

哈爾濱工業大學

Harbin Institute of Technology

# 留學研究生手冊

**HANDBOOK**

**FOR INTERNATIONAL**

**POSTGRADUATE STUDENTS**

哈爾濱工業大學研究生院

2015年9月



# 哈尔滨工业大学留学研究生在校学习和 进行学位论文研究工作注意事项

留学研究生在校学习和进行学位论文工作期间应遵守学校安全以及知识产权保护等方面规定。具体注意事项如下：

1. 留学研究生应在导师提供的实验室、场所从事学位论文研究工作，学校部分科研、实验场所未获授权不能进入。
2. 学校部分场所有禁止拍照、录音或录像的标识，进入这些场所需服从工作人员管理。
3. 学校部分实验室的计算机等仪器、设备设有使用权限和严格的操作规程，须经过导师授权，并在实验室相关工作人员的指导下使用。
4. 校园网是学校的教学、科研和办公基础设施，应妥善使用。未经他人授权，禁止使用他人电脑或用他人帐号登录校园网络。
5. 实验室、研究室他人的实验数据、研究成果等技术资料应经资料的所有者授权后方可参阅。未经授权不得浏览、拷贝、复制。

## **Points for Attention of International Postgraduates Learning and Conducting Research at Harbin Institute of Technology (HIT)**

International postgraduates learning and conducting research at HIT should abide by the rules and regulations concerning safety and protection of intellectual properties. Matters needing attention are stated as follows:

1. International postgraduates learning and conducting research at HIT should work at the lab and office provided by his or her supervisor. Unauthorized, international postgraduates are not allowed to enter some research and experimental labs at HIT.

2. Signs and symbols indicate that taking pictures, recording, or video-recording are strictly prohibited at some areas of HIT. International postgraduates entering these areas must obey orders and do as advised.

3. Computers, instruments and other devices at some labs of HIT are marked with the right to use and the strict operating procedures. Authorized by the supervisor, students can use them under the guidance of the lab staff.

4. Campus web belongs to the infrastructure of the university teaching, research and office, and they should be used appropriately. Unauthorized, students are not allowed to use other's computer or use other's account to log on the campus web.

5. Authorized by the owner, technological materials of the lab and research center such as the experimental data, research results, etc. can be used for reference. Unauthorized, students are not allowed to browse, copy or duplicate.

# 目 录

## 总 则 General Rules

关于普通高等学校授予来华留学生我国学位试行办法 .....	1
<b>Trial Procedures Concerning the Conferring of Degrees to International Students in Higher Educational Institutions in China .....</b>	<b>6</b>
哈尔滨工业大学学位与研究生教育工作总则 .....	11
<b>General Rules Concerning Degrees and Graduate Education at Harbin Institute of Technology (HIT) .....</b>	<b>14</b>
哈尔滨工业大学攻读硕士、博士学位外国留学研究生培养工作的规定 .....	18
<b>Regulations on the Education of International Master's and Doctoral Candidates .....</b>	<b>25</b>
哈尔滨工业大学学术道德规范 .....	34
<b>Academic Ethics in Harbin Institute of Technology .....</b>	<b>39</b>
哈尔滨工业大学学位论文作假行为处理办法实施细则 .....	45
<b>Detailed Rules and Regulations on Malpractice for Academic Degrees at HIT .....</b>	<b>48</b>
哈尔滨工业大学学生违纪处分暂行办法 .....	52
<b>HIT Provisional Regulations on Students' Breach of Discipline .....</b>	<b>59</b>

## 培 养 Cultivate

研究生课程考核及成绩记载管理办法 .....	65
<b>Administrative Measures for the Assessment and Grade Record for Postgraduates .....</b>	<b>67</b>
留学研究生英语一外课程免修办法 .....	69
<b>Regulations on the Exemption from the First Foreign Language Examination for International Students .....</b>	<b>70</b>
哈尔滨工业大学关于研究生考场纪律及考试违纪处分的规定 .....	71
<b>Regulations on Examination Rules and Violation of Discipline for Postgraduates (HIT) .....</b>	<b>74</b>
硕士留学研究生培养环节流程图 .....	77
<b>Flow Chart of Master's Education .....</b>	<b>78</b>
硕士研究生学位论文开题报告的有关要求 .....	79
<b>Requirements concerning Thesis Proposal of Master's Candidates .....</b>	<b>81</b>
硕士研究生学位论文中期检查的有关要求 .....	83
<b>Requirements concerning Interim Inspection of Master's Thesis .....</b>	<b>84</b>
博士留学研究生培养环节流程图 .....	86
<b>Flow Chart of Doctoral Education .....</b>	<b>87</b>
博士研究生综合考评的有关要求 .....	88
<b>Requirements concerning Comprehensive Evaluation of Doctoral Candidates .....</b>	<b>88</b>

.....	89
博士研究生学位论文开题报告的有关要求.....	90
<b>Requirements concerning Doctoral Dissertation Proposal</b> .....	93
博士研究生学位论文中期检查的有关要求.....	96
<b>Requirements concerning Interim Inspection of Doctoral Dissertation</b> .....	97

## 学 位 Degree

硕士研究生申请学位工作细则.....	99
<b>Detailed Regulations on the Application for Master Degree</b> .....	102
博士研究生申请学位工作细则.....	106
<b>Detailed Regulations on the Application for Doctoral Degree</b> .....	110
申请博士学位流程图.....	116
<b>Flow Chart of PhD Viva Application</b> .....	117
外国留学生博士学位论文送审提交说明.....	118
<b>Regulations concerning the Evaluation of Overseas Doctoral Students' Dissertation</b> .....	119
关于博士研究生延期及提前答辩的相关手续.....	121
<b>Procedures Concerning the Delay or Advance of Dissertation Defense for Doctoral Candidates</b> .....	122
关于我校博士生申请博士学位最长年限的规定.....	123
<b>Regulations Concerning the Maximum Duration of Doctoral Programs</b> .....	124
关于博士研究生在攻读学位期间发表学术论文的要求.....	125
<b>Requirements concerning Publication of Academic Papers of Doctoral Candidates</b> .....	134
对博士研究生发表学术论文要求的补充说明.....	145
<b>Supplementary Requirements concerning Doctoral Candidates' Publication of Academic Papers</b> .....	147
关于博士研究生在攻读学位期间取得成果所有权的规定.....	149
<b>Regulations of Intellectual Properties Ownership concerning Doctoral Candidates' Achievements during Their Doctoral Studies</b> .....	150

## 学籍管理 Status Management

哈尔滨工业大学研究生学籍管理实施细则.....	151
<b>Detailed Rules and Regulations on Postgraduate Status Management of HIT</b> .....	158

