

西南大学

博士研究生培养方案

(英文授课)

一级学科名称	教育学
二级学科专业名称	教育领导与管理
二级学科专业代码	0401J5

西南大学研究生院制表

填表日期：2019年12月22日

I. Discipline Introduction

Internationally there is a consensus of education for human well-being. In the era of globalization, governments and educational organizations around the world have increasingly realized the significance of building global competence for an inclusive world. The Faculty of Education at Southwest University (SWU), one of the leading institutes of education in P.R.China, has a long tradition of education research and services, which can be traced back to 1906. Facing the new appeal of international education development, the Faculty of education at SWU has actively initiated diverse English-taught master and PhD programs in Education for international students since 2013.

As an integral of education to improve achievements, effective educational leadership and management has been increasingly acknowledged during the 1990s and the 21st century. Education Leadership and Management (ELM) is a program offered to international students enrolling in the PhD programs in the Faculty of Education at Southwest University, P.R.China.

This program emphasizes systematic knowledge learning, critical analysis, and creative applications of theories in specific contexts from multidisciplinary perspectives, including education, psychology, leadership, economy, policy and organizational analysis. Face to face lecturing guided by teachers, mini-seminars based on students' collaborative learning and research exploration, and classroom discussion and debates based on school visits are organized to enrich the learning experiences of students. Course readings are supplemented with additional materials designed to facilitate individual and group understanding of concepts and to aid students in developing problem-solving skills.

Through this program, the students are expected to develop their global competences in planning, inclusion, community action, communication, Information and Communications Technology (ICT) and ethical commitment, all of which are necessary for educational leaders and managers in 21st century.

II. Areas of Study

Discipline	Area of Study
Education Leadership & Management	1. Educational economics and educational policy; 2. Educational governance in higher education; 3. Educational supervision and evaluation; 4. Educational leadership and school improvement

	(curriculum and instructional leadership etc.)
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III. Aims and Objectives

The overall intent of this program is to provide comprehensive learning opportunity for students to build their knowledge foundation and capabilities in educational leadership and management. Through classroom lectures, collaborative research, school visits, and seminars, this program exposes students to prominent theories of educational leadership and management, and the critical issues in school practices. After learning in this program, students will develop an understanding of theories and approaches in educational leadership and management and their use in practice and knowledge generation, and will actively engage in reflective and reflexive practice. Their capability in systematical analysis and research of educational issues by drawing upon the knowledge from educational economic, policy, leadership and management will be promoted as well. More specifically, this program will achieve the following dimensions of objectives:

3.1 Knowledge Structure Requirement

After learning this program, students enrolled in this program should have a broad academic scope, sound disciplinary groundwork, practical capabilities, as well as the pursuit of innovation. Through systematical and in-depth learning in educational leadership and management, they should become competent in researching and teaching independently. Such competence would afford their future career as professionals in higher educational institutes or other equivalent organizations, with the focus on academic research and teaching, educational policy analysis, or educational management. Students will demonstrate their understanding of the following aspects of knowledge:

- ***Basic knowledge of education*** that includes educational philosophy, theories of curriculum and instruction, history of education, comparative education, educational technology, educational evaluation, measurements, as well as assessment and statistics.
- ***Professional knowledge of educational leadership and management*** that includes theories of educational leadership and management, the main approaches of educational leadership and management (e.g., decision making, communication, and motivation), curriculum development and educational leadership, teaching and learning and educational leadership, professional

development and performance appraisal.

- ***Relevant knowledge foundation*** that includes sociology, economics, public policy study, and Chinese history, culture and society. This type of knowledge will provide the students with an understanding of the broader social and economic context within which schools function.
- ***Knowledge of Methodologies and methods*** that includes research methodology in education, qualitative and quantitative methods and their applications in educational leadership and management, academic training (e.g., literature search strategies, critical reading of literature, annotated bibliography). This type of knowledge allows a deep understanding of the educational research frontier and innovative work in educational leadership and management.
- ***Language knowledge*** in both English and Chinese. Students in the English program of ELM should demonstrate the English language competence to read, write, and communicate fluently about academic contents in the discipline. They should also master Chinese to a certain degree, passing HSK level three (180 points at least) before graduation.
- ***Pedagogical knowledge*** that can afford systematic instruction of higher education courses and qualified supervision of future undergraduate and graduate students.

