第一步：下载、填写并打印《博士学位论文外审及答辩材料》中的《博士学位论文预审意见书》和《申请博士学位审批表》（博士生本人填写其中的“申请博士学位人员登记表”，“博士研究生学位论文答辩申请书”等；导师填写“博士研究生学位论文指导教师学术评议书”）。

第二步：根据所在学院要求，提交相关材料。由学院安排预审。

- ① 《申请博士学位审批表》
- ② 《博士学位论文预审意见书》（匿名，一般 3 份）
- ③ 匿名学位论文（3 份）
- ④ 论文中所列(已发表和录用)文章全部复印一份（包括杂志封面、目录、文章）
- ⑤ 图书馆出具的研究生学位论文检测报告以及《西南交通大学研究生学位论文检测说明》

预审时间一般为 1 个月左右，由预审专家对学位论文创新性和学术水平以及学位论文的理论研究和实验研究的立论依据、研究成果、关键性结论等进行审议。

第三步：根据预审结论修改和完善学位论文。

预审结论分为合格送外审、修改后送外审或不合格，具体做法请参照各学院的要求。

- ① 对于论文预审合格的博士生，可在论文完善定稿后申请学位论文同行专家评议；

② 对于论文预审结果为“修改后送外审”的博士生，应根据预审提出的意见，在3至6个月内对学位论文做进一步修改，经导师审阅同意后，方可申请学位论文同行专家评议；

③ 对于预审不合格的博士生，允许在两年内对学位论文中存在的关键性问题进行研究、修改、完善。经导师及预审专家审阅同意后，方可申请学位论文同行专家评议，申请时需提供论文修改情况的书面说明。

3.3.3 学位办审核和同行专家评议

论文定稿后，向校学位办申请学位论文通讯评审。从研究生院主页——“下载专区”处下载《博士学位论文外审及答辩材料》，按要求填写、准备如下材料：

- ① 《申请博士学位审批表》
- ② 《博士学位论文预审意见书》
- ③ 《西南交通大学博士学位论文专家评阅书》
- ④ 《博士学位论文同行评议建议专家名单》
- ⑤ 《博士研究生论文发表及科研成果信息登记表》
- ⑥ 学术论文原件（请参照论文发表要求）
- ⑦ 图书馆出具的学位论文检测报告
- ⑧ 博士学位论文（匿名，研究生和导师姓名分别用不同的符号代替）

经审核符合送审条件的，学位办将对博士学位论文组织同行专家评阅，时间一般不超过2个月。博士学位论文评阅实行1票否决制，同行专家评阅中只要有专家认为论文没有创新性成果或者创新性不明显，应暂缓安排该论文的答辩，须在3至6个月内对博士学位论文进行修改。修改完成后再由校学位办对博士学位论文组织复审。通讯评审全部返回无异议后，由答辩秘书提交《西南交通大学研究生学位论文答辩委员会名单》至校学位办，办理答辩审批手续，领取档案袋、答辩表决票和聘书，并从《博士学位论文外审及答辩材料》中准备好如下答辩材料：

- ① 《西南交通大学研究生学位论文答辩委员会名单》
- ② 备考表
- ③ 卷内目录
- ④ 同行评议意见综述表
- ⑤ 论文答辩记录表

3.3.4 学位论文答辩

由学院负责安排博士学位论文答辩，在校园内醒目处张贴2份以上答辩公告。答辩流程参见《博士学位论文外审及答辩材料》中《西南交通大学关于博士学位论文答辩管理工作的规定》。