# 总 则

## General Rules



# 关于普通高等学校授予来华留学生我国学位 试行办法

学位[1991]17号

**第一条** 为了促进我国高等教育的国际交流与合作，保证我国普通高等学校授予来华留学生学士、硕士和博士学位的质量，特制定本试行办法。

**第二条** 授予来华留学生我国学位的单位及其学科专业，应是国务院学位委员会批准有权授予学士、硕士和博士学位的普通高等学校及其学科、专业。

**第三条** 授予来华留学生我国学位，应根据《中华人民共和国学位条例》(简称学位条例，下同)及《中华人民共和国学位条例暂行实施办法》(简称学位条例暂行实施办法，下同)的有关规定，除在政治思想上要求对我友好外，既要遵守我国现行学位制度的原则精神，又要考虑各国的实际情况，做到实事求是，保证质量。

**第四条** 来华留学生在学期间必须遵守我国的法律、法规及学校纪律。

## 学士学位

**第五条** 普通高等学校培养的来华留学本科生，符合本试行办法的规定，经审核准予毕业，达到学位条例第四条规定的学术水平者，授予学士学位。具体要求如下：

(一) 通过本专业规定的基础理论课程、专业主干课程的考试和选修课程的考查。

(二) 初步掌握汉语。要求具有使用生活用语和阅读本专业汉语资料的初步能力。《中国概况》应作为来华留学本科生的必修课来安排和要求。

(三) 完成有一定工作量的本科毕业论文(毕业设计或其他毕业实践环节，下同)。

**第六条** 普通高等学校授予来华留学本科毕业生学士学位，应按照以下程序进行：

(一) 学位评定委员会按照本试行办法第四条和第五条的规定，对来华留学本科毕业生进行逐个审核。对审核合格者，向校学位评定委员会提出拟授予学生学位的名单。

(二) 经校学位评定委员会审议通过，授予相应学科门类的学士学位。

## 硕士学位

**第七条** 普通高等学校培养的来华留学硕士生，符合本试行办法的规定，通过硕士学位的课程考试和论文答辩，成绩合格，达到学位条例第五条规定的学术水平者，授予硕士学位。

**第八条** 来华留学硕士生申请硕士学位，应在学习期间通过本专业规定的学位课程考试以及其他必修和选修课程的考试或考查。具体要求如下：

(一) 基础理论课和专业课，一般为三至四门。这些课程应作为学位课程来安排和要求。

(二) 汉语课。对于在我国获得学士学位、再次申请来华攻读硕士学位者，要求具有使用生活用语和阅读本专业汉语资料的能力；对于在他国(含派遣国，下同)获得相当于我国学士学位学术水平的学历证书者，要求具有使用生活用语的初步能力。《中国概况》应作为来华留学生的必修课来安排和要求。

(三) 选修课。各学科、专业可以根据来华留学硕士生攻读硕士学位的需要，开设一些选修课。

在他国已经修学相应学科、专业硕士学位课程的来华留学生申请攻读我国硕士学位，普通高等学校及其学科、专业根据申请人提供在他国修学的课程名称、成绩单以及两名专家(相当于副教授及其以上职称人员)的推荐信等材料，组织同行专家组(由副教授及其以上职称人员三至五人组成)对其已经修学的硕士学位课程进行审查、审核、考试或考核。凡经专家组认可的课程，可以免修；否则应按本条规定重新修学有关课程。

凡未达到上述要求者，可以在一年内补修或重修有关课程；仍未达到上述要求者，不能参加论文答辩。

**第九条** 来华留学硕士生申请硕士学位，必须撰写论文(含专题报告)。普通高等学校及其学科、专业，可以根据来华留学硕士生不同的培养规格，对论文提出不同的要求。论文可以是学术研究或科学技术报告，也可以是专题调研、工程设计、案例分析等报告，其报告应能反映学位申请者从事科学研究工作或综合运用基础理论和专门知识解决实际问题的能力。

**第十条** 普通高等学校及其学科、专业对于来华留学硕士生申请硕士学位，应按照本试行办法第四条、第八条和第九条的规定，进行认真的资格审查。审查合格者，参加论文答辩；审查不合格者，不能参加论文答辩。

**第十一条** 普通高等学校及其学科、专业培养来华留学硕士生，原则上应采取脱产培养的方式，即整个培养过程均在我国完成。提倡来华留学硕士生撰写论文与其本国实际相结合；确因需要、经指导教师同意，来华留学硕士生可以利用部分时间回国撰写论文，但在我国进行论文工作的时间不得少于半年；来华留学硕士生的论文答辩工作必须在我国进行。

**第十二条** 来华留学硕士生申请硕士学位以及普通高等学校及其学科、专业对学位申请者论文的评阅和答辩，按学位条例暂行实施办法第六条、第八条和第九条关于对硕士学位论文进行评阅和答辩的规定进行。对论文答辩通过者，经论文答辩委员会主席签字后报送校学位评定委员会批准授予硕士学位；对论文答辩未通过、要求重新答辩者，经论文答辩委员会同意，可在一年内修改论文，重新答辩一次。

### 博士学位

**第十三条** 普通高等学校培养的来华留学博士生，符合本试行办法的规定，通过博士学位的课程考试和论文答辩，成绩合格，达到学位条例第六条规定的学术水平者，授予博士学位。

**第十四条** 来华留学博士生撰写的博士学位论文，应当表明作者具有独立从事科学研究工作的能力，并在科学或专门技术上取得创造性成果。工程技术、临床医学以及其他应用学科、专业毕业的来华留学博士生提交的博士学位论文，应具有重要的实际价值，同时表明作者具有独立从事科学研究工作或专门技术工作的能力。

**第十五条** 普通高等学校及其学科、专业，应根据来华留学博士生进行科学研究工作的需要开设必要的课程。学位申请者应在学习期间通过本专业规定的课程考试。具体要求如下：

（一）基础理论课和专业课。要求在本门学科掌握坚实宽广的基础理论和系统深入的专门知识。

（二）汉语课。对于在我国获得硕士或学士学位、再次申请来华攻读博士学位者，要求具有使用生活用语和阅读本专业汉语资料的能力；对于在他国获得相当于我国硕士学位学术水平的学历证书者，要求具有使用生活用语和阅读本专业汉语资料的初步能力。《中国概况》应作为来华留学博士生的必修课来安排和要求。

（三）一门外国语(除派遣国母语和汉语以外)。要求具有阅读本专业资料的初步能力。可作为选修课来安排和要求。

凡未达到上述要求者，不能参加论文答辩。

**第十六条** 普通高等学校培养来华留学博士生，可以采取两种方式：一是脱产培养，整个培养过程均在我国完成；二是在职培养，其课程学习和撰写论文可以在我国和他国完成。

在职培养的来华留学博士生，如果课程学习是在他国完成的，其课程考试应在我国进行；学位论文在他国完成的，其论文答辩工作必须在我国进行。在职培养的来华留学博士生，在我国进行课程学习和科学研究工作的时间累计不得少于一年半。