3.2 Individual Quality Requirements

- A student in this program should build his/her academic pursuits upon the enthusiasm towards the enterprise of education and a sense of responsibility for serving the society and people. He/She should care about children and respect people from different cultural and social background. A culture of respect and civil discourse are emphasized in this program.
- A student in this program should build his/her dispositions of self-regulation, collaboration and critical reflection. He/She should actively plan his/her learning objectives and engages with collaborative learning and critical reflection on literature and theories on educational leadership and management.
- A student in this program should build his/her disposition of solving educational issues and challenges through systematical thinking and research inquiry from the perspective of educational leadership and management.
- A student in this program should be scientific and rigorous in his/her attitude towards academic work. While conducting research, he/she should follow the laws as well as academic ethics, moralities, and norms, maintaining research integrity, protecting intellectual property rights and avoiding any type of plagiarism, forgery, or fraud.

3.3 Academic Ability Requirements

- Ability of professional learning that allows one to follow the frontier development and participate in the frontier work in the area of educational leadership and management.
- Ability to fairly evaluate the quality and value of research and practices in educational leadership and management.
- Ability to identify problems worth exploring, and then plan, propose, and conduct a high-quality research project.
- Ability to innovate in educational research and contribute to the existing body of knowledge in educational leadership and management.
- Ability to communicate academically, expressing one's ideas using academic language, in a way that follows academic norms.
- Ability to collaborate with others to complete research and learning tasks.
- Ability to formulate a preliminary thinking regarding a dissertation topic in the field of educational leadership and management.

IV. Duration of the Program

The program is flexible in duration. The standard length of this full-time doctoral program is four year, which can be adjusted to up to a maximum of six years according to individual needs.

V. Modes of Supervising and Learning

Diverse learning supports will be provided to students enrolled in this program, including course lectures taught by qualified teachers in education, supervisions by supervisor team, and academic consultations by doctorate program team of Faculty of Education at Southwest University. A cohort of qualified teachers who have years of related professional experiences with international students will share their expertise in those learning areas covered in this program. Their teaching and learning support to students lay a solid foundation for students' learning in this program. In addition, individual student in this program will be supervised by a supervisor team composed of a primary supervisor and a vice-supervisor. The supervisor team guides individual PhD candidate to complete all required research tasks for the PhD degree. Meanwhile, all the students in this program are coordinated by the doctorate program team, in which they can gain cross-disciplinary academic assistance in the form of face to face

consultation, academic seminars and workshops, field trip off the campus. To enrich the learning opportunities of students in this program, students are encouraged to communicate with Chinese students and other exchange students and visitors from different cultural backgrounds. The design of these learning modes aims to acculturate the learning in China and strengthen the cultural understanding of students coming from diverse cultures.

VI. Compulsory Components

6.1 Coursework

Type		Course code	Course name	Semester	Credit hours	Credit	Assessment Type	Note
Compulsory Courses	Common core	0811000001015	Chinese	2	108	3	Exam	
		0811000001016	Chinese culture survey	3	72	2	Exam	
	Disciplinary core	0811040100001	Methodology of Educational Research	1	54	3	Course Paper	
		0811040100002	Chinese Education Thoughts	1	54	3	Course paper	
		0811040100003	Main Literature Reading & Academic Training	2	54	3	Course Paper	
	Area special	0811040100008	Educational Administration and Leadership	1	54	3	Course Paper	
		0811040100013	Educational Policy	2	54	3	Course Paper	
	Electives		0811040100027	Academic Writing in Educational Research	1	54	3	Course Paper
		0811040100006	Basic Principles of Curriculum and Instruction	2	54	3	Course Paper	
		0811040100012	Educational Statistics & Measurements	2	54	3	Course Paper	
		0811040100017	Economics of Education	3	54	3	Course Paper	
		0811040100016	Professional Development of Principal and Teacher	3	54	3	Course Paper	
		0811040100018	Higher Education & Intercultural Learning	3	54	3	Course Paper	

	0811040100019	Multicultural Education	3	54	3	Course paper	
	0811040100020	Foundations of Educational Technology	3	54	3	Course paper	
	0811040100021	Educational Supervision & Evaluation	3	54	3	Course Paper	
	0811040100022	Higher Education Governance	3	54	3	Course Paper	
	0811040100024	School Improvement	3	54	3	Course Paper	
	0811040100010	Frontiers of Educational Technology	2	54	3	Course Paper	
	0811040100025	Smart Learning Environments	3	54	3	Course Paper	
	0811040100026	Learning Analysis and Evaluation	3	54	3	Course Paper	
Additional course for students without a degree in the discipline of education	0810040100001	English for Academic Purposes	1	54	Note: 1. Students who failed the entrance exam in English are required to take English for Academic Purposes. 2. Students without a degree in education are required to take Basics of Education and Educational Psychology.		
	0810040100002	Basics of Education	1	54			
	0810040100003	Educational Psychology	2	54			
Credit requirement	Minimum: <u>29</u> credits With at least <u>23</u> credits from compulsory coursework (including two credits from academic activities)						
Remarks	1. The course exemption shall be implemented in accordance with the relevant regulations of the university. 2. Area special course is compulsory for the corresponding major, and is optional for other majors. 3. Students are allowed to select among all the postgraduate-level courses (taught in English) offered by all departments and colleges in Southwest University. The courses selected are viewed as the electives.						