3.3.5 答辩离校手续

答辩通过后，按要求填写、准备《博士学位论文外审及答辩材料》中的《西南交通大学

申请博士学位人员登记表》(双面打印)和《西南交通大学应届毕业博士生登记表》，各打印2份交院、系学位评定分委会。

答辩通过后，到国际交流与合作处领取离校通知单，办理离校手续。离校手续完成后，到国际交流与合作处领取硕士毕业证书，学位办领取学位证书。

校学位评定委员会进行审议批准。

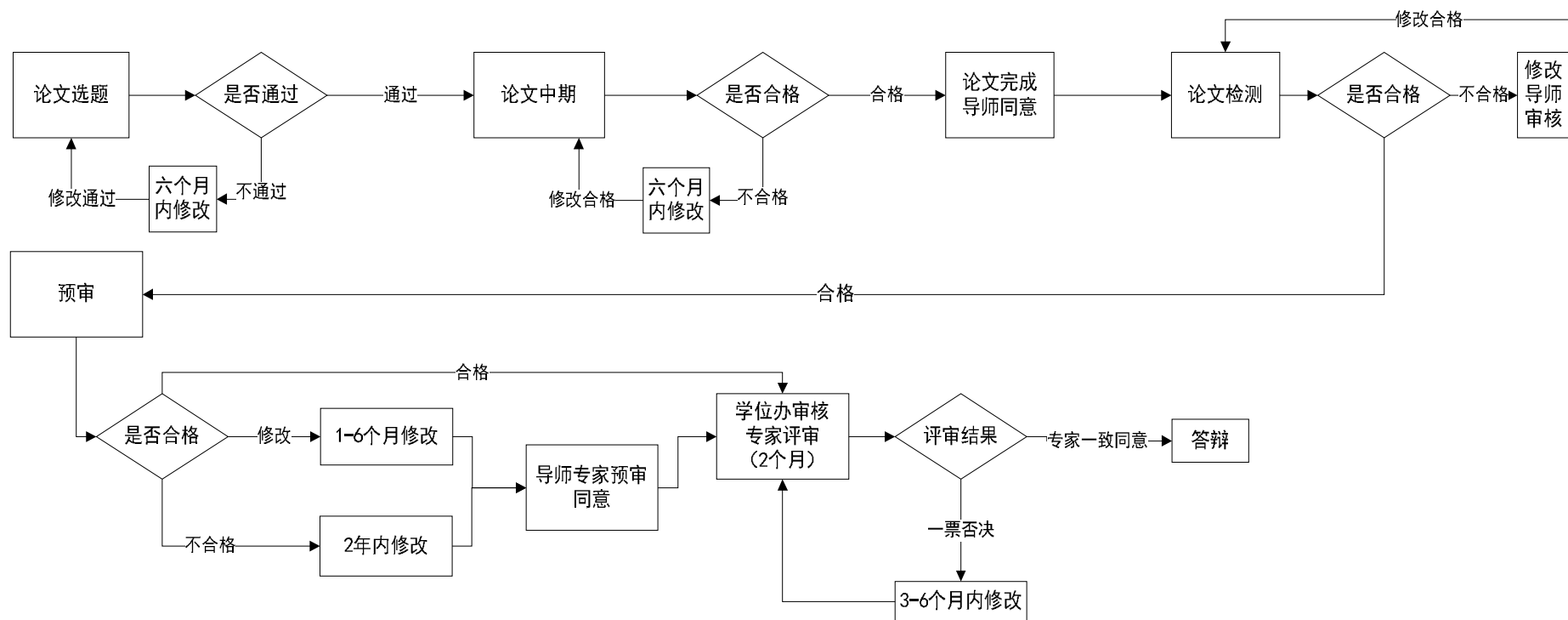


图 3-1 博士学位论文答辩流程图

4. 研究生管理相关参考文件

西交校研（2019）24号
西南交通大学研究生学籍管理规定

第一章 总则

第一条 为了贯彻国家的教育方针，维护正常的教学秩序，加强和完善研究生的学籍管理，促进研究生德、智、体、美等全面发展，保证研究生的培养质量，依据《中华人民共和国教育法》、《中华人民共和国高等教育法》、《普通高等学校学生管理规定》（教育部令第41号）和《西南交通大学章程》，特制定本规定。

第二条 本规定适用于西南交通大学按照国家招生政策、招生规定录取的接受学历教育的研究生。

第二章 入学与注册

第三条 按国家招生规定录取的新生，持录取通知书和相关材料，按照报到须知的要求在规定的期限内到学校指定的地点办理入学手续。因故不能按期入学者，须凭有效证明，向所在学院请假，并由学院报研究生院备案。在学校规定的报到期限内未请假或者请假逾期者，除因不可抗力等正当事由以外，视为放弃入学资格。请假时间一般不得超过两周。

第四条 学校在新生入学报到时对新生入学资格进行初审，审查合格的办理入学手续，予以注册学籍；若审查发现新生的录取通知书、考生信息等证明材料与本人实际情况不符，或者有其他违反国家招生考试规定情形的，取消入学资格。

第五条 研究生新生因应征参加中国人民解放军(含中国人民武装警察部队)、参加研究生支教团等国家专项计划、患身心疾病或因创新创业实践等无法按时报到入学者，可申请保留入学资格。

第六条 因应征参加中国人民解放军(含中国人民武装警察部队)申请保留入学资格者，保留入学资格期限以年为单位，保留期限至其服役期满后第一个新生入学学期。因参加研究生支教团专项计划、身心疾病、创新创业实践等原因确需申请保留入学资格者，保留入学资格期限以年为单位，且只能保留1年。

第七条 申请保留入学资格者须由本人向学校提出书面申请，同时提供相关证明材料和情况说明(因身心疾病不宜在校学习者，需提交国家三级甲等医院的相关诊断证明)，审核通过者可保留入学资格。保留入学资格者不具有学籍。

保留入学资格者应在下一年度新生入学报到时向学校申请入学。经学校审查合格后(因身心疾病保留入学资格者须由国家三级甲等医院出具相关证明)，办理入学手续。审查不合格或者逾期不办理入学手续者，取消入学资格。

第八条 研究生入学后，学校在3个月内按照国家招生规定进行复查。

第九条 每学期开学时，研究生应按学校规定按时返校，本人持研究生证到所在学院办理注册手续。不能如期注册者，须向所在学院请假，请假时间一般不得超过两周，未请假或者请假逾期者，除因不可抗力延迟等正当理由以外，一律按自动退学处理。

第十条 未按学校规定交纳学费或者其他不符合注册条件的不予注册。家庭经济困难的研究生可申请助学贷款或其它形式资助，办理有关手续后注册。

第三章 学制与学习年限

第十一条 研究生学制是指各类研究生完成学业所需的基本年限，研究生最长学习年限是指各类研究生完成学业的最长年限。

第十二条 西南交通大学实行学年学期制。每一学年包含两个学期：第一个学期一般从每年9月至次年1月，第二个学期一般从次年3月至7月。

第十三条 博士研究生和硕博连读研究生(博士阶段)学制均为4学年，在校学习的最长年限为6学年(含休学)；直博研究生学制为5学年，在校学习的最长年限为6学年(含休学)；工程博士研究生学制为4学年，在校学习的最长年限为7学年(含休学)。

