

Graduate School of Southeast University

XYS (2023) No. 49

Notice on Issuing the Measures on Management of the Pre-Defense of Doctoral Dissertations of Southeast University (Interim)

To all graduate student training units,

In order to reinforce the management of graduate students' training processes, continuously refine and enhance the training quality assurance system of graduate students, solidify the supervisor responsibility system, regulate pre-defense management, and ensure the quality of doctoral dissertations, the Measures on Management of the Pre-Defense of Doctoral Dissertations of Southeast University (Interim) was formulated. It is hereby issued for implementation.

Graduate School of Southeast University

September 11, 2023

(Proactive disclosure)

Measures on Management of the Pre-Defense of Doctoral Dissertations of Southeast University (Interim)

In order to reinforce the management of graduate students' training processes, continuously refine and enhance the training quality assurance system of graduate students, solidify the supervisor responsibility system, regulate pre-defense management, and ensure the quality of doctoral dissertations, the Measures was formulated.

Article 1 All graduate student training units shall standardize the organization of the pre-defense of doctoral dissertations, strengthen the review of doctoral dissertation quality, ensuring a substantive improvement in the quality of doctoral dissertations.

Article 2 Applying for the pre-defense shall, in principle, be permitted only at least one year following both the approval of the doctoral dissertation proposal and its review by Graduate Secretary of the training unit.

Article 3 A doctoral candidate who has fulfilled all courses and training processes stipulated in the training program and has completed the dissertation shall submit an application for the pre-defense of the doctoral dissertation to the corresponding training unit with the consent of the supervisor, and then fill out the Pre-Defense Application Form for Doctoral Candidates of Southeast University (Attachment 1).

Article 4 The training unit reviews the pre-defense application. Upon approval, it will determine the members of the pre-defense committee. Generally, the pre-defense committee shall consist of 3-5 members, each of whom shall be a doctoral supervisor or a specialist with a professor-level senior professional title. It shall have at least one off-campus expert. The Pre-defense Committee of Doctoral Dissertation for the Professional Degree shall have at least one industry expert. The supervisor shall not be a member of the pre-defense committee.

Article 5 The pre-defense of doctoral dissertations generally takes the form of on-site assessment. After the doctoral candidate introduces his/her research and principal content of the dissertation (about 50 minutes), the pre-defense committee shall strictly and meticulously review the dissertation, paying special attention to its systematicity, originality, research effort, avoidance of academic misconduct and conformity to writing standards, and then provide written comments on the existing problems as well as corresponding revision suggestions (recommendations).

Article 6 The pre-defense committee shall conduct an objective and impartial evaluation of the doctoral dissertation and determine whether the doctoral candidate passes or not, thus filling out the Pre-defense Opinion Form for Doctoral Candidates of Southeast University (Attachment2).

Article 7 Based on the opinions and conclusions made by the pre-defense committee, the doctoral candidate shall revise and perfect the dissertation. After receiving the supervisor's review and approval of the revised dissertation, the doctoral candidate is permitted to submit an application for the formal defense.

Article 8 For a doctoral candidate who has not passed the pre-defense, the pre-defense committee must state clearly the reasons for the failure and offer suggestions for revising the dissertation. After completing the revision, the doctoral candidate must retake the pre-defense. Upon passing the pre-defense, he/she is permitted to apply for the formal defense.

Article 9 If a doctoral candidate fails the pre-defense and objects to the reasons given for the failure, he/she has the right to file an appeal with the corresponding subcommittee and states the reasons for the appeal clearly. The appeal shall be addressed by the corresponding subcommittee. Upon acceptance of the appeal, he/she is permitted to apply for the formal defense. Upon dismissal of the appeal, he/she must take another pre-defense.

Article 10 The Measures shall take effect from the date of issuance.

Article 11 The Measures shall be interpreted by the Graduate School.

Attachment 1

Pre-Defense Application Form for Doctoral Candidates of Southeast University

Name:	Student ID:	School/College:
Major:	Supervisor:	
Doctoral Dissertation Title:		
Title and Date of Dissertation Proposal:		
No. of Application for the Pre-defense: _____; Date of Previous Pre-defense: _____ (Leave blank if it is the first application)		
Applicant of the Pre-defense: Date:		
Supervisor's Opinion:		
Signature of the Supervisor: Date:		
Off-campus Supervisor's Opinion (filled out by doctoral candidates for the professional degree):		
Signature of the Supervisor: Date:		
School/College Opinion:		
Signature: Date:		

Attachment 2

Pre-defense Opinion Form for Doctoral Candidates of Southeast University

	Name	Title	Discipline (Major)	Employer
Members of the				
Pre-defense				
Committee (the				
first listed serves as				
the Committee				
Chair)				

Revision Suggestion and Opinion for Doctoral Dissertation:

Pre-defense Result and Conclusion (please tick the appropriate box):

Excellent **Good** **Fair** **Pass** **Fail**

1. Pass, and upon review and approval by the supervisor and the School/College, the doctoral candidate is permitted to apply for the formal defense.

2. Pass, with dissertation revision required for: 1 month 3 months 6 months or longer.

Upon review and approval by the supervisor and the School/College, the doctoral candidate is permitted to apply for the formal defense.

3. Fail, dissertation revision required, with pre-defense to be retaken after: 3 months
 6 months or longer

Committee Chair (Signature) _____

Date of Pre-defense _____

Note: Additional pages may be added if the space allocated in this form is inadequate.

cc:

Graduate School of Southeast University

Issued on September 11, 2023