6.2 Academic activities

Academic activities include seminars, academic salon, academic forum, academic conference as well as reviewing the literature. Doctoral students in this program must attend at least 15 academic activities, and give three or more academic presentations, including at least one at a formal academic conference (proofs such as invitation letter, conference program and proceedings are required).

Academic report should be submitted through the Graduate Management Information System within seven working days after the end of the academic activity. The credibility of the academic activities and the student's performance will be assessed by the supervisor or supervisor team. Two credits will be assigned to this part of academic work.

6.3 Practical Training

Practical training includes training of professional practices and pedagogical practice. All doctoral students are required to participate in at least one type of the practical training. Training of professional practice requires participation in research projects hosted by supervisor, supervisor team, the student, or other official organizations (formal proof is required). The student's performance in training would be assessed by the supervisor or supervisor team.

Training of pedagogical practice requires assisting teaching in various activities, including providing lectures, grading assignments, supervising experiments or internship, supervising master or undergraduate students, etc. Training of pedagogical practice should run through the full length of a course, including at least 6 credit hours of lecturing and at least 12 credit hours of other pedagogical activities. The student's performance in pedagogical practice would be evaluated by the course lecturer. Students who have more than two years of teaching experience in higher education institutions can be exempted from training of pedagogical practice (formal proof is required).

6.4 Dissertation

6.4.1 Condition for applying proposal defense

In principle, a doctoral student should pass the comprehensive exam before working on his/her dissertation. Only with the signature of approval from the supervisor, can a student submit a dissertation proposal and apply for a proposal defense. The main body of a dissertation proposal should be not less than 15,000 words (not including references, appendices, and footnotes, etc.)

6.4.2 Requirements for dissertation proposal

A dissertation proposal should well align with the applicant's chosen area of interest, bearing salient features of his/her specialty. It should focus on a topic of important academic values and research significance within one's specialty. Besides being independent and original, a proposal should also reflect a holistic understanding of certain object or phenomenon from a specific perspective.

A doctoral proposal should show a certain degree of innovativeness, presenting some breakthroughs in terms of the scope of research, theoretical framework, or methodology approaches. A doctoral proposal should also provide a state-of-the-art description of the purpose statement, a thorough literature review, a quality research design, and a precise illustration of its innovation. It should prove its own potential in contributing to the theoretical understanding and practices in the chosen area of interest. The writing should be consistent throughout, show the individual quality required of a doctoral candidate.

6.4.3 Types of research appropriate for doctoral dissertation

A doctoral dissertation can be either an empirical or a theoretical orientation. We encourage the use of various methods, such as experiment and semi-experiments, surveys, action research, modeling, qualitative research methods, etc. Synthetical use of multiple research methods are encouraged. A dissertation based solely on literature review, however, is not allowed in principle.

6.4.4 Workload requirement

The duration from proposal defense to dissertation defense should be not less than two years. The original data of the dissertation should be kept for at least 3 years after the degree is awarded. The main body of the dissertation should be 40000-60000 words in length (not including contents, abstract, footnotes, references, appendices, acknowledgement, etc.).

6.4.5 Requirements of academic standards

Citations in a dissertation must be provided in a standardized style. Citations should be based on original literature and first-hand information.

Full respect should be given to existing academic achievements, any academic misconduct of plagiarism, or embezzlement of other people's academic achievements is strictly prohibited. The Chinese language, English language, punctuation, numbers and other foreign languages in the dissertation should follow the format requirements regulated by Southwest University. The students should pay attention to the quality of the dissertation. Any forms of shoddy and low-level duplication shall be avoided. Academic achievements should not be republished.

Students with academic misconduct will be punished in different ways according to the seriousness of the misconduct.

6.4.6 Format requirements

Executed following *Thesis/Dissertation writing and printing requirements for doctoral and master students of Southwest University*.

VII. Quality Control Components and Requirements

7.1 Design a Learning Plan

The learning plan should be jointly designed through discussion between a student and his/her supervisor or supervisor group, and approved by the supervisor or supervisor group. It should be completed within one month after enrollment.