硕士研究生学制为3学年，其中全日制硕士研究生在校学习的最长年限为4学年(含休学)，非全日制硕士研究生在校学习的最长年限为5学年(含休学)。

MBA(工商管理硕士)、MPA(公共管理硕士)、MPACC(会计硕士)学制为2学年，在校学习的最长年限为5学年(含休学)。

第四章 考核与成绩记载

第十四条 研究生须参加培养计划规定的课程和各种教育教学环节(以下统称课程)的考核，考核成绩记入成绩单，并归入本人学籍档案。

第十五条 考核分为考试和考查两种。研究生的公共课程、基础课程和专业主干课程必须经过考试，考试成绩采用百分制评定。其它课程考核方式可根据课程性质特点及教学要求由课程所在学院和主讲教师确定，评分采用百分制或等级制。考核不合格的课程须通过补考或重修的方式获取成绩及相应学分。

第十六条 研究生思想品德的考核、鉴定，要以《高等学校学生行为准则》为主要依据，采取个人小结、师生民主评议等形式进行。各学院须按学期组织开展研究生思想品德的考核、鉴定工作，并将考核鉴定结果留存备查。

第十七条 研究生应在导师的指导下，制定个人培养计划并合理安排学习进度，每学期选课一般不宜超过20学分。非全日制研究生每学期选课一般不超过10学分。

第十八条 研究生可以根据校际间协议申请跨校修读课程。申请需经导师和所在学院同意，并报研究生院备案。所修读的课程成绩(学分)由研究生所在学院审核，报研究生院审定后予以承认。

第十九条 研究生的学业成绩将被真实、完整的记载；在出具的学业成绩材料中，通过补考、重修获得的成绩将予以明确的标注。

研究生严重违反考核纪律或者作弊的，该课程考核成绩记为无效，并按照《西南交通大学研究生考试违规处理规定》给予相应纪律处分。经教育表现较好，可以对该课程给予补考或者重修机会。

因退学等情况中止学业的学生，重新参加研究生入学考试、符合录取条件，再次入学的，其已在我校所修课程及获得的学分，经本人申请、导师同意，学院审核、研究生院审定后，予以承认。

第二十条 研究生如有特殊情况不能按时参加教育教学计划规定的活动，应事先请假并获得批准。请假时间在两周以内，需经导师、任课教师批准，学院登记备案；请假时间两周以上、一个月以内，应由研究生本人填写《西南交通大学研究生请假单》，经导师、任课教师同意、学院主管领导批准，报研究生院备案。每位研究生每学期请假原则上累计不得超过一个月。无故缺席的，根据《西南交通大学学生纪律处分规定》给予批评教育，情节严重的，给予相应的纪律处分。

第二十一条 研究生须具备优良的诚信品质与学术道德。对有严重失信行为的，按照《西南交通大学学生纪律处分规定》给予相应的纪律处分；对违背学术诚信的，按照《西南交通大学学术道德规范》对其获得学位及学术称号、荣誉等作出限制。

第五章 转导师、转专业、转层次与转学

第二十二条 研究生入学后原则上不得申请转导师。如导师因工作调动、退休、身体健康等原因不能正常履行指导职责，以及其他特殊原因需转导师，研究生可以提出申请，原则上须经转出、转入导师同意，学院主管研究生工作领导批准，报研究生院审核备案。

研究生转导师后，应在新导师指导下完成培养方案要求。从事毕业论文工作时间，硕士研究生原则上应不少于1学年，博士研究生原则上应不少于2学年。

拟转入的导师当年须在研究生所在学院具备研究生招生资格，且连同申请者在内指导的同学位层次研究生原则上不能超过学校或学院限定的最高人数。

第二十三条 研究生与导师在转导师事项上存在分歧和争议的，由学院学位评定分委员会或学院党政联席会裁定，裁定意见报送研究生院审核备案。

第二十四条 研究生转专业相关申办流程按《西南交通大学研究生转专业实施细则》执行。

第二十五条 研究生应在被录取的学校完成学业。如患特定疾病而无法在本校继续就读的或确有特殊困难而无法继续在本校学习的，可申请转学。

第二十六条 研究生有下列情形之一者，不得转学：

- (一) 入学未满1学期者、硕士生在校期已满3学期者和博士生在校期已满5学期者；
- (二) 以定向就业招生录取或与学校有特定培养协议的；
- (三) 由低学历层次转为高学历层次的；
- (四) 拟转入学校、专业的录取控制标准高于其所在学校、专业的；
- (五) 应予退学的；
- (六) 推荐免试研究生；
- (七) 无其他正当转学理由的。

第二十七条 博士研究生有以下情形之一者，可办理博转硕手续：

(一) 博士研究生入学满一学年后，经导师提出，学院学位评定分委员会审核不宜继续攻读博士学位的；

(二) 博士研究生入学满一学年后，本人主动提出转为攻读硕士的。

第二十八条 申请博转硕的研究生，经导师、学院审核认定后，报送研究生院审核。研究生院审核通过后，研究生院向省教育厅提出将其博士研究生学籍转为硕士研究生学籍的申请，恢复为硕士研究生学籍，注销其博士研究生学籍。