**第十七条** 我国普通高等学校及其学科、专业，对于来华留学博士生申请博士学位，应按照国家试行办法第四条、第十四条、第十五条和第十六条的规定，进行严格的资格审查。审查合格者，参加论文答辩；审查不合格者，不能参加论文答辩。

**第十八条** 来华留学博士生申请博士学位以及普通高等学校及其学科、专业对学位申请者博士学位论文的评阅和答辩，按学位条例暂行实施办法第十条、第十二条、第十三条和第十四条的规定进行。对论文答辩通过者，经论文答辩委员会主席签字后报送校学位评定委员会批准授予博士学位；对论文答辩未通过、要求重新答辩者，经论文答辩委员会同意，可在两年内修改论文，重新答辩一次。

### 其他规定

**第十九条** 攻读我国哲学、经济学、法学、教育学、文学、历史学以及艺术、中医和临床医学等专业学士、硕士和博士学位的来华留学生，应用汉语撰写和答辩论文。普通高等学校及其学科、专业应根据学校及其学科、专业的有关规定对学位申请者进行认真的审查、审核和授予学位。

攻读其他学科、专业学士、硕士和博士学位的来华留学生，其本科毕业论文、硕士学位论文和博士学位论文可以用汉语、英语和法语撰写和答辩。

**第二十条** 普通高等学校授予他国具有研究生毕业同等学力有关人员我国硕士、博士学位，可参照国务院学位委员会《关于授予具有研究生毕业同等学力的在职人员硕士、博士学位暂行规定》及其实施细则的有关规定办理。

**第二十一条** 普通高等学校及其学科、专业可以根据本试行办法的有关规定，结合本单位的办学特点，拟定授予来华留学生我国学位的工作细则，做好学位授予工作。

**第二十二条** 普通高等学校及其学科、专业应通过我驻外使领馆对来华留学生中学位获得者从事实际工作和科学研究工作的情况定期进行追踪调查；国务院学位委员会将会同各省、自治区、直辖市以及国务院有关部委的高等教育主管部门对普通高等学校授予来华留学生我国学位的质量进行检查和评估。

**第二十三条** 普通高等学校为来华留学生颁发的学位证书，除按规定用汉语填写外，还可以用英语和法语印制、书写译文副本，所有版本具有同等效力。证书及其译文副本由国务院学位委员会办公室统一印制。

# **Trial Procedures Concerning the Conferring of Degrees to International Students in Higher Educational Institutions in China**

Degree[1991]No. 17

**Art.1** These trial procedures are formulated with a view to promote international exchange and cooperation of higher education and to ensure the standard of degrees conferred to international students in undergraduate, graduate as well as doctoral programs.

**Art.2** Only higher educational institutions and the disciplines and majors authorized by the State Council Academic Degrees Committee are entitled to confer bachelor's, master's or doctoral degrees to international students.

**Art.3** Degrees should be conferred to international students in accordance with Regulations of the People's Republic of China on Academic Degrees and Interim Rules for Implementation of the Regulations of the People's Republic of China on Academic Degrees.

**Art.4** International students must observe the laws and regulations of People's Republic of China as well as the rules of the higher educational institutions that they study in.

## **Bachelor's Degree**

**Art.5** International students can be conferred Bachelor's degree by the higher educational institutions they study in if they comply with these trial procedures and reach the academic level as stipulated in Article 4 of the Regulations of the People's Republic of China on Academic Degrees. This means they must meet the following requirements:

Item 1 They must pass both required courses including basic and major courses and optional courses required of them by their majors.

Item 2 They must have a basic knowledge of Mandarin Chinese so as to be able to deal with daily communication in Chinese and to be able to tackle reading materials concerning their majors written in Chinese. *Brief Introduction to China* should be a required course for international students at the undergraduate level.

Item 3 They must complete their graduation thesis (graduation project or other requirements for graduation).

Art.6 The following procedures should be followed for higher educational institutions to confer bachelor's degrees to international students at the undergraduate level:

Item 1 All graduate international students must be assessed by the Academic Degrees Assessment Committee of a particular discipline according to Art.4 and Art.5 of these trial procedures. A list of international students eligible for a bachelor's degree should be made by this committee and then submitted to the Academic Degrees Assessment Committee of the university.

Item 2 Corresponding bachelor's degrees will be granted when approved by the Academic Degrees Assessment Committee of the university.

### **Master's Degree**

**Art.7** International students can be conferred master's degrees by the higher educational institutions they study in if they comply with these trial procedures and reach the academic level as stipulated in Article 5 of the Regulations of the People's Republic of China on Academic Degrees, pass all courses and the thesis defense.

**Art.8** International students must pass both required courses and optional courses required of them by their majors. This means they must meet the following requirements:

Item 1 They must pass all (usually three or four) degree courses including both basic and major ones.

Item 2 For those graduate candidates who hold bachelor's degrees awarded in China, they must be able to deal with daily communication in Chinese as well as reading materials concerning their majors written in Chinese. For those graduate candidates who hold bachelor's degrees awarded in countries other than China, they must be able to deal with daily communication in Chinese. *Brief Introduction to China* should be a required course for international students at the graduate level.

Item 3 Optional courses may be offered to international students at the graduate level by each discipline or major.

For those International graduate candidates who have already completed the degree courses of their discipline or major, they can obtain advanced placement only after being peer-reviewed and evaluated, based on the degree course names, academic transcript of records and letters of recommendation by two experts (professors or associate professors) provided by the graduate candidates, by a panel consisting of three to five professors or associate professors. Otherwise, they should take these degree courses again.

For those graduate candidates who fail to fulfill the above requirements, they can make up for those degree courses that have not been successfully completed within a year. Otherwise, they will not be allowed to join the thesis defense.

**Art.9** International graduate candidates must complete work on a graduation thesis, which can take the form of various kinds of reports, such as research report, scientific and technological report, engineering design report, case study report, etc., which reflect graduate candidates' ability to carry out scientific research, or to solve practical problems by using basic theories and specialized knowledge.

**Art.10** International graduate candidates must meet the requirements of Articles 4, 8 and 9 in the trial procedures in order to be allowed to join the thesis defense.

**Art.11** International graduate candidates should study full-time. If they need time-off to spend part of their time completing their thesis in their own countries, they must gain consent from their supervisors. But they are required to spend no less than half a year to work on their thesis in China, and must complete their thesis defense in China. They are encouraged to relate their thesis to the situations and issues faced by their own countries.

**Art.12** International graduate candidates' thesis must be evaluated and thesis defense must be conducted according to Articles 6, 8 and 9 of the Interim Rules for Implementation of the Regulations of the People's Republic of China on Academic Degrees. Those candidates who pass the thesis defense will be granted master's degrees when being approved by the Academic Degrees Assessment Committee after being approved by the chair of the Thesis Defense Committee. Those candidates who do not pass the thesis defense will be given a chance, with the approval of the Thesis Defense Committee, to revise the thesis within a period of a year, and then to defend their thesis again a year after.

### **Doctoral Degree**

**Art.13** International students can be conferred doctoral degrees by the higher educational institutions they study in if they comply with these trial procedures and reach the academic level as stipulated in Article 6 of the Regulations of the People's Republic of China on Academic Degrees, pass all courses and the dissertation defense.

