关于博士研究生学位论文开题报告的要求

**一、开题报告的目的、意义**

博士学位论文开题是开展学位论文工作的基础，是保证学位论文质量的重要环节。

开题报告是留学博士生在导师指导下撰写并由导师审查批准的学术文件。准备开题过程是导师对博士生进行课题指导的重要步骤，也是师生在所选课题范围内共同切磋，整理、确定论文思路及主线的重要科学活动。

开题报告是博士生向由本学科专家组成的评审小组汇报博士学位论文的选题依据、研究内容及研究方案等，即汇报博士学位论文“为什么做？做什么？怎么做？”。由本学科专家进行集体审议，检查学位论文选题是否正确、研究内容是否恰当、研究方案是否合理，同时也检查博士生对拟进行的研究题目理解是否深入、对相关研究领域研究现状了解是否全面、为进行课题研究所做的主观与客观上的准备是否充分等。在此基础上，评审专家还将从不同侧面、不同角度对论文的科学思路、研究方法等重要问题提供咨询、建议和帮助，使论文工作的方向、内容和方案更为合理。

**二、论文开题工作安排**

1、博士学位论文开题一般应于第二学年第一学期末进行，最迟于第二学年末完成。如遇到学生出国联合培养等特殊情况，在报学院备案后可适当调整时间。

2、博士生必须将学位论文开题报告书面材料提交导师审阅，经导师同意后，方可申请口头报告。

3、提倡院（系）定期统一组织进行博士论文开题。

4、开题报告评审小组，由相关学科的博导、教授5～7人组成，在听取博士研究生的口头报告后，对报告内容进行评议审查。

5、未经批准，研究生不按时开题，成绩按“不及格”记载。开题报告未通过的博士生，可于3个月后再次申请进行。第二次开题仍未通过者，予以退学。

**三、开题报告的内容**

1、课题来源及研究的目的和意义；

2、国内外在该方向的研究现状及分析；

3、前期的理论研究与试验论证工作的结果；

4、学位论文的主要研究内容、实施方案及其可行性论证；

5、论文进度安排，预期达到的目标；

6、学位论文预期创新点

7、为完成课题已具备和所需的条件、外协计划及经费；

8、预计研究过程中可能遇到的困难和问题以及解决的措施；

9、主要参考文献。

**四、对开题报告的要求**

1、在掌握大量有关文献资料的基础上，对国内外在该研究方向上（特别是学科前沿）的研究动态、近年来取得的主要进展、主要研究方法及已有成果进行全面的介绍和分析，对引用的文献和论述要准确注明出处。

2、明确阐明课题研究的目的和课题的理论水平及实际意义。

3、阅读的主要参考文献应在50篇以上，其中外文资料不少于二分之一，参考文献中近五年内发表的文献一般不少于三分之一，且必须有近二年内发表的文献资料。教材、技术标准、产品样本等一般不应列为参考文献。

4、开题报告应以正规答辩的方式进行。博士生进行口头报告的时间应不少于30分钟，书面报告的字数应不少于1.5万字。

**五、评审工作**

1、开题报告的评议结果为优秀、良好、中等、及格和不及格。口头报告及答辩结束后，评审小组应举行内部会议讨论是否准予通过，并对通过的报告提出补充、修正意见。

2、开题报告结束后，评议小组要填写《博士学位论文开题报告评议结果》并上报各院（系），内容包括论文选题的合理性、可行性及对文献综述、博士生的工作能力等方面的评议。

3、对通过的开题报告，博士生应根据评审小组的意见进行修改，经导师审阅通过后，交院（系）研究生秘书保存。研究生院定期组织专家小组对开题报告进行抽查。

4、博士生在申请博士学位时提交的博士学位论文，其研究方向和主要内容应与开题报告基本一致。论文的主要研究方向有变动时，必须重新开题。

5、开题报告通过的博士生获得1学分，继续进行博士学位论文研究工作。

**六、开题报告保存**

开题报告结束后，评议小组应将开题报告及《博士学位论文开题报告评议结果》上报各院（系）教学秘书，并由院（系）负责保存至学生毕业后1年。

**七、开题信息的网上录入**

完成开题后，相关信息需在网上录入研究生教育综合管理系统。对涉密学位论文，按哈尔滨工业大学涉密管理条例相关规定执行。

**Requirements concerning Doctoral Dissertation Proposal**

**I. The purpose and significance of doctoral dissertation proposal**

Doctoral dissertation proposal is the basis for the completion of doctoral dissertations and is important in ensuring the quality of doctoral thesis.

Doctoral dissertation proposals are academic documents composed under the guidance of and approved by doctoral candidates’ supervisors. The process of the preparation for dissertation proposal is an important stage for doctoral supervisors to supervise and guide doctoral candidates under their supervision. It is also an important scientific activity, during which doctoral supervisors and doctoral candidates under their supervision discuss, organize, and determine the framework of doctoral dissertation.