第二十九条 博转硕的研究生转为硕士后，硕博连读生入学时间以取得硕士学籍时间起算，其他博转硕的研究生入学时间以取得博士学籍时间起算。

第三十条 研究生转学须经校长办公会研究决定。在转学程序完成后的两周内，学校通过有关途径予以公示。

第三十一条 研究生转学流程在省级教育行政部门严格监督和管理下进行。

跨省转学的，由转出地省级教育行政部门协商转入地省级教育行政部门，按照转学条件确认后办理转学手续。须转户口的由转入地省级教育行政部门将有关文件抄送转入校所在地公安机关。

第六章 休学与复学

第三十二条 研究生可以在最长学习年限(含休学和保留学籍)内，分阶段完成学业。申请休学或者学校认为应当休学的，可以休学。休学由研究生本人提出书面申请，在本人明确权责、导师和学院审核同意，并经研究生院批准后休学。

第三十三条 研究生有下列情况之一者，可申请休学：

- (一) 因身心疾病不能在校学习者；
- (二) 因生育需要中断学业者；
- (三) 因创业需要休学者；
- (四) 因其他合理原因需中断学业者。

第三十四条 休学时间一般以学期为单位，期满后仍不能复学的，可申请继续休学，累计休学时间不得超过1年。定向研究生须经定向单位同意才可申请休学。

第三十五条 在校研究生应征参加中国人民解放军(含中国人民武装警察部队)，可申请保留学籍，保留期限至其退役后第2年。在校研究生参加学校组织的跨校联合培养项目，可申请保留学籍，保留期限以联合培养的具体协议为准。在保留学籍期间，本人与实际所在的部队、学校等组织建立管理关系。

第三十六条 申请休学的研究生须办理相关手续后才能离校。休学期间，不享受在校研究生待遇，学校对其不承担任何法律责任。研究生因病休学，其医疗费用按国家和四川省的有关规定办理。

第三十七条 研究生休学期满，按下列规定办理复学手续：

(一) 因身心疾病休学的研究生，应在学期开学前向学校申请复学。申请复学时，应持二级甲等(含)以上医院证明，经学校指定医院复查合格后，向所在学院申请复学，经学院审核，研究生院批准后，办理复学注册手续。

(二) 因非健康原因休学的，须持有关证明材料办理复学手续。

(三) 在休学期满不办理复学手续者，作退学处理。

(四) 研究生在休学期间违法乱纪、情节严重的，取消其复学资格。

第七章 退学

第三十八条 研究生有下列情形之一，学校将对其作出退学处理：

(一) 在学校规定的最长学习年限内(含休学)不能毕业者，且未办理结业或肄业手续的；
(二) 休学、保留学籍期满，在学校规定期限内未提出复学申请或申请复学经复查不合格的；

(三) 经三级甲等医院诊断，患有特定身心疾病或意外伤残无法继续在校学习的；

(四) 超过学校规定期限未到校报到注册的；

(五) 因个人或家庭等原因主动申请退学的；

(六) 学位论文撰写过程中出现购买、由他人代写、剽窃或者伪造数据等作假情形，情节严重给予开除学籍处分的；

(七) 其它应予退学的。

第三十九条 对由研究生本人申请退学的，经学校审核同意后，依规按时办理退学离校手续。

达到最长学习年限且未能毕业或结业等情形，被学校拟作退学处理的，由校长办公会或者校长授权的专门会议研究决定通过后作退学处理。

第四十条 对被学校作出退学处理的研究生，由学校出具相关退学文件并送达本人，学生拒绝签收的，以留置方式送达；已离校的，采取邮寄方式送达；难于联系的，利用研究生院网站以公告方式送达。并注销其学籍，同时报省级教育行政部门备案。退学文件无法送达本人的，在研究生院官网予以公告，公告期满5个工作日视为送达。

第四十一条 凡主动申请退学的研究生，申请一经批复，学籍即时注销，不得撤回退学申请。

第四十二条 退学研究生应在1个月内办理离校手续，涉及就业、档案和户口等事宜的应及时到学校相关管理部门办理手续。

第八章 毕业、结业和肄业

第四十三条 研究生在学校规定的学习年限内，修完学校培养方案规定的内容和环节，达到学校毕业要求，论文答辩通过者，颁发毕业证书。

符合学校学位授予条件的，颁发学位证书。

第四十四条 研究生在完成规定的培养环节且成绩合格，并达到《西南交通大学研究生学位论文提前答辩管理规定》（试行）的要求，可申请提前答辩，答辩通过者可提前毕业。申请提前答辩的研究生在校时间需满足下述条件：

（一）硕士研究生申请提前答辩时在校时间须满 2 年(不含休学)；

（二）博士研究生(含硕博连读)申请提前答辩时博士阶段在校时间须满 3 年(不含休学)；直博研究生申请提前答辩时在校时间须满 4 年(不含休学)。

第四十五条 研究生在学校规定的学习年限内，完成规定的培养环节且成绩合格、通过学位论文开题、表现良好，未达到学位论文答辩要求或未通过学位论文答辩，经本人申请，导师和所在学院领导同意，报研究生院培养办核准后，准予结业，并颁发结业证书。