**Art.14** Dissertation of International doctoral candidates should give evidence of their capability to conduct scientific research independently and to produce creative results. Doctoral candidates in engineering technology, clinical

medicine and other applied disciplines and majors should submit dissertations that have significant practical value and give evidence of their capability to conduct scientific research independently in the meantime.

**Art.15** International doctoral candidates should take courses as necessary for and relevant to their scientific research. They must pass all courses required of them by their majors. This means they must meet the following requirements:

Item 1 They must pass all courses including both basic and major ones. They must master basic theories and systematic expertise of their disciplines.

Item 2 For those doctoral candidates who hold bachelor's or master's degrees awarded in China, they must be able to deal with daily communication in Chinese as well as reading materials concerning their majors written in Chinese. For those graduate candidates who hold master's degrees awarded in countries other than China, they should know some basic Chinese so as to handle daily communication in Chinese as well as reading materials concerning their majors written in Chinese. *Brief Introduction to China* should be a required course for International doctoral candidates.

Item 3 International doctoral candidates must take an optional course in foreign language apart from their native language and Chinese.

Those doctoral candidates who fail to meet the requirements listed above will not be allowed to join the dissertation defense.

**Art.16** International doctoral candidates can be either off-job, which means they must complete the entire process in China, or in-job, which means they do not have to complete their degree courses and doctoral dissertation in China.

In-job International doctoral candidates who take their degree courses in countries other than China should take relevant exams in China. In-job International doctoral candidates who complete their dissertation in countries other than China must defend their dissertation in China. The accumulated time for in-job International doctoral candidates should reach at least one and a half years, during which they should take degree courses or conduct scientific research.

**Art.17** International doctoral candidates must meet the requirements of Articles 4, 14, 15 and 16 in the trial procedures in order to be allowed to join the dissertation defense.

**Art.18** International doctoral candidates' dissertation must be evaluated and dissertation defense must be conducted according to Articles 10, 12, 13 and 14 of the Interim Rules for Implementation of the Regulations of the People's Republic of China on Academic Degrees. Those doctoral candidates who pass the dissertation defense will be granted doctoral degrees when being approved

by the Academic Degrees Assessment Committee after being approved by the chair of the Dissertation Defense Committee. Those doctoral candidates who do not pass the dissertation defense will be given a chance, with the approval of the Dissertation Defense Committee, to revise the dissertation within a period of two years, and then to defend their dissertation again two years after.

#### **Other Rules**

**Art.19** International students who do bachelor's, master's or doctoral degrees in China in philosophy, economics, law, education, literature, history, art, traditional Chinese medicine and clinical medicine must write their thesis or dissertation in Chinese.

International students who do bachelor's master's or doctoral degrees in China in other disciplines and majors can write their thesis or dissertation in Chinese, English or French.

**Art.20** Higher educational institutions should award master's or doctoral degrees to International candidates who hold equivalent graduate background according to the Interim Rules for Awarding Master's or Doctoral Degrees to In-Job Candidates with Equivalent Graduate Education Background issued by the State Council Academic Degrees Committee.

**Art.21** Higher educational institutions should draw up their own degree awarding regulations according to these trial procedures.

**Art.22** Higher educational institutions should keep track of the International degree recipients with regard to their scientific research through our embassies abroad. The State Council Academic Degrees Committee, together with departments in charge of higher education in provinces, autonomous regions and municipalities, will conduct inspections and evaluations of the quality of degrees awarded to international students by higher educational institutions in China.

**Art.23** Degrees awarded to international students by higher educational institutions in China are written in Chinese, plus a translated copy in English or French, which will both be issued by the office of the State Council Academic Degrees Committee.

# 哈尔滨工业大学学位与研究生教育工作总则

第一条 根据《中华人民共和国学位条例》、《中华人民共和国学位条例暂行实施办法》以及教育部、国务院学位办有关研究生教育和学位工作的文件，结合我校情况制定本工作总则和有关实施办法。

第二条 经国务院批准授权，我校授予学位的学科门类有工学、理学、哲学、经济学、法学、文学和管理学，授予学位的级别有学士、硕士和博士。授予专业学位的类型有工商管理硕士、公共管理硕士、建筑学硕士、工程硕士和中职教师在职攻读硕士学位。

第三条 学士学位。凡符合下列条件者，经校学位委员会审查批准，授予学士学位。拥护中国共产党的领导，拥护社会主义制度，遵守纪律和社会主义法制，品行端正。完成教学计划的各项要求，课程学习和毕业论文（毕业设计）的成绩合格，表明确已较好地掌握本门学科的基础理论、专门知识和基本技能，并具有从事科学研究工作或担负专门技术工作的初步能力。

由各学位分委员会审核学士学位申请者在校期间的全部成绩和毕业鉴定材料，认为确实符合以上要求者，列入学士学位获得者的名单，经校教务处报校学位委员会通过。

第四条 硕士学位。本校硕士研究生达到培养目标的要求，完成培养计划所规定的课程学习，成绩合格并通过学位论文答辩，表明确已在本学科上掌握坚实的基础理论和系统的专门知识；具有从事科学研究工作或独立担负专门技术工作的能力者，授予硕士学位。

第五条 博士学位。本校博士研究生达到培养目标的要求，通过博士研究生学位课程考试，成绩合格并通过学位论文答辩，表明确已在本门学科上掌握坚实宽广的基础理论和系统深入的专门知识；具有独立从事科学研究工作的能力；在科学或专门技术上做出创造性成果者，授予博士学位。

第六条 学位论文答辩委员会负责审查硕士或博士学位论文、组织答辩，以不记名投票方式做出是否授予相应学位的建议，经全体成员三分之二以上（含三分之二）通过者，报学位分委员会。

学位分委员会负责审查学位论文答辩委员会决议，并以不记名投票方式就是否授予学位做出分委员会决议，经到会委员三分之二以上（含三分之二）通过者，报学校学位委员会。

校学位委员会对学位分委员会报请授予硕士学位的名单做出是否批准的决定；对所报请授予博士学位的名单进行逐个审查，以不记名投票方式进行表决。经到会委员三分之二以上（含三分之二）通过者，决定授予其博士学位。决定授予硕士学位或博士学位的名单，报国务院学位委员会备案。

第七条 学位委员会。哈尔滨工业大学学位委员会由三十三至三十七人组成，委员由教授或相当职称的专家担任。名单报请主管部门批准，任期两年。

学位委员会设主席一人，副主席二至四人，秘书长一人。主席由校长担任。

学位委员会设立常务委员会，负责校学位委员会休会期间有关事务的决策。

第八条 学位委员会履行下列职责：

1. 通过学士学位获得者名单；
2. 做出授予硕士学位和博士学位的决定；
3. 通过授予名誉博士学位的人员名单，报请国务院学位委员会批准；
4. 做出撤消违反规定所授予的学位的决定；
5. 通过博士生导师遴选名单；
6. 通过硕士生导师遴选名单；
7. 通过申报新增博士学位授权点、硕士学位授权点名单；
8. 审批学位分委员会组成名单；
9. 通过或修改哈尔滨工业大学有关学位与研究生教育工作的文件及法规。

