

# 中国科学院大学研究生课程学习管理规定

## Regulations on Management of Graduate Students'

### Course Study at University of Chinese Academy of Sciences (UCAS)

(2020年3月9日校长办公会议通过)

(Adopted at the President's Office Meeting on March 9, 2020)

课程学习是研究生掌握本学科基础理论和专业知识的主要途径之一，是研究生培养的重要环节。为规范研究生课程学习，结合学校教学工作实际，特制定本规定。

As an important part of graduate education, course study is a central approach for graduate students to grasp the basic theories, and the systematic and specialized knowledge in the related discipline. To enhance the management of the graduate students' course study, the Regulations are hereby formulated on the basis of UCAS education practice.

#### 第一章 总则

##### I. General Provisions

第一条 本规定旨在规范中国科学院大学（以下简称“国科大”）在学研究生有关课程学分、选课、考核及成绩等课程学习过程中的相关事项。

1. The Regulations aim to specify all relevant items on UCAS current graduate students' course study, such as credit requirements, course selection, achievement assessment and course grading.

第二条 本规定中的“研究生”指按照国家招生计划录取的、在国科大正式注册攻读学位的研究生，包括硕士研究生（以下简称“硕士生”），硕博连读研究生（以下简称“硕博生”）、直博生和普通招考博士研究生（以下简称“普博生”），硕博生、直博生、普博生以下统称为“博士生”。

2. In the Regulations, “graduate students” refers to the graduate students who are admitted through the national admission plan and are officially registered to pursue an academic degree at UCAS. They include: Master's students (hereinafter “MS students”), master-doctor continuous study students (hereinafter “MS-PhD students”), and students in direct PhD programs (hereinafter “direct PhD students”), and PhD students enrolled through the entrance examination system (this group of students are hereinafter referred to as “regular PhD students”). Collectively, the later three groups of students are hereinafter called “PhD students.”

第三条 国科大研究生的培养贯穿于北京校区集中教学阶段和研究所的科研实践阶段。集中教学阶段为期一学年，一般包括秋季、春季和夏季学期。硕士生、硕博生和直博生须参加集中教学阶段的课程学习；普博生可以参加集中教学，也可在研究所或教育基地完成课程学习。

3. UCAS graduate education is comprised of the course study phase at UCAS and the research and practice phase at the institutes. The course study phase lasts for one academic year, normally split into autumn, spring and summer semesters. MS students, MS-PhD students and direct PhD students must complete the required course study at UCAS. Regular PhD students can complete the required course study at either UCAS or institutes (including education centers).

## 第二章 学分要求

### II. Credit Requirements

第四条 国科大研究生的培养实行学分制。研究生获得学位所需的学分由课程学习学分和必修环节学分两部分组成，二者不能相互替代。课程学习包括学位课和非学位课的学习；必修环节包括开题报告、中期考核、学术报告和社会实践等部分，由各研究所依据国科大研究生培养方案，结合学科特点、研究生工作量等因素核定学分和完成期限。

4. UCAS graduate education follows a credit system. Credits specified by degree requirements consist of two parts: course study credits and compulsory study credits. The two parts cannot replace each other. Course study credits are obtained through the completion of degree courses and non-degree courses. Compulsory study credits are obtained through activities such as the thesis opening report, mid-term assessments, academic reports and social practices. The credit assessment and deadlines for compulsory study credits are decided by the institutes in accordance with the “UCAS Graduate Education Plan”, and with other factors such as discipline characteristics and graduate student work load.

第五条 硕士生申请硕士学位时，须至少修满 35 学分，包括课程学习 30 学分和必修环节 5 学分。在课程学分中，学位课学分不低于 19 学分，其中，专业学位课不低于 12 学分，公共学位课 7 学分；非学位课中公共选修课不低于 2 学分。

5. To apply for a master’s degree, MS students shall obtain no less than 35 credits, including 30 credits for course study and 5 credits for compulsory study. In course study, degree course credits shall be no less than 19 credits, more specifically, no less than 12 credits for specialized degree courses and no less than 7 credits for public degree courses. Among non-degree courses, public optional course credits shall be no less than 2 credits.