（一）结业的硕士研究生，可在结业后 1 年内，再次申请硕士学位论文答辩。答辩通过后，经学校学位委员会审核同意，学校将收回结业证书，同时颁发硕士毕业证书和学位证书；

（二）结业的博士研究生，可在结业后 4 年内，再次申请博士学位论文答辩。答辩通过后，经学校学位委员会审核同意，学校将收回结业证书，同时颁发博士毕业证书和学位证书；

（三）结业的研究生，在规定的年限内，有且仅有一次答辩机会。

第四十六条 申请结业的研究生可在结业生效后的 1 个月内办理离校手续。

第四十七条 学满 1 学年以上退学的研究生，可向学校申办肄业证书。在校未达 1 学年退学的研究生，可向学校申办相应的学习和成绩证明。

第九章 学业证书管理

第四十八条 学校严格按照招生时确定的办学类型和学习形式，以及研究生招生录取时上报并经审核通过的个人信息，填写、颁发学历证书、学位证书及其他学业证书。

第四十九条 研究生在校期间变更姓名、出生日期等证书需填写的个人信息，在向学校提出申请更改时，须有合理、充分的理由。本人填写《西南交通大学研究生学籍信息变更申请表》，并提供有法定效力的相应证明文件，在学校审核后，提交教育部学籍学历信息管理平台处理。

第五十条 学校执行高等教育学籍学历电子注册管理制度，每年将毕(结)业信息、毕(结)业证明书信息在中国高等教育学生信息网(简称“学信网”)上予以注册，在研究生办完离校手续后颁发相应证书。具体的管理和实施办法详见《西南交通大学研究生毕(结)业证书制作、发放及学历注册相关工作实施细则》。

第五十一条 学历证书照片图像采集工作的时间由新华社四川省分社统一安排，每年图像采集工作的实施将择具体时间发布通知。

第五十二条 研究生毕(结)业学历注册以及相关证书的发放等具体流程，以研究生院每年发布的具体通知为准。

第五十三条 对违反国家招生规定取得入学资格或者学籍的，学校取消其学籍，不发学历证书、学位证书；已发的学历证书、学位证书，学校依法予以撤销。对以作弊、剽窃、抄袭等学术不端行为或者其他不正当手段获得学历证书、学位证书的，学校依法予以撤销。

被撤销的学历证书、学位证书已注册的，经校长办公会或者校长授权的专门会议研究通过后，学校予以注销，同时报教育行政部门宣布无效。

第五十四条 学历证书和学位证书遗失或者损坏，经本人申请，学校核实后出具相应的证明书。证明书与原证书具有同等效力。

第十章 研究生申诉

第五十五条 研究生对学校的学籍相关处理决定有异议的，可以按《西南交通大学学生申诉管理规定》提起申诉。

第十一章 附则

第五十六条 对港澳台侨研究生、留学研究生的管理，参照本规定执行。

第五十七条 本规定自 2019 年 8 月 20 日起施行。原《西南交通大学研究生学籍管理规定》同时废止。校内其它有关研究生学籍学历的管理文件、规定与本规定不一致的，以本规定为准。

第五十八条 本规定由研究生院负责解释。

西南交通大学关于研究生课程考核和成绩管理实施细则

一、考核范围、方式与评分方法

1. 凡属培养计划内的课程，均须进行考核。考核成绩计入成绩单，并在毕业时归入本人档案。

2. 考核分为考试和考查两种。研究生的公共课、基础课和主要专业课必须经过严格考试，考试成绩采取百分制。其他课程考核方式可根据课程性质特点和教学要求由开课学院和主讲教师确定，评分采取百分制或等级制。各培养单位每学期的考试课程原则上不得低于所开课程的60%。

3. 《科研(教学)实践》、《学术报告》、《前沿技术专题》、《前沿性学术专题》和《专业实践》进行考查，按优(A⁺、A、A⁻)、良(B⁺、B、B⁻)、及格(C⁺、C、C⁻)、不及格(D)等级评定成绩。

4. 每学期第18、19周为考试周，研究生院于第15周前下达公共课考试安排，各学院教务员应于第17周前将本学院基础课、专业课考试安排上报研究生院培养办公室。考试安排应明确起止时间、地点、任课教师、监考人员，考试安排一旦确定，不得随意更改。

5. 如学院基础课、专业课考试安排与公共课考试相冲突，以公共课考试安排为准。

6. 考试周所有教室由研究生院统一安排使用，如需借用应重新办理手续。

二、考核命题

课程考核是教学过程中的一个重要环节，各任课教师必须严格执行考核制度和评分标准。

命题要有利于促进独立思考，增强分析和解决问题的能力，难易程度和题量应符合教学大纲要求，同时应确定试卷各题考分。

三、缺考、补考、重修、免修

1. 无故不参加考核者，按缺考处理且不能报名补考，成绩单中注明“缺考”字样；无故不参加补考考试者，按缺考处理，成绩单中注明“缺考”字样。

2. 课程考试未通过者，可报名参加课程补考，成绩单中注明“补考”字样。

3. 已取得课程成绩、再次选修相同课程者，成绩单中注明“重修”字样。

4. 凡申请英语公共课课程免修者，须在第1学年第1学期第1周内完成网上操作（过时视为自动放弃免修资格），上传相关证明材料，经研究生院审核通过后，获取课程成绩；凡申请其他课程免修者，须在第1学年第1学期第1周内完成网上操作（过时视为自动放弃免修资格），并提交纸质免修申请及相关证明材料，经学院审批通过后报研究生院审核，研究生院审核通过后，获取课程成绩。