第九条 在一级学科或相近一级学科设立学位分委员会（以下简称分委员会）。分委员会的任务是在指定学科、专业协助校学位委员会履行学位授予工作的各项职责。

分委员会由七至十五人组成，从所覆盖学科的教授中推选，一般应包含所在院（系）主管研究生工作的领导。分委员会名单报送校学位委员会批准，任期两年。

分委员会设主席一人、副主席一至二人，分委员会主席应由校学位委员会委员担任。

第十条 校学位委员会下设学位办公室，是学位委员会休会期间的常

设办事机构。学位办公室主任由校学位委员会任命。

第十一条 有权授予硕士、博士学位的学科、专业必须制定相应的研究生培养方案与培养基本要求，确定本学科、专业所开设的研究生课程，编写课程教学大纲，并根据需要提出每年度招生计划。

第十二条 研究生的培养实行导师负责制。博士生的培养还可由博士生指导小组进行指导。重视研究生导师的教书育人工作，推行研究生导师的“双重导师”制度。

第十三条 进行硕士研究生指导教师和博士研究生指导教师的遴选工作，具体办法见我校有关规定。

第十四条 选拔优秀本科生免试攻读硕士学位和优秀硕士生进行硕博连读或免试攻读博士学位，尽快为国家输送人才。在研究生培养工作中实行筛选制。

第十五条 探索研究生培养的新途径，同国内外研究生培养单位建立联系，进行对等交换培养研究生和合作培养研究生。加强跨学科培养研究生的组织工作。

第十六条 进行各学科、专业研究生培养质量的评估工作，保证我校研究生培养质量。

第十七条 加强研究生的学籍管理工作，严格奖、惩制度，保证研究生培养工作的正常进行。

第十八条 加强研究生德育工作，鼓励研究生在学习过程中参加社会实践活动，以提高他们的思想政治素质，有利于理论联系实际和培养为社会服务的能力。

第十九条 我校在有权授予硕士、博士学位的学科、专业范围内受理具有研究生毕业同等学力人员的学位申请。具体办法见我校有关规定。

第二十条 在我校学习的外国留学生申请学位时，按我校有关学位授予工作规定办理。

第二十一条 名誉博士学位的授予需经校学位委员会讨论通过，报国务院学位委员会批准。

第二十二条 我校经国家博士后管理委员会批准建立的博士后流动站，按一级学科设站。流动站管理委员会成员应包括所在院（系）的主要负责人。

第二十三条 我校学位与研究生教育工作的各项具体实施办法根据此总则制定。

## **General Rules Concerning Degrees and Graduate Education at Harbin Institute of Technology (HIT)**

**Art.1** These general rules have been made in accordance with Regulations of the People's Republic of China on Academic Degrees and Interim Rules for Implementation of the Regulations of the People's Republic of China on Academic Degrees, together with documents concerning degrees and graduate education issued by the Ministry of Education and the State Council.

**Art.2** HIT has been authorized by the State Council to award bachelor's, master's and doctoral degrees in engineering, science, philosophy, economics, law, literature and management, as well as professional degrees including Master of Business Administration (MBA), Master of Public Administration (MPA), Master of Architecture, Master of Engineering and In-service Studying for Master's Degree of Secondary Vocational School Teachers.

**Art.3** With the approval of the Academic Degrees Committee of HIT, Bachelor's Degrees can be awarded to candidates who advocate the leadership of the Chinese Communist Party and the socialist system, abide by the rules and the socialist legal system, and have integrity and dignity. Candidates must also meet all academic requirements, including course studies and graduation thesis and/or project, demonstrating their mastery of basic theories and skills as well as specialized knowledge, and the basic ability to carry out scientific research.

Academic Degrees Subcommittee will evaluate and verify bachelor degree candidates' academic performance and graduation thesis (project) before sending the list of degree receivers to Academic Degrees Committee of the university through the Academic Affairs Office.

**Art.4** Master's degrees will be awarded to candidates who meet all academic requirements, including course studies, graduation thesis and thesis defense, demonstrating their mastery of the basic theories and systematic specialized knowledge as well as their ability to conduct scientific research.

**Art.5** Doctoral degrees will be awarded to candidates who meet all academic requirements, including degree course studies, doctoral dissertation and dissertation defense, demonstrating their mastery of basic theories and specialized knowledge, as well as their ability to conduct scientific research independently and to produce creative results in science and technology.

**Art.6** The Thesis/Dissertation Defense Committee is responsible for evaluating the thesis or dissertation of master's or doctoral degree candidates,

arranging thesis/dissertation defense, deciding whether or not to award degrees to candidates by way of secret ballot, and submitting the results to Academic Degrees Subcommittee if candidates get two-thirds or more of the total votes.

Academic Degrees Subcommittee is responsible for evaluating the decision of the Thesis/Dissertation Defense Committee, deciding whether or not to award degrees to candidates by way of secret ballot, and submitting the results to Academic Degrees Committee of the university if candidates get two-thirds or more of the total votes.

Academic Degrees Committee of the university will decide whether or not to approve the list of master's degree receivers submitted by the Academic Degrees Subcommittee. It will evaluate each candidate on the list of doctoral degree receivers and decide whether or not to award doctoral degrees by way of secret ballot, only those candidates who get two-thirds or more of the total votes can be awarded doctoral degrees. The lists of master's and doctoral degree receivers will be then submitted to the State Council Academic Degrees Committee.

**Art.7** The Academic Degrees Committee of HIT consists of 33 to 37 members, all of whom are professors or experts with equivalent titles approved by the Ministry of Industry and Information Technology with each term lasting two years.

The Academic Degrees Committee of HIT consists of one chairman (president of the university), two to four vice-chairmen and one secretary-general.

The Standing Committee is responsible for decision-making while the Academic Degrees Committee of HIT is in between sessions.

**Art.8** The Academic Degrees Committee of HIT is responsible for:

1. Verifying the list of bachelor's degree receivers;
2. Making decisions concerning the conferring of master's and doctoral degrees;
3. Verifying the list of honorary doctoral degree receivers and submit the list to the State Council Academic Degrees Committee for approval;
4. Making decisions concerning the cancellation of degrees conferred against rules
5. Verifying the list of doctoral supervisors;
6. Verifying the list of master's supervisors;
7. Verifying the list of disciplines newly authorized to confer doctoral and

master's degrees;

8. Verifying the list of members of the Academic Degrees Subcommittee;

9. Verifying or modifying documents and rules concerning degrees and graduate education in HIT.

**Art.9** The Subcommittee, short for Academic Degrees Subcommittee, is set up in first-level disciplines, and is responsible for assisting the Academic Degrees Committee of HIT in all affairs concerning the conferring of academic degrees.

