

Measures for the Implementation of Southwest Jiaotong University for the Administration of Archives for Graduate Students

Chapter I General Rules

1. In order to strengthen and standardize the training process management for graduate students, and to further implement the *Measures for the Implementation of Training Process Management and Quality Supervision for Graduate Students in accordance with the Several Opinions on Further Strictly Regulating the Management of Degrees and the Education Quality for Graduate Students*, the *Regulations of Southwest Jiaotong University on the Cultivation of Graduate Students for Master's Degrees*, and the *Regulations of Southwest Jiaotong University on the Cultivation of Graduate Students for Doctoral Degrees* and other documents, we have specially formulated this measures.

2. The archive is the record of the activities of each training link by graduate students in accordance with the relevant regulations for graduate student's training of our school; the management of the archive is an important link in the management and quality supervision of the training process.

3. We implement the “archive by archive” system for the management of graduate students' archives. Graduate students are the completers and custodians of individual archives. The advising professor is the first person responsible for the archives of graduate students. The educational administration management department of each training unit is the department responsible for the filing and management of graduate students' archives, and the quality supervision group of each training unit and school is the inspection and supervision department for the management of graduate students' archives.

Chapter II The Contents of Archives

4. We implement the “archive by archive” system for the management of graduate students' archives and the archiving form includes two types, namely, electronic version and paper version.

5. The archived materials of archives of graduate students mainly include study plans, transcripts, special topics on scientific research and education, academic reports, project research seminars, literature reading and reviews, professional practice, innovation, entrepreneurship and social practice, engineering practice, international academic conferences, international academic visits, dissertation proposal, interim assessment, annual assessment, and other related materials. Various graduate students archive the above-mentioned materials in accordance with the requirements of the training program.

Chapter III The Requirements for Archiving

6. Each training unit should formulate the archiving requirements for the graduate students' archives according to the List of Academic Files and the Guideline of Each Training Link.

7. The graduate students must be responsible for the submitted materials, and must ensure that the materials are complete, true, reasonable, and effective without fraudulent acts such as plagiarism or forgery. If there is any violation of the *Academic Ethics Code of Southwest Jiaotong University*, the university will deal with it in accordance with relevant regulations.

8. Graduate students should gradually complete each training link of the postgraduate stage within the time limit specified in the Schedule of Training Link for Graduate Students, and complete the archiving work of each link of archives in accordance with the archiving requirements in the List of Academic Files. Sudden completion is prohibited.

9. Graduates students can download the Form for Archives for Each Training Link of Doctoral Candidates or Forms for Archives for Each Training Link of Master's Degree Candidates from the "Download Zone" of the Graduate School's webpage. Please read the instructions for filling in the relevant forms for each training link, and complete filling, typesetting, printing, binding and archiving as required. Organize and archive electronic documents in accordance with the *Paradigm of Archiving Electronic Documents*.

10. Graduate students should fill in the List of Academic Files of Graduate Students regularly, and organize and archive the paper documents according to the list. Graduates students should keep relevant materials such as study plans, transcripts, special topics on scientific research and education, academic reports, project research seminars, literature reading and reviews, professional practice, innovation, entrepreneurship and social practice, engineering practice, international academic conferences themselves by the termination of student status. Relevant materials such as dissertation proposal, interim assessment and annual assessment should be transferred to the training unit for archiving.

11. At the end of each year, graduate students should take photos of the archives completed this year to form an electronic document in PDF. The electronic document is named with “Student Number + Link Name”, such as “2021300001 + Academic Report”.

12. After completing the electronic documents filing of archives for each link of the year, all the electronic documents of the year should be saved in an electronic folder named “Year + Student Number + Name” and formed into a compressed file with the same name, such as “2021 Year +20213000001+John Doe”, which should be archived by the archives management department of the unit before December each year.

Chapter IV Management and Supervision of Archives

13. The end of each year is the “archiving time” for graduate students. Graduate students must submit the materials to the educational administration department of the training unit for archiving in accordance with relevant requirements; the spring semester of each calendar year is designated as the “supervision season” for the quality of the training process management for graduate students and “school-institute” two-level supervision mechanism is implemented.

14. The focus of the supervision of archives is to check the completeness, reality, and rationality of the materials submitted in each link of graduate student’s training. It should mainly include: whether the annual entry materials in each graduate student’s

archive are complete, clear, true and effective; whether each graduate student's advising professor is serious and rigorous in the guidance and control of each training link of graduate students; whether each graduate student completes the tasks of each training link follow the law step by step.

15. The advising professor is the first person responsible for graduate student training, and should uphold the Two Strict traditions of "Be strict in pursuing studies and disciplining oneself", guide graduate students to abide by academic ethics, and prevent fraud; they should guide and supervise the entire process of graduate student training with a serious and rigorous attitude.

16. The educational administration management department of each training unit is the department responsible for the filing and management of archives for graduate students. It is responsible for the filing of the archives of the freshmen of the unit, the entry of archive for graduate students annually, and the standardized management of the archives of each graduate student.

17. The quality supervision group of each training unit is the first-level supervision department for the quality of the graduate student training process, and it must carry out the supervision and inspection of the quality of the graduate student training process management of the unit in the "supervision season". It should check the annual archives of graduate students randomly, make an overall evaluation of the training process for graduate students, and feed back the overall situation of the supervision to the responsible party, and put forward the requirements for rectification within a time limit.

18. The school-level quality supervision group is the secondary supervision department for the quality of the graduate student training process. It conducts comprehensive supervision and inspection of the quality of the graduate student training process management of each training unit in the university, and gives evaluation and rectification opinions on the quality of each training unit. In the random inspection process, if a graduate student fails the inspection by the supervisory group in a certain link, the assessment result of that link is recorded as

“fail”.

Chapter V Supplementary Provisions

19. The Graduate School is responsible for the interpretation of this regulation and it will be implemented from July 1, 2021. If the previous regulations are inconsistent with this one, take it as final.