Doctoral dissertation proposals aim at reporting the rationale, contents and research plan of doctoral dissertation to the evaluation panel comprising experts from within the doctoral candidates’ disciplines. Namely, the candidates report to the evaluation panel what to do, why, and how to do. Collective review will be conducted by the evaluation panel, determining whether the dissertation topic is correct, whether the research contents are appropriate, and whether the research plan is reasonable. Meanwhile, the evaluation panel assumes responsibility of reviewing how well the candidate understands the dissertation title, whether s/he has a comprehensive understanding of the current studies in relation to the topic, and how well they are prepared for the research, subjectively and objectively. On the basis of the above work, the evaluation panel, from different perspectives, would offer advice, suggestions and help concerning core issues such as scientific thinking and research methodology so as to make ensure that the direction, contents and plan of the dissertation is more reasonable.

**II. Arrangements for doctoral dissertation proposal**

1. Doctoral dissertation proposal should be conducted at the end of the first semester of the second academic year, no later than the end of the second academic year. In the case of collaborating doctoral candidate abroad, with the approval of the school, his or her doctoral dissertation proposal may be arranged flexibly.

2. Written doctoral dissertation proposal is required, which should be submitted to the supervisor for approval before the candidate applies for the oral defense of doctoral dissertation proposal.

3. Schools or departments are encouraged to organize regular and uniform evaluation of doctoral dissertation proposals.

4. The evaluation panel consists of 5-7 doctoral supervisors and professors. After listening to the candidate’s oral presentation, the panel will review and evaluate the contents of the dissertation proposals.

5. Without approval or failure to present doctoral dissertation proposal as scheduled, the mark is recorded as “failure”. In the case of “failure”, the candidate may re-apply for doctoral dissertation proposal 3 months later. If the second dissertation proposal is still failed, the candidate will be asked to quit.

**III. The contents of doctoral dissertation proposal**

1. The source of topic, research purpose and significance;

2. Current studies at home and abroad, coupled with the related analysis;

3. The results of previous theoretical and experimental studies;

4. The main research contents of the doctoral dissertation, research plan, and justification of the feasibility;

5. Research schedule and expected objectives;

6. The anticipated innovative work in the doctoral dissertation;

7. Facilities available and the conditions required for completing the project, collaborating plan and funding;

8. Anticipated problems and solutions;

9. Major references.

**IV. Requirements of doctoral dissertation proposal**

1. The state of literature, research methodology and past achievements should be fully introduced and analyzed on the basis of the grasp of sufficient relevant references. All works cited must be accurately indicated.

2. The objective, theoretical level and practical significance of the research must be clearly demonstrated.

3. Major references should be no less than 50, among which foreign references should account for no less than a half. Articles published in recent 5 years should account for no less than one third of all references. References also must contain articles published in recent 2 years. Textbooks, technical standards, product samples, etc. are regarded as unacceptable references.

4. Dissertation proposal should take the form of formal oral defense. The oral presentation should last no less than 30 minutes and the written report should be no less than 15,000 words.

**V. Evaluation of doctoral dissertation proposal**

1. The evaluation result of doctoral dissertation proposal is marked as excellent, good, average, pass, and failure. After the oral presentation and defense, the evaluation panel would discuss and decide whether the candidate can pass the defense, and they would offer advice for correction and modification.

2. Evaluation panel should fill out the ***Evaluation Results Form for Doctoral Dissertation Proposals***, which involves evaluation of the rationality and feasibility of the proposals as well as evaluation of master’s candidates’ ability to review literatures and to do research. The form will be submitted to the secretaries of related schools (departments) for filing.

3. Doctoral candidates who have passed the oral defense of their dissertation proposals must revise their proposals according to the advice provided by the evaluation panel. They must then submit the revised proposals to their supervisors for approval and to secretaries of related schools (departments) for filing. The Graduate School will assign experts to check on doctoral dissertation proposals regularly.

4. Basically, the doctoral dissertation eventually submitted for application for doctoral degrees must be the same with the dissertation proposal in terms of research direction and main contents. In case of any change concerning research direction, a new round of oral defense of dissertation proposal must be implemented.

5. Doctoral candidate gains 1 academic credit if his or her dissertation proposal is passed, and s/he can continue to do the research work related to the doctoral dissertation.

**VI. Storage of proposals**

Evaluation panel should fill out the ***Evaluation Result Form for Doctoral Candidates’ Dissertation Proposal*** which will be submitted to the secretaries of relevant schools (departments) for filing until 1 year after the graduation of those doctoral candidates.

**VII. Online entry of dissertation proposal information**

After the completion of the oral defense of dissertation proposal, doctoral candidates should enter their dissertation proposal information online into the ***Graduate Education Integrated Management System***. If the dissertation involves confidential information, it should be handled according to *HIT Administrative Measures for Confidential Information.*