The Subcommittee consists of 7 to 15 members, all full professors from the given disciplines, usually including directors of graduate affairs in the given schools of the university. The list of the Subcommittee members should be submitted to the Academic Degrees Committee of HIT for approval, with each term lasting two years.

The Subcommittee consists of one chairman (member of the Academic Degrees Committee of the university), one to two vice-chairmen.

**Art.10** The Academic Degrees Office, directly under the Academic Degrees Committee of HIT, is responsible for handling affairs concerning the conferring of academic degrees while the Academic Degrees Committee is in between sessions. Director of the Academic Degrees Office is appointed by the Academic Degrees Committee of HIT.

**Art.11** Disciplines and majors authorized to confer master's and doctoral degrees must draw up their own graduate programs and basic requirements, decide on graduate courses, syllabus, as well as the annual recruitment scheme.

**Art.12** Master's and doctoral supervisors are responsible for the supervision of master's and doctoral candidates. Doctoral candidates can be supervised by a team of doctoral supervisors. Master's and doctoral supervisors have the responsibility to impart knowledge and educate.

**Art.13** The selection and appointment of master's and doctoral supervisors should abide by relevant rules stipulated by the university.

**Art.14** Outstanding undergraduate and graduate students can be recommended to do master's or doctoral degrees without taking entrance examinations.

**Art.15** Innovative graduate programs should be explored and developed. Exchange and cooperative graduate programs should be encouraged so as to establish ties with graduate schools from home and abroad. Cross-disciplinary graduate programs should be enhanced.

**Art.16** The quality of the graduate program of each discipline and major will be evaluated to ensure and maintain a high standard of graduate education.

**Art.17** The administration of graduate student records should be strengthened, so as to ensure fairness in giving out rewards and penalties.

**Art.18** Social practice is highly encouraged during graduate studies to enable graduate students to put theory into practice and to improve their social service ability.

**Art.19** Those candidates who hold equivalent graduate backgrounds are eligible for degrees within disciplines and majors authorized to confer master's and doctoral degrees.

**Art.20** International candidates who apply for degrees in HIT will be conferred degrees according to relevant rules and regulations concerning the conferring of academic degrees in HIT.

**Art.21** The conferring of honorary doctoral degrees should be approved by the Academic Degrees Committee of HIT before submitting to the State Council Academic Degrees Committee for approval.

**Art.22** Post-doctoral stations can be set up within first-level disciplines in our university with the approval of the National Committee of Post-doctorate Management. Members of the committee of post-doctorate management of each post-doctoral station should consist of heads of the school or department.

**Art.23** Implementation measures concerning degrees and graduate education in Harbin Institute of Technology should be made in accordance with the general rules stated above.

# 哈尔滨工业大学攻读硕士、博士学位外国留学研究生培养工作的规定

为了促进我校的国际交流与合作，加强对外国留学生培养工作的规范管理，根据《高等学校接受外国留学生管理规定（教育部、外交部、公安部）9号令》、《哈尔滨工业大学攻读硕士学位研究生培养工作的规定》和《哈尔滨工业大学攻读博士学位研究生培养工作的规定》，制定本规定。

## 一、培养年限

### 1. 攻读硕士学位留学生培养年限

我校全日制硕士研究生的培养年限为2-3年。原则上用0.75~1学年时间完成课程学习，用1~1.25学年完成硕士学位论文。

### 2. 攻读博士学位留学生培养年限

博士生培养年限一般为4年。特殊情况下，经有关审批程序批准，一般博士留学生的培养年限最长可延至5年。

## 二、培养方式

硕士、博士留学研究生的培养实行导师负责制。导师根据培养方案的要求和因材施教的原则，对每个留学研究生制订培养计划。为了加强国际交流与合作，使留学生能够更好的融入校园学习及生活，提倡对同一研究方向的中国博士研究生和外国博士留学生成立博士生培养小组，对培养中的重要环节和博士学位论文中的重要学术问题进行集体讨论。导师应在不违反保密条例的基础上为留学生提供在研究所或课题组学习研究的条件。

## 三、课程设置及学分要求

### （一）攻读硕士学位留学生学分要求

#### I 中文授课硕士留学生

中文授课硕士留学研究生所修学分的总和应不少于29学分，其中学位课为16学分。中文授课硕士留学生根据自身英语语言基础，可选择相关学科的英文授课硕士留学生课程，课程类别与英文授课硕士留学生培养方案一致。

#### 相关说明

##### 1. 学位课（16学分）

（1）第一外国语（2学分）。中文授课硕士留学生需参加英语分班考试，

考试后将根据学生的英语水平分入外教班、普通班或零基础班学习。

(2) 数学基础课或基础理论课 (2 门, 4 学分)

(3) 学科基础课与学科专业课 (10 学分)

学位课均为考试课程, 应全部在课程学习阶段完成。

2. 选修课 (6-8 学分)

选修课应结合本学科主要研究方向或本领域学术前沿设置。选修课可采用教师讲授为主, 教师辅导研究生进行研讨为辅的方法进行学习。选修课应在课程学习阶段完成。“中国文化与跨文化沟通”(2 学分)用英语讲授, 学生可根据需要选修。

3. 实践环节与专题课 (3-6 学分) 由各学科确定具体要求。

4. 学术交流 (1 学分) 由各学科确定具体要求。

5. 开题报告 (1 学分) 由各学科确定具体要求。

6. 中期检查 (1 学分) 由各学科确定具体要求。

表 1 中文授课留学硕士培养方案学分要求

课程类别		学分
学位课	第一外国语 (有条件免修)	2
	数学基础课或基础理论课	4
	学科基础课 学科专业课	10
选修课	专业选修课	6~8
实践环节与专题课		3~6
学术交流		1
开题报告		1
中期检查		1
总学分		29~33

## II 英文授课硕士留学生

英文授课硕士留学研究生应执行各学科制定的英文授课硕士留学生培养方案。

必选学分包括: 中国文化与跨文化沟通 (2 学分, 学位课), 学术交流 (1 学分), 开题报告 (1 学分), 中期检查 (1 学分)。

**其他课程包括:**

1. 经管人文类: 专业学位课不少于 14 学分, 专业选修课不少于 10 学

分，专题课 2 学分。

2. 材料科学与工程学科：专业学位课不少于 14 学分，专业选修课不少于 8 学分，专题课 2 学分。

3. 机械工程类：专业学位课不少于 12 学分，专业选修课不少于 12 学分，专题课 2 学分，实践课 2 学分。

4. 土木工程类：专业学位课不少于 24 学分，包括学科基础课 9 学分（3 门），学科专业课 15 学分（5 门）；专业选修课为 3 学分。

5. 电类：专业学位课不少于 8 学分，专业选修课不少于 8 学分，专题课 2 学分，实践课 2 学分。

表 2 英文授课体系培养方案学分要求

课程类别		经管	材料	机械	土木	电类
学位课	中国文化与跨文化沟通	2				
	专业学位课	14	14	12	24	8
选修课	专业选修课	10	8	12	3	8
专题课		2	2	2	-	2
实践环节		-	-	2	-	2
学术交流		1				
开题报告		1				
中期检查		1				
总学分		31	29	33	32	25