四、成绩转录、补录和变更

1. 硕博连读生，成绩转录申请时间为博士一年级第1学期第1周内完成个人网上操作，待导师、学院和研究生院审核通过后，成绩转录成功。

2. 硕士研究生，在研究生入学以前随堂学习过研究生课程的，可凭学习的原始凭证向其所在学院提出课程的书面转录申请，并在第1学年第1学期第1、2周内完成网上操作，待学院汇总后交研究生院审批；若网上无成绩记录者，还需由相关学院提供总成绩单和该生原始成绩单复印件，以及课程考试原始材料和复印件；学习期间所选研究生必修环节的课程（《科研(教学)实践》、《学术报告》、《前沿技术专题》和《形式与政策》等）和实践类的课程（专业实践、科研实践、艺术专题实践等）成绩无效，不予转录。

3. 研究生在外学习交流，需经导师、学院同意后，报研究生院备案，在外校修读的课程成绩(学分)由学院组织审核，确定其考核标准已达到我校同类研究生课程水平的，方可申

请成绩转录，并提供相关交流文件复印件、原始盖章成绩单复印和成绩相关证明材料。在外校听课所产生的费用自理。私自外出听课，一律不予承认。

4、因任课教师未按时提交成绩或者提交成绩失误而造成的成绩缺失的、错误的，应予以补录或更改。由于学生未选课、选错课、欠费等原因造成成绩缺失者一律不予补录，按重修处理。

五、其他

1、硕士研究生每学期的选课，上课形式为长学期授课的原则上不超过 20 学分，上课形式为集中授课的原则上不超过 10 学分。

2、任课教师在课程考核结束两周内完成课程成绩提交，若对考试成绩有异议者可提出书面申请查卷（申请表在研究生院网站下载专区下载），并在成绩提交后的一周内将申请表递交研究生院，若遇假期时间自动顺延。

3、硕士研究生所获得课程学分不低于毕业要求学分的 80%，方能开题，且开题一般安排在第 3 学期。

4、硕士研究生答辩前须完成个人培养计划中所有课程并获得学分，且满足本专业所要求的总学分和单项分学，否则不予答辩。

西交校研[2014]14 号

西南交通大学关于研究生在学期间发表学术论文的规定

第一条 总则

1. 为进一步提高研究生培养质量和科研能力，逐步提升我校研究生的学术水平和在国内的学术地位，特制定本规定。

2. 本规定适用于我校在学全日制博士、硕士研究生（含同等学力申请硕士学位人员）。

3. 研究生在学期间须以第一作者（如是第二作者、导师应为第一作者）发表与学位论文工作相关的学术论文（第一署名单位应为西南交通大学）。

4. 除特殊说明外，所有论文应在《西南交通大学学术期刊分级目录》（以下简称：分级目录）规定的刊物（不含增刊）上正式发表（含在线发表）。

5. 研究生在学期间发表专著、获得国家级科研奖励、申请发明专利等，可折算为学术论文，具体折算关系由各学位评定分委员会（以下简称：分委会）自行确定，但要求折算篇数不能超过 1 篇，折算级别不能超过 B+类，折算标准应对外公示并报校学位评定委员会备案。

6. 各分委会根据学科、专业的具体情况，在不低于本规定标准的基础上，可按分委会、按学院或按学科制定具体的标准和实施细则，报校学位评定委员会备案后，即可对外公布实施。

第二条 博士研究生在学期间论文发表基本要求

博士研究生在学期间须在分级目录规定的刊物上正式发表论文，达到下列四条之一，方可申请进行学位论文答辩。

1. 发表 A+类及以上论文至少 1 篇；
2. 发表 A 类及以上论文至少 2 篇；
3. 发表 B+类及以上论文至少 3 篇（其中 A 类及以上论文至少 1 篇）；
4. 发表 B 类及以上论文至少 4 篇（其中 B+类及以上论文至少 2 篇）。

上述条件中的学术论文须有一篇为外文学术论文，如都是中文学术论文，要求在正式刊物或学术会议上另外发表一篇外文学术论文。对于会议论文，最多只计 1 篇，且至少需要发表 1 篇非会议论文。

第三条 硕士研究生在学期间论文发表基本要求

1. 学术型硕士研究生在学期间应正式发表与学位论文相关的学术论文至少 1 篇，方可申请学位论文答辩。

2. 专业学位研究生在学期间论文发表要求由各分委会结合实际情况自行制定，并报校学位评定委员会备案。

第四条 其他

1. 本规定从 2014 年入学的研究生开始实行。
2. 本规定由研究生院负责解释。

西交校研（2019）25号

西南交通大学研究生转专业实施细则

第一章 总则

第一条 根据教育部《普通高等学校学生管理规定》、《西南交通大学研究生学籍管理规定(试行)》，为进一步规范研究生转专业管理工作，便于学生合理安排学习计划，结合我校研究生教育教学实际情况，特制定本实施办法。