7.2 Course Assessment

The assessment methods can be oral presentation, written test or course paper, which can be decided by the instructor. Common core courses should adopt the method of examination. The minimum requirement for a pass is 75 points out of 100 in professional core course (including disciplinary core course and area special course), and 60 points out of 100 in other courses. The assessment methods of each course should be clearly stated in the syllabus and strictly carried out.

7.3 Academic Activity Assessment

Academic report should be submitted through the Graduate Management Information System within seven working days after the end of the academic activity. The credibility of the practical activities and the student's performance will be assessed by the supervisor or supervisor group.

7.4 Practical Activity Assessment

Report on practical activity should be submitted through the Graduate Management Information System within three working days after the end of the activity. The credibility of the practical activities and the student's performance will be assessed by the supervisor or supervisor group.

7.5 Comprehensive Exam

7.5.1 Time

A comprehensive exam will generally be arranged at the end of the third semester, after a doctoral student gained all the required credits. If a doctoral student has not gained all the required credits, or has failed to pass one or more required courses, he/she cannot attend the comprehensive examination.

7.5.2 Contents of examination

The content of a comprehensive exam should cover a doctoral student's basic theoretical knowledge, professional knowledge, research capability and the knowledge of main literature. It should focus on whether the student has mastered the basic knowledge and professional knowledge of his/her specialty, whether he/she has a necessary understanding of the research frontier of his chosen topic. Meanwhile, it is a good opportunity to check if the student has the academic literacy and capabilities to carry out an innovative study on his/her own. Besides the compulsory courses and required courses as listed in this program plan, it will also examine a student's familiarity with the main literature and his/her ability to use such literature. The assessment includes self-assessment report and interview.

7.5.3 Organizational form

A disciplinary comprehensive exam committee will host the exam. The committee will be responsible for making a detailed plan for the exam, as well as assigning the date, location, approach, coverage, and result of the exam. A committee should consist of more than five professors or associate professors or experts with equivalent titles, with one professor or expert with equivalent title serving as the committee chair. Supervisor of students who are attending the exam can be part of the committee, but not the chair.

A comprehensive exam committee should be approved by the academic committee of the Faculty of Education before implementing the exam. A secretary should be hired to keep record of the comprehensive exam and fill in the form of "Southwest University doctoral student comprehensive exam record." The detailed recording material should be reviewed by the chair and saved by the secretary to the student's personal profile.

7.5.4 Assessment Mode

A comprehensive exam can combine paper-based exam and oral exam.

Paper-based exam:

Attendee of a comprehensive exam should hand in the following material as a

self-assessment report:

- Official transcript with grades of all the doctoral level courses the student has taken;
- Summary and reflections on at least 8 academic activities;
- Reading reports on at least 5 academic books and at least 15 journal articles. Reading reports must be on academic work relevant to the chosen area of interests and/or the student's dissertation research project.
- A description of the research topic intended to propose, the initial research design and literature review

Oral exam:

- The committee members would raise questions based on students' readings of main literature and their research topic intended to propose
- Students should provide immediate answers to the questions

7.5.5 Results and application

The results of comprehensive exam will be either qualified or unqualified as a doctoral candidate. Feedback will also be provided according to the content of the exam. Those who are qualified as doctoral candidate can continue to work on the proposed dissertational research. Those who do not attend the comprehensive exam in time or do not fit the conditions for attending the exam would be considered unqualified. Those who are graded as unqualified on the first comprehensive exam can apply for a second chance. If a student is graded as unqualified twice, he/she will be disembroiled from the program.

7.6 Dissertation timeline

7.6.1 Proposal defense

Time: at the end of third semester.

Organizational form: Proposal defense meeting consisting of five to seven professors as an expert group.

Results and application

The research proposal should include statement of research purpose, literature review, conceptual framework, method, research focus, expected difficulties and innovations, dissertation outline, reference and appendices (including questionnaires, interview protocol, coding schemes, consent forms and so on). A dissertation proposal

should follow the standard format, presenting an appropriate topic, clear research questions, and lucid logic of research. All parts of the proposal should be internally related and in coherence. The committee should make evaluative decision about a proposal through open defense. The proposal can be evaluated as qualified or unqualified. Those who are evaluated as qualified in proposal defense can continue working on their doctoral dissertation. Those who are graded as unqualified have to apply for proposal defense again.

7.6.2 Progress check

Time: the fifth semester

Organizational form: The progress check will be organized by the English program expert committee.