## （二）攻读博士学位留学生学分要求

博士留学生在其攻读学位期间，所修学分的总和应不少于 12 学分，其中学位课为 4 学分，选修课不少于 4 学分。博士留学生可根据自身语言基础选择硕士生的中文授课或英文授课课程进行学习。

### 1. 学位课（4 学分）

（1）博士生英语一外（2 学分）。留学博士研究生需参加英语分班考试，考试后将根据学生的英语水平分入外教班、普通班或零基础班学习。

（2）专业必修课（2 学分）。

### 2. 选修课

专业选修课不少于 4 学分。学生可根据需要选修中国文化与跨文化沟通（2 学分，英语讲授，非专业选修课）。

3. 必修环节：含综合考评（1 学分），开题报告（1 学分），中期检查（1 学分），学术活动（1 学分）。

表 3 留学博士生培养方案学分要求

课程类别		学分
学位课	第一外国语（有条件免修）	2
	专业必修课	2
选修课	专业选修课	≥4
	中国文化与跨文化沟通（选修）	2
必修环节	综合考评	1
	开题报告	1
	中期检查	1
	学术活动	1
总学分	≥12	

#### 四、选课

1. 留学生入学后应在导师指导下及时填写《硕士留学研究生培养计划》或《博士留学研究生培养计划》，经院（系）主管领导审查批准后，于开学后 2 周内交院（系）教学秘书备案，导师和学生各存 1 份复印件备用。培养计划是留学生课程学习过程的管理文件，学生应认真执行。

2. 留学生需在开学后两周内通过“哈尔滨工业大学研究生教育综合管理系统”进行网上选课。所选课程应与《硕士学位研究生培养计划》或《博士学位研究生培养计划》一致。教学秘书应在学生选课后对留学生的选课结果进行核对。

3. 留学生培养计划中选定的课程一般不得改动。如因特殊情况需要更改，需填写《哈尔滨工业大学硕士学位研究生培养计划更改申请》或《哈尔滨工业大学博士学位研究生培养计划更改申请》，经导师及院（系）主管领导签字同意后由院（系）修改并留存。更改课程手续必须在每学期开学后两周内办理，并由留学生本人在研究生系统内修改。每名留学生每学期调整的课程数目不能超过 2 门。

#### 五、教学语言

汉语是我校培养留学生的基本教学语言。

汉语水平未达到专业学习要求的硕士留学生（全英文硕士项目的留学

生除外), 在入学之前应参加 1 年的汉补培训, 汉语水平达到要求后, 方可参加专业课的学习。

博士留学生可根据自身情况选择汉语或英语作为教学语言。选择英语作为教学语言的博士留学生的课程计划由导师及相关院(系)协助安排。

参加我校全英文授课项目的硕士留学生, 教学语言为英语。

## 六、授课方式

中文授课留学生课程采用中外学生同堂听课、教师辅导的方式进行, 英文授课硕士留学生采用全英文授课体系进行教学, 英文授课的博士留学生采用教师辅导的方式进行学习。任课教师可将教学过程中遇到的相关问题反馈至院系或研究生院, 以保证留学生能顺利完成相关课程的学习。

## 七、成绩考核

留学生学习成绩考核分为考试和考查两种。

学位课必须进行考试, 成绩按百分制评定。考试方法一般为笔试或口试。

选修课、专题课、实践环节一般进行考查, 成绩记为百分制或“合格/不合格”。考查方法一般为笔试、口试, 或撰写读书报告、研究报告等形式。

关于成绩考核的其它要求见《研究生课程考核及成绩记载管理办法》。

## 八、学位论文及有关要求

### (一) 论文撰写语言要求

根据哈尔滨工业大学学位办公室《关于我校研究生学位论文使用语言的规定》(校学位[2007]08 号)的要求, 留学生学位论文的撰写语言有如下规定:

1. 攻读博士学位的外国留学生, 可以用汉语或英语撰写学位论文和进行论文答辩。如用英文撰写学位论文, 应有不少于 3000 字的中文摘要, 以“详细摘要”为题附在博士学位论文中。

2. 攻读硕士学位的外国留学生, 可以用汉语或英语撰写学位论文和进行论文答辩。如用英文撰写学位论文, 应有不少于 3000 字的中文摘要, 以“详细摘要”为题附在硕士学位论文中。

### (二) 硕士留学生学位论文及有关要求

1. 完成学位论文工作的主要目的和基本要求

学位论文工作的主要目的是培养硕士研究生独立思考、勇于创新的精神

神和从事科学研究或担负专门技术工作的能力，使研究生的综合业务素质在系统的科学研究或工程实际训练中得到全面提高。学位论文工作阶段的开题、中期检查和论文答辩是硕士生培养过程中的必要环节，硕士生导师和各学科必须给予保证。硕士留学生应在导师指导下独立完成硕士学位论文工作。

## 2. 题目确定

学位论文的选题一般应结合本学科的研究方向和科研项目，鼓励面向国民经济和社会发展的需要选择具有理论意义或应用价值的课题。确定学位论文工作的内容和工作量时应考虑硕士留学生的知识结构、工作能力和培养年限等方面的特点。学位论文的题目一般应于第一学期结束前确定。

## 3. 开题报告

硕士留学生学位论文的开题工作一般应于第二学年秋季学期开学后三周内完成。开题报告的主要内容为：课题来源及研究目的和意义；国内外在该方向的研究和发展情况及分析；论文的主要研究内容及研究方案，预期达到的目标；已完成的研究工作与进度安排，为完成课题已具备和所需的条件和经费；预计研究过程中可能遇到的困难和问题以及解决的措施；主要参考文献。对开题报告工作的具体要求见《硕士研究生学位论文开题报告的有关要求》。

## 4. 中期检查

硕士留学生学位论文的中期检查一般应于研究生入学后的第二学年春季学期开学后三周内完成。中期检查的主要内容为：论文工作是否按开题报告预定的内容及进度进行；已完成的研究内容及结果；目前存在的或预期可能会出现的问题；论文按时完成的可能性。对学位论文工作中期检查的具体要求见《硕士研究生学位论文中期检查的有关要求》。

## 5. 学位论文撰写

硕士学位论文是硕士生科学研究工作的全面总结，是描述其研究成果、反映其研究水平的重要学术文献资料，是申请和授予硕士学位的基本依据。学位论文撰写是硕士生培养过程的基本训练之一，必须按照规范认真执行，具体要求见《哈尔滨工业大学研究生学位论文撰写基本要求》。

## 6. 论文答辩

学位论文答辩一般在硕士留学生入学后的第二学年末进行。硕士留学生学位论文答辩应按照《硕士研究生申请学位工作细则》进行。

### （三）博士留学生学位论文及有关要求

#### 1. 论文开题

博士留学生入学后一般应在第二学年第一学期末完成论文开题，最迟要在第二学年末完成，论文开题一般采取答辩方式进行，并提交书面开题报告。具体要求见《博士学位论文开题报告的有关要求》。