第六条 硕博生和直博生在申请博士学位时，须至少修满 43 学分，包括课程学习 38 学分和必修环节 5 学分。在课程学分中，学位课学分不低于 27 学分，其中，专业学位课不低于 16 学分，公共学位课 11 学分；非学位课中公共选修课不低于 2 学分。

6. To apply for a doctor’s degree, MS-PhD students and direct PhD students shall obtain no less than 43 credits, including 38 credits for course study and 5 credits for compulsory study. In course study, degree course credits shall be no less than 27 credits, more specifically, no less than 16 credits for specialized degree courses, and no less than 11 credits for public degree courses. Among non-degree courses, public optional course credits shall be no less than 2 credits.

第七条 在集中教学期间，硕士生课程学习总学分应不低于 25 学分，硕博生和直博生课程学习总学分应不低于 30 学分，各类研究生须修满公共类课程学分。在集中教学阶段尚未修满的课程学分，可在研究所的科研实践阶段，修满申请学位必需的课程学分。

7. From the courses studied during the course study phase at UCAS, MS students shall obtain no less than 25 credits; MS-PhD students and direct PhD students shall obtain no less than 30 credits. All graduate students shall obtain the required public course credits. If they have not obtained enough course credits during the course study phase, they shall, during their research and practice phase at institutes, obtain the required course study credits in order to apply for a degree.

第八条 参加集中教学的硕士生、硕博生和直博生，在秋季和春季学期中，每学期修读的课程总学分不少于 10 学分。在夏季学期（包括暑期学校）中修读课程总学分不少于 2 学分。

8. MS, MS-PhD and direct PhD students attending the course study at UCAS shall obtain no less than 10 course credits in each of autumn and spring semesters. In the summer semester (including summer school), their total course credits shall be no less than 2 credits.

第九条 普博生在申请博士学位时，须至少修满 14 学分，包括课程学习 9 学分和必修环节 5 学分。在课程学分中，普博生须至少修读 2 门专业学位课且不少于 4 学分，公共学位课 5 学分。

9. To apply for a doctor's degree, the regular PhD students shall obtain no less than 14 credits, including 9 credits for course study and 5 credits for compulsory study. Course study credits include at least 4 credits from two or more specialized degree courses, and 5 credits from public degree courses.

### 第三章 选课要求

#### III. Course Selection Requirements

第十条 研究生参加课程学习，必须办理注册选课手续，修完课程并考核合格，才能获得相应课程的学分。

10. Graduate students shall first complete the registration procedures before selecting and attending courses. In order to obtain course credits, students must complete the course study and pass the examinations.

第十一条 研究生在选课时，须按照本学科培养方案的要求区分专业课程和公共课程、学位课程和非学位课程。研究生须在导师指导下选定每学期的课程。

11. When selecting courses, graduate students must, following the related discipline education plan, differentiate specialized courses and public courses, degree courses and non-degree courses. In each semester, graduate students shall select courses under the guidance of their supervisors.

第十二条 各类研究生均须修读公共学位课《学术道德与论文写作规范》。硕士生还须修读公共学位课《自然辩证法概论》《中国特色社会主义理论与实践研究》《硕士学位英语》（英语 A）；普博生还须修读公共学位课《中国马克思主义与当代》《博士学位英语》（英语 B）；硕博生和直博生须修读以上 6 门公共学位课。工程硕士研究生除修读硕士生的必修公共学位课外，还须修读四门非学位课程，即《知识产权》《信息检索》《工程伦理》《专业英语》（英语 C）。其它专业学位研究生按照培养方案要求修读课程。

12. The public degree course *Academic Morality and Writing Norms* is required for all graduate students. In addition, MS students are required to select the public degree courses *Introduction to Dialectics of Nature*, *The Study of Theory and Practice of Socialism with Chinese Characteristics*, and *MS English Program (English A)*; regular PhD students are required to select the public degree courses *Marxism and the Present World* and *PhD English Program (English B)*; MS-PhD students and direct PhD students are required to select the above-mentioned 6 public degree courses. In addition to the required public degree courses for all MS students, ME (Master of Engineering) students are required to select 4 non-degree courses, namely *Intellectual Property*, *Information Retrieval*, *Engineering Ethics* and *Specialized English (English C)*. Other professional degree MS students can select courses in accordance with their education plans.

第十三条 研究生应根据本学科专业的课程培养和培养方案，参照《中国科学院大学教学日历》《中国科学院大学课程开设表》，在规定时间内通过选课系统选定需要修读的课程并明确是否作为学位课。

13. Graduate students shall select courses and confirm whether they are degree courses according to the related discipline curriculum, education plan, “UCAS Teaching Calendar”, and “UCAS Course Schedule”. All courses shall be selected through the online UCAS Course Selection System within the set time period.