第二条 本办法适用于我校按照国家招生政策、规定录取的接受学历教育的研究生。

第二章 基本要求

第三条 研究生原则上应当在被录取的学科专业完成学业。有下列情况之一的研究生，可以提出转专业申请：

- (一) 因学科专业调整，或学校学科建设与发展需要；
- (二) 研究生对拟转入学科专业有浓厚兴趣并有突出成果；
- (三) 在学制时间内，因健康原因，经学校指定的二级甲等及以上医院证明不能在原专业继续学习；
- (四) 其他特殊原因。

第四条 有下列情况之一者，不受理转专业申请：

- (一) 新生入学未满一学期；或硕士研究生在校学习时间超过 2 年、博士研究生在校学习时间超过 3 年；
- (二) 全日制专业学位研究生不得申请转入全日制学术学位研究生专业；
- (三) 学习形式(全日制和非全日制)不同的研究生不能互转专业；
- (四) MBA、MPA 和 MPACC 中的非全日制学生不能转专业，其它专业学生不能转入以上专业；
- (五) 已经转过一次专业；
- (六) 所在专业在招生时有明确相关限制或明确为照顾专业；
- (七) 研究生拟转入专业的当年复试线高于其所在专业的当年复试线；
- (八) 参加单独考试被录取的研究生；
- (九) 属于联合培养、定向培养的研究生；
- (十) 处于休学、保留学籍、保留入学资格的研究生；
- (十一) 应予退学的研究生。

第五条 放宽退役研究生士兵复学转专业的限制。研究生士兵退役后复学，经本人自愿申请，学校同意并履行相关手续后，可转入本校其他专业学习，并按照转入专业相关规定管理。

第三章 申请程序

第六条 研究生申请转专业原则上应在每学期开学后前三周内办理相关申请手续。申请者应填写《西南交通大学研究生转专业申请表》，办理程序如下：

(一) 以二级学科录取的研究生申请在所属的一级学科内转专业，须转出、转入导师同意，转出二级学科、转入二级学科负责人同意，若涉及跨学院的还须转出、转入的分管研究生教学的院领导同意。转入研究生培养单位将该生的申请表、转入后研究生个人培养计划报送研究生院培养办。

(二) 在同一学科门类下跨一级学科申请转专业，经转出导师、转入导师同意，转出、转入的培养单位分管领导同意，拟转入单位需组织 3—5 位专家对申请人进行业务考核(面试或笔试)，并根据考核情况出具意见，将考核材料、考核意见、申请表以及研究生转入后培养计划报送研究生院培养办。

(三) 跨学科门类申请转专业，经转出导师、转入导师同意，转出、转入的培养单位分管领导同意，拟转入单位需组织专家组对申请人进行业务考核，且必须进行笔试和面试。专家组需对考核情况出具考核意见。接受单位将考核材料、考核意见、申请表以及研究生转入后培养计划报送研究生院培养办。

(四) 研究生院对各学院转专业拟接收名单进行汇总审核，并在研究生院网站公示 5 天，无异议后，报主管校领导批准。

(五) 研究生院对获批转专业的研究生做好学籍变动记载，并将相应名单送档案馆等相关单位。

第七条 获批转专业的研究生需执行转入专业的同级研究生培养方案，并遵守转入专业及学院的相关管理规定。

第八条 转专业学生的学习年限不受转专业的影响，仍从入学报到注册时间算起。学费标准按转入专业执行。

第四章 申诉与仲裁

第九条 研究生在申请或办理转专业（含转导师）的过程中，若出现争议的情况，研究生或指导教师可向其所在培养单位提出申诉，由其培养单位党政联席会裁决。

第十条 研究生对转专业结果有异议，可向研究生院提出申诉，由研究生教学工作委员会进行裁决。

第五章 附则

第十条 本细则自 2019 年 9 月 1 日起施行。

第十一条 学校授权研究生院对本细则进行解释。

西交校研[2017]22号

西南交通大学研究生考试违规处理规定

第一条 为维护学校研究生教育教学秩序，维护研究生考试的公平、公正，根据《中华人民共和国教育法》、《中华人民共和国高等教育法》、教育部《普通高等学校教育管理规定》，参照《国家考试违规处理办法》、《西南交通大学学生纪律处分规定》，特制定本规定。

第二条 考生不遵守考试纪律，不服从考试工作人员的安排与要求，有下列行为之一者，应当认定为考试违纪，取消该科目的考试成绩，并给予警告或严重警告处分：

- (一) 携带规定以外的物品或者所携带的物品未放置在指定位置的；
- (二) 未在规定的考点、考场、座位或未获得考试资格参加考试的；
- (三) 不服从监考人员安排与要求，拒绝出示研究生证、身份证等证件的；
- (四) 考试开始信号发出前答题或者考试结束信号发出后继续答题的；
- (五) 在考场或者禁止的范围内喧哗、吸烟或者实施其它影响考场秩序的行为的；
- (六) 未经考试工作人员同意在考试过程中擅自离开考场的；
- (七) 将试卷、答卷(含答题卡、答题纸等)等考试用纸带出考场的；
- (八) 用规定以外的笔或者答题纸或者在试卷以外的地方书写姓名、学号或者以其它方式在答卷上标记信息的；
- (九) 有其它违反考试规则但尚未构成作弊行为的。