7.6.3 Duplicate check

Time: at the beginning of the eighth semester

Organizational form: Duplicate check will be organized by the English program expert committee. According to the requirement of the school, the duplicate rate shall not exceed 15%. Those who have not passed the duplicate check cannot send their dissertation to be reviewed or enter the dissertation defense.

7.6.4 Dissertation defense rehearsal

Time: at the beginning of the eighth semester

Organizational form

According to the applicant's direction of research as well as the content of the dissertation, five to seven doctoral supervisors and professors or experts with equivalent title (the committee member can be in or out of the faculty of education, but cannot include supervisor of the applicant) will be held and form the defense rehearsal committee. The defense rehearsal will be hosted by the chair of the defense rehearsal committee. It will be publicly held according to the procedure and requirement of a formal dissertation defense. The defense rehearsal committee should examine the dissertation rigorously. In particular, they should focus on checking its innovativeness, academic quality, application of theories, premises of experimental or survey investigations, data management, key conclusions, workload, research findings, and commitment to academic norms. The committee should make detailed comments regarding to the problems and deficiencies in the dissertation work, and provide suggestions for improvements. They should make a final decision on whether the applicant passes the defense rehearsal. If there is a disagreement, anonymous voting should be used in order to make decision.

There are three types of results for a defense rehearsal: pass, pass with revision, and fail. Those who get "Pass" can further polish their dissertation and apply for a formal dissertation defense immediately. Those who get "Pass with revision" should

make major revisions according to the comments and suggestions of the defense rehearsal committee within three months to half a year. When the work is approved by his/her supervisor and the chair of the defense rehearsal committee, he/she can then apply for a dissertation defense. Those who get "Fail" should conduct more research on the key issues of the dissertation and make major revisions. After approved by the supervisor, he/she can reapply for the defense rehearsal in half a year.

7.6.5 Blind review

Time: the eighth semester

Organizational form: Dissertations will be blindly reviewed by external experts. Its organization will follow the related regulations Graduate School of Southwest University. A doctoral dissertation will be revealed by three external experts in the field from other higher institutes.

Results and application

Veto by one vote will be applied to dissertation review. Any dissertation receiving one vote against defense will be disqualified for a dissertation defense for degree. The student can apply for a dissertation defense for graduation only or an extension on graduation. A student whose dissertation has been voted against defense by all three external experts will need to reapply for proposal defense and then rewrite the dissertation, or apply for a dissertation defense for graduation only.

The students should well revise their dissertations according to the reviewers' comments and suggestions and submit dissertation revision reports to the defense committee. If a student or his/her supervisor wants to file a dispute about the result of the review, the review shall be handled according to the procedures provided by "The Southwest University regulations of dissertation review and defense".

7.6.6 Dissertation defense

Time: the eighth semester.

Organizational form: Defense should be implemented according to the procedures provided by *The Southwest University regulations of dissertation review and defense*.

Results and application

Through open defense, the chair of the defense committee should announce or briefly introduce the feedback from the reviewers. The defense committee members should then have a private meeting, evaluating the defense and voting to form a decision. The main agenda and contents of the meeting include:

- Evaluating the quality of the dissertation and defense. The defense committee should base their evaluation on the required evaluation items and criteria of dissertation, assigning one of the four grades to the dissertation: Excellent,

Good, Qualified, Unqualified;

- After fully exchanging comments about the defense, the committee members should vote anonymously regarding whether this defense passes and whether a doctoral degree should be conferred;
- Discussing former written decision. In order to be effective, the written decision has to be signed by the chair of the defense committee in order to be effective. The chair of the defense committee should publicly announce the committee's decision.

7.7. Requirements for Academic Achievement

7.7.1 Requirements for applying for dissertation defense

A doctoral student should, as the first author, publish an academic paper in English on a publicly issued academic journal (the supervisor shall not be counted in the author ranking).

7.7.2 Requirements for applying for graduating ahead of time

In general, doctoral students are not allowed to graduate ahead of time. Students who are exceptionally excellent can apply for an early graduation after two years of study in the program. The application has to be approved by the supervisor, the Faculty of Education, and the graduate school of Southwest University. A qualified applicant should meet the following conditions:

- has been evaluated as “Excellent” in progress check, or awarded the title of university-level “Excellent Graduate Student”.
- has published at least 3 academic papers on A1 journals (please refer to the related university policy for criteria that define A1 journals) of the research area prior to dissertational defense. These papers should be based on and constitute parts of the dissertation.

十、培养方案审核意见

所在培养单位学术分委员会意见：

负责人（签名）：

年 月 日

学部学术委员会意见：

负责人（签名）：

年 月 日

学校审核意见：

负责人（签名）：

年 月 日