第十四条 网络选课结束两周内，研究生本人须认真核实院系下载打印的《中国科学院大学研究生选课登记表》，经导师签字确认、研究所研究生教育主管部门复核盖章后，由院系审核汇总报教务部备案，作为研究生注册选课和成绩登录的原始依据。

14. Within two weeks after online course selection ends, students' host departments shall download and print out “UCAS Graduate Student Course Selection Registration Forms”, submit them to students for confirmation and to their supervisors for signatures. The graduate education administration offices of the institutes shall reexamine and stamp the forms with an official seal, and submit them to the related UCAS departments/colleges before providing them to the UCAS Academic Affairs Office for record. The forms will function as the original evidence for graduate student course selection registration and grade recording.

第十五条 研究生如在选课结束后有增、退选课程的需求，须由本人向教务部提交《中国科学院大学研究生选课变更申请表》。增选课程，须在该课程网络选课结束后两周内或开课两周内办理；退选课程，应在该课程学时完成一半（含一半）前办理。

15. If a graduate student needs to add or drop a course after online course selection ends, he or she shall fill in the “UCAS Course Alternation Application Form” and submit it to the UCAS Academic Affairs Office. The application for adding a course shall be submitted within two weeks after online course selection ends or within two weeks after the course starts. The application for dropping a course shall be submitted before the completion of half (including half) of the course hours.

第十六条 研究生如在培养过程中变更专业，须根据新专业的培养要求修读相关专业课程或变更已修读课程为学位课或非学位课。

16. If a graduate student changes to another major, the courses that the student has completed shall be re-defined as degree or non-degree courses according to the education plan of the new major.

第十七条 研究生如在集中教学阶段确有必要选修其他高校课程并计入课程总学分，须经研究生所在院系同意后向教务部提交《中国科学院大学外选课申请表》。每名研究生每学年至多外选 2 门专业类课程。

17. If a graduate student, during the course study phase at UCAS, finds it necessary to take courses in another university, which count towards course credits, he or she shall first get the approval of the host department/college, and then submit the “Non-UCAS Course Selection Application Form” to the UCAS Academic Affairs Office. Each graduate student shall attend no more than 2 specialized courses in another university each academic year.

第十八条 研究生申请重修课程的，须在下一学年研究生正常选课结束后办理重修手续。

18. If a graduate student applies for retaking a course, he or she shall go through the retaking procedures after graduate course selection ends in the next academic year.

#### 第四章 课程考核

#### IV. Course Achievement Assessment

第十九条 研究生在完成选课、修读课程后，必须参加课程结课考核。

19. Graduate students must take the end-of-course assessment after finishing course selection and course study.

第二十条 研究生课程考核成绩采用百分制、四级制（优秀、良好、及格和不及格）和二级制（通过、未通过）记录。其中，四级制中优秀、良好、及格和不及格分别对应百分制成绩中的 86-100 分、70-85 分、60-69 和 0-59 分。考核成绩低于 60 分、不及格和未通过统称为不合格成绩。

20. Graduate courses are graded by the hundred-mark system, the four-level score system (“Excellent”, “Good”, “Pass”, and “Fail”.) and the two-level system (“Pass”, and “Fail”). In the four-level score system, “Excellent”, “Good”, “Pass”, and “Fail”, respectively, stand for 86-100, 70-85, 60-69, and 0-59 in the hundred-mark system. Assessment grades lower than 60, or “Fail” or “Not pass” are all considered as unqualified .

第二十一条 研究生如因特殊原因不能参加期末考核，须事先向教务部提交《中国科学院大学缓考申请表》办理缓考。缓考成绩按正常考核成绩登录。研究生须在教务部批准缓考之日起两年内完成缓考，否则该课程成绩记为 0 分、不及格或未通过。

21. Any graduate student who is absent from the end-of-course examination for special reasons can apply for a deferred examination. However, he or she shall in advance fill in the “UCAS Deferred Examination Application Form” and submit it to the UCAS Academic Affairs Office. The grade for the delayed examination will be recorded in the same way as the regular grade in the normal examination. Within two years from the date when the Academic Affairs Office approves the application, the graduate student shall complete the deferred examination.

Otherwise, this student shall receive a recorded grade of “Zero”, “Fail” or “Not pass” for the course.