第三条 考生破坏考试的公平、公正，以不正当手段获得或者试图获得试题答案、考试成绩，有下列行为之一者，应当认定为考试作弊，该科目的考试成绩无效，视其情节给予记过或留校察看处分：

- (一) 违规携带与考试内容相关的文字材料或者储存有与考试内容相关资料的电子设备参加考试的；
- (二) 在考试过程中旁窥、交头接耳、互打暗号或者手势的；
- (三) 抄袭或者协助他人抄袭试题答案或者与考试内容相关的资料的；
- (四) 抢夺、偷取他人试卷、答卷或者强迫他人为自己抄袭提供方便的；
- (五) 在考试过程中使用通讯、电子设备或者利用其它工具、方式传递试题答案、信息的；
- (六) 故意销毁试卷、答卷的；
- (七) 在答卷上填写与本人身份不符的姓名、学号等信息的；
- (八) 有其它以不正当手段获得试题答案或者考试成绩行为的。

第四条 学校、教师、考试工作人员在考试过程中或者在考试结束后发现下列情形之一的，应当认定直接相关的考生实施了考试作弊行为，该科目的考试成绩无效，并给予留校察看处分：

- (一) 通过伪造证件、证明、档案及其它材料非法获得考试资格和考试成绩的；
- (二) 评卷过程中被发现同一科目同一考场有两份以上(含两份)答卷答案雷同的；
- (三) 考场纪律混乱、考试秩序失控，出现大面积考试作弊现象的；
- (四) 考试工作人员协助实施作弊行为，事后查实的。

第五条 非考试形式的课程考核中发现下列情形之一的，应当认定直接相关的学生实施了考核违规行为，该科目的考试成绩无效，并给予留校察看处分：

- (一) 通过各种渠道抄袭他人作品而内容无实质差别的；
- (二) 同一考核课程有两份以上(含两份)作品雷同的；
- (三) 同一作品在多门课程考核中使用而内容无实质差别的。

第六条 有下列行为之一者，属考试严重作弊，给予开除学籍处分：

(一) 由他人冒名顶替参加考试的，或者代替他人参加考试的；(若当事人不是在校研究生，则由学校出具书面通知函，建议其所在单位给予行政处分，学校按照作弊行为记录。)

(二) 策划组织作弊的；

(三) 使用通讯设备作弊情节严重的；

(四) 涂改他人试卷姓名占为己有的；

(五) 有一次考试作弊记录、第二次考试违纪受处分的；

(六) 有其它严重作弊行为的。

第七条 考生及其他人员应当自觉维护考试工作场所的秩序，服从考试工作人员的管理，如有下列扰乱考场及考试工作场所秩序的行为，视其情节，给予记过或留校察看处分：

(一) 故意扰乱考点、考场、评卷场所等考试工作场所秩序的；

(二) 拒绝、妨碍考试工作人员履行管理职责的；

(三) 威胁、侮辱、诽谤、诬陷考试工作人员或其他考生的；

(四) 有其它扰乱考试管理秩序行为的。

第八条 考生有第六条所列行为之一的，应当终止其继续参加本科目考试，该科目考试的成绩无效；考生行为违反《治安管理处罚条例》的，由公安机关进行处理；构成犯罪的，由司法机关依法追究刑事责任。

第九条 有下列情形之一者，加重处罚：

(一) 违纪后，认错态度不好者；

(二) 对检举人、证人威胁或者打击报复者。

第十条 处分的期限和程序按照《西南交通大学学生纪律处分规定》执行。

第十一条 考试违规处理程序：

(一) 考试过程中的违纪或作弊确认：考试工作人员在《研究生考试考场登记表》中记录考生违纪或者作弊事实经过，有证据或旁证时需附上证据或旁证材料，至少有两名考试工作人员签字确认。当事学生必须在事件发生后4小时之内做出书面陈述。

(二) 试卷、作品评阅中发现的违纪或作弊确认：由评阅教师或任课教师提交当事学生违纪或者作弊事实的情况报告，并提供当事学生违纪或者作弊的证据或旁证材料。当事学生必须在事件发生后4小时之内做出书面陈述。

(三) 学校、学院告知学生学校拟给予处分的种类，及做出处分决定的事实、理由及依据，并告知学生享有陈述和申辩的权利，听取学生的陈述和申辩。

(四) 学生所在学院提出处理意见，报研究生院审核备案。

(五) 警告、严重警告、记过和留校察看处分，研究生院审核后报请主管副校长批准。

(六) 开除学籍处分，研究生院审核后报请学校合法性审查，由校长办公会议研究决定。

(七) 处分决定书的出具和下达按《西南交通大学学生纪律处分规定》执行，并归入研究生本人档案。开除学籍处分决定书报省教育厅备案。

第十二条 研究生对考试违规处理决定有异议的，可以按照《西南交通大学学生申诉管理规定》提起申诉。

第十三条 本规定自2017年9月1日起施行，原《西南交通大学研究生考试违规处理规定》同时废止。

第十四条 本规定适用于所有在校研究生。

第十五条 学校授权研究生院、学生工作部(处)对本规定负责解释。