第二十二條 課程考核成績不合格時，研究生可以申請補考一次或重修一次；無故不參加課程考核或在考核中違紀，該課程成績記 0 分、不及格或未通過，且不得參加該課程的補考，但可重修一次該課程；補考或重修成績在成績單中予以標注。

22. Any graduate student who has obtained a grade lower than 60, “Fail” or “Not pass” can apply to make up the examination or retake the course. If graduate students are absent from the examination without a justifiable reason or they commit examination misconduct, they shall receive a recorded grade of “Zero”, “Fail” or “Not pass”. Those students cannot apply to make up the examination, but can apply to retake the course. For grades received through course retake or re-examination, special indication should be made on the transcript and the students’ files accordingly.

第二十三條 補考一般應在下一學期開學後四周內完成。原則上，應由原主講教師負責補考試卷命題，試題難易程度應與原試題保持一致，考核方式應與原考核方式一致。研究生通過課程補考後，成績按“60 分”、“及格”或“通過”登錄。

23. The make-up examination usually should be conducted within the first four weeks of the next semester. In principle, the make-up examination shall be designed by the original course instructor. The difficulty level of the examination shall be the same as that of the original examination. In addition, the two examinations shall follow the same format. When a graduate student passes the make-up examination, the grade shall be recorded as “60”, or “Pass”.

第二十四條 研究生因課程考核不合格或對課程學習成績不滿意申請重修課程時，經院系審批同意後，須向教務部提交《中國科學院大學課程重修申請表》，並參照《中國科學院大學關於接收旁聽生的規定》的標準繳納重修費，結課考核成績按正常考核成績登錄。

24. Graduate students, when applying to retake a course because they have failed the examination or are unsatisfied about the results, shall obtain the approval by their department/college, fill in the “UCAS Course Retaking Application Form” and submit it to the UCAS Academic Affairs Office. They shall also pay the fee for retaking the course according to the “Regulations on Accepting Audit Students at UCAS”, and the grade shall be recorded in the same way as the regular grade in the normal examination.

第二十五條 研究生應在規定時間內參加所修讀課程的網絡教學評估。研究生參加評估後，方可在選課系統查詢相應課程的考核成績；未參加評估，只可查詢不合格成績。

25. Graduate students shall, within a designated time frame, participate in online teaching evaluation for all the courses which they enroll in. Only after completing the online teaching evaluation, can they check out the examination result of the course concerned. If they do not participate in online teaching evaluation, they can only check out the “Fail” results.

第二十六條 研究生如對所修課程的成績有異議，可在成績公布後 10 個工作日內向開課院系申請復查，同一門課程只可復查一次。由開課院系聯繫主講教師對異議事項進行調查後，給出明確答复。

26. If they question their grade, graduate students can, within ten working days after the release of the grade, request a recheck to the department/college which offered the course. Each student can only makes one request about the same course. The department/college which offered the course would give a clear answer after contacting the original instructor of the course and investigating the issue.

第二十七条 硕士生如一学期有两门学位课程考核不合格，须重修不合格的学位课程。重修后仍有一门学位课不合格的，或修读年限内累计出现三门及以上学位课不合格的，须按照研究生管理的相关规定处理。

27. MS students shall retake the degree courses if they fail in two degree courses in one semester. Those with one failed degree course after retaking, or with three and more failed degree courses in study duration, shall be punished according to the relevant graduate student management regulations.

第二十八条 博士生如有一门学位课程考核不合格，须重修不合格的学位课程。重修后仍不合格的，或在修读年限内累计出现两门及以上学位课不合格的，须按照研究生管理的相关规定处理。

28. PhD students with one failed degree course shall retake the course. If they still fail in the degree course after retaking it, or if they fail in two and more degree courses in their study duration, they shall be punished according to the relevant graduate student management regulations.

第二十九条 研究生须自觉遵守课程考核纪律，不准以任何方式作弊。违者按照研究生管理的相关规定处理。

29. Graduate students shall comply with the examination rules and shall not cheat in any form. Violators will be punished according to the relevant graduate student management regulations.

## 第五章 成绩认定

### V. Grade Recognition

第三十条 研究生申请通过免修免考、免修考试获得博士学位英语（英语 B）成绩时，须满足以下条件：

30. Graduate students shall meet the following requirements when applying for study and examination exemption, or the exemption examination, of *PhD English (English B)*:

#### （一）博士学位英语免修免考

参加国科大统一命题的入学英语考试的普博生，如入学英语成绩大于或等于 70 分，可申请免修免考，通过审核后按实际入学成绩认定为博士学位英语成绩。此项申请只在入学年度的 9 月份办理。

#### (I) Study and examination exemption of *PhD English*

Regular PhD students who have participated in the English Entrance Examination arranged by UCAS, and whose grade equals to or exceeds 70, can apply for study and examination exemption. After approval, the grade they obtained from the Entrance Examination will be recorded as their *PhD English* grade. They can apply only in September of the admission year.

(二) 博士学位英语免修考试

未参加博士学位英语课程学习的博士生或已经通过硕士学位英语的硕士生，可直接报名参加国科大组织的博士学位英语期末考试，通过后即可获得相应课程学分。每位研究生只有一次免修考试机会；未通过免修考试的，只能选择修读课程获得博士学位英语学分。

(II) Exemption examination of *PhD English*

PhD students who have not studied the PhD English course or MS students who have earned the MS English credit can apply to attend the End of Term PhD English Examination. If they pass the examination, they will obtain the credit. Each graduate student has only one opportunity to apply for take the exemption examination; students who do not pass the examination shall study the *PhD English* course to obtain the credit.

第三十一条 普博生只能在入学年度的 9 月份申请博士学位英语和博士政治成绩转换，且须同时满足下列条件，方可按实际成绩认定：

31. Regular PhD students can only apply for grade conversion of *PhD English* and *PhD Politics* courses in September of the admission year. The grades can be successfully converted only when all the following requirements are met:

(一) 硕士就读于中国科学院系统内教学科研单位，毕业后又考取了中国科学院系统内单位的博士研究生；

(I) The students have studied as MS students in institutes affiliated to CAS, and after graduation have been enrolled as PhD students of institutes affiliated to CAS;

(二) 硕士期间在国科大集中教学阶段修读了博士学位英语和博士政治，且博士和硕士入学年度差在五年之内（含五年）；

(II) The MS students have passed *PhD English* and *PhD Politics* while studying at UCAS, and they enter a PhD program no more than 5 years after entering an MS program.

(三) 成绩转换后，硕士期间学分仍符合硕士毕业要求。

(III) After the grade conversion, the credits which the students earned as MS students still meet the requirements of MS degree graduation.

第三十二条 普博生只可在课程修读、免修免考、免修考试、成绩转换中选择一种方式获得博士学位英语学分。

32. Regular PhD students shall acquire the credit of *PhD English* by only one of the following options: (1) taking the course, (2) applying for study and examination exemption, (3) attending the exemption examination, and (4) applying for grade conversion.



第三十三条 研究生经批准选修其它高校课程，须持外选课开课单位研究生教务部门开具的正式成绩单，到教务部登录成绩。如外选课的成绩记录方式与国科大成绩记录方式不一致，由院系根据外选课程特点，参照所在学科相近课程的考核难易程度换算为国科大的成绩记录方式。

33. Graduate students attending courses in other universities with the consent of UCAS shall provide the academic transcript issued by the graduate student academic affairs office of the university which offers the course, to record their grade at the UCAS Academic Affairs Office. If the grade recording in the academic transcript for the non-UCAS course is different from that at UCAS, the relevant department/college at UCAS shall consider the non-UCAS course's characteristics, and the level of difficulty of the similar course in the same discipline, and convert the grade in the way UCAS records it.

第三十四条 研究生课程平均学分绩点（GPA，Grade Point Average）的计算方法为： $GPA = \frac{\text{所学课程学分绩点总和}}{\text{所学课程学分数总和}}$ ；一门课程的学分绩点=绩点数×学分数，考核成绩采取二级制记分的课程，不计入 GPA 统计。研究生课程成绩等级与绩点换算关系表将另行发布。

34. Grade Point Average (GPA) of graduate courses is calculated through:  $GPA = \frac{\text{total grade points}}{\text{total course credits}}$ ; Grade point of one course = course credit × grade point. Courses graded by the two-level score system are not calculated in GPA. The chart of converting the graduate courses' grades to GPA will be released in another document.

## 第六章 附则

### VI. Supplementary Provisions

第三十五条 本规定自印发之日起实施，由教务部负责解释。原《中国科学院大学研究生课程学习及学分要求暂行规定》（校发教字〔2015〕45号）同时废止。

35. The Regulations come into force on the day of publication, and the UCAS Academic Affairs Office is responsible for explanation. "The Provisional Regulations on Graduate Student Course Study and Credit Requirements at University of Chinese Academy of Sciences" (XIAOFAJIAOZI〔2015〕No. 45) will be invalid at the same time.