2. 中期检查：学位论文实行中期检查制度。在研究生博士学位论文工作的中期，学院应组织考查小组（3-5人组成）对研究生的综合能力、论文工作进展以及工作态度、精力投入等进行全面考查。具体要求见《博士学位论文中期检查的有关要求》。

#### 3. 发表学术论文

博士留学生在攻读学位期间发表论文的数量和水平是研究生培养质量和学位授予质量的重要标志之一。我校对博士生发表学术论文的基本要求见《关于博士研究生在攻读学位期间发表学术论文的要求》。各学位评定分委员会根据所在学科的实际情况，在满足学校基本要求的前提下，制定了本一级学科范围内更高的博士生发表学术论文要求的，按学科要求执行。

#### 4. 学位论文撰写

博士学位论文是博士留学生科学研究工作的全面总结，是描述其研究成果、反映其研究水平的重要学术文献资料，是申请和授予博士学位的基本依据。学位论文撰写是博士生培养过程的基本训练之一，必须按照规范认真执行，具体要求见《哈尔滨工业大学博士学位论文撰写基本要求》。

#### 5. 预答辩及答辩

博士学位论文预答辩是切实检查博士留学学位论文工作，保证博士学位论文质量的重要环节。博士留学生在学位论文初稿完成并经导师审阅认可后，可向所在学科点提出预答辩申请。对预答辩的有关要求见《博士研究生申请学位工作细则》。

博士学位论文答辩是对博士留学生科学研究工作和学位论文水平的全面考核，是申请和授予博士学位的重要程序。申请博士学位论文答辩的条件及有关要求见《博士研究生申请学位工作细则》。

# **Regulations on the Education of International Master's and Doctoral Candidates**

To promote international exchange and cooperation, and improve the standard administration of education for international students, the following regulations have been made based on *Regulations on the Administration of International Students in Chinese Higher Educational Institutions*, *Regulations on the Education of Master's Candidates in Harbin Institute of Technology* and *Regulations on the Education of Doctoral Candidates in Harbin Institute of Technology*.

## **I. Duration**

### **1. Duration of education for master's candidates**

The duration of education for full-time master's candidates lasts 2-3 years, with 0.75 to 1 year to complete the curriculum, and 1 to 1.25 years to complete master's dissertation.

### **2. Duration of doctoral education**

The duration of doctoral education generally lasts 4 years. In special cases, authorized via the approval procedures, the duration of education for doctoral candidates can be lengthened to 5 years at most.

## **II. Mode of education**

Master's and doctoral supervisors are responsible for the supervision of international master's and doctoral candidates. According to requirement of training program and principle of teaching in line with students' aptitude, supervisor should design training program. To promote international exchange and cooperation and to enable international students to better adapt to campus life, the team mode is encouraged which includes both Chinese and international doctoral candidates in the same research field so as to discuss important links in training program and major academic issues in their doctoral dissertations collectively. Supervisors should provide the equipment and conditions for the students to work in the laboratory or research group without violating confidentiality regulations.

## **III. Courses and credit requirements**

### **1. Master program in Chinese**

International master's candidates are required to obtain a minimum of 29 credits, among which a minimum of 16 credits go to degree courses. Based on

their own English proficiency, the Chinese program students can choose English program courses in the related subject area, with the same category as the English program.

**Table1 Credits Requirements for Master program in Chinese**

Type of Courses		Credits
Degree Courses	First Foreign Language	2
	Basic Math or Basic Theory	4
	Discipline Basic Courses Discipline Specialized Courses	10
Optional Courses	Specialized Optional Courses	6~8
Special Topic Course and Practice Part		3~6
Academic Communication		1
Thesis Proposal		1
Interim Inspection		1
<b>Total Credits</b>		29~33

#### 1.1 Degree courses (16 credits)

(1) 2 credits for the first foreign language. Chinese program international graduate students should take the English level test, and they will be put into Foreign Teacher Classes, Chinese Teacher Classes or Basic English Classes (for beginner) on the basis of their English test.

(2) 4 credits for two courses on either basic math or basic theory.

(3) 10 credits for discipline basic courses and discipline specialized courses.

Degree courses are all exam courses which should be completed within the course learning period.

#### 1.2 Optional courses (6-8 credits)

Optional courses are designed within this subject main research direction or the academic frontier field. Optional courses can be taught mainly by teachers, mentoring graduate seminar complementarily. Optional courses should be completed within the course learning period.

Chinese Culture and Cross-Culture Communication (2 credits) is taught in English. Students can choose this course according to their needs.

#### 1.3 Special topic course and practice part (3-6 credits)

Specific requirements should be decided by each discipline.

1.4 Academic communication (1 credit) should be determined by each discipline.

1.5 Thesis proposal (1 credit) should be determined by each discipline.

1.6 Interim inspection (1 credit) should be determined by each discipline.

## 2. Master program in English

Master program in English should implement the specified training program designed by each discipline.

Required credits: include Chinese culture and cross-cultural communication (Degree courses, 2 credits), Academic communication (1 credit), Thesis proposal (1 credit), Interim inspection (1 credit).

**Table 2 Credits Requirements for Master program in English**

Type of Courses		MH	MSE	ME	CE	E
Degree Courses	Chinese Culture and Cross-Cultural Communication	2				
	Degree Courses	14	14	12	24	8
Optional Courses	Optional Courses	10	8	12	3	8
Special Topic Courses		2	2	2	-	2
Practice Part		-	-	2	-	2
Academic Communication		1				
Thesis Proposal		1				
Interim Inspection		1				
<b>Total Credits</b>		31	29	33	32	25

Other courses include:

(1) For master candidates specialized in **Management and Humanities**:

Degree courses for more than 14 credits, specialized optional courses for more than 10 credits, special topic course for 2 credits.

(2) For master candidates specialized in **Materials Science and Engineering**:

Degree courses for more than 14 credits, specialized optional courses for more than 8 credits, special topic course for 2 credits.

(3) For master candidates specialized in **Mechanical Engineering**:

Degree courses for more than 12 credits, specialized optional courses for more than 12 credits, special topic course for 2 credits, practice part for 2 credits.

(4) For master candidates specialized in **Civil Engineering**:

Degree courses for more than 24 credits, including three discipline basic courses with 9 credits and five discipline specialized courses with 15 credits, and specialized optional courses for 3 credits

(5) For master candidates specialized in **Electronics**

Degree courses for more than 8 credits, specialized optional courses for more than 8 credits, special topic course for 2 credits, practice part for 2 credits.

### 3. Credit requirements for international doctoral candidates

International doctoral candidates are required to gain a minimum of 12 credits, among which a minimum of 4 credits go to degree courses and a minimum of 4 credits go to optional courses. Based on their own language proficiency, the students can choose English or Chinese Master Program courses in the related subjects.

**Table3 Credits Requirements for PhD program**

Type of Courses		Credits
<b>Degree Courses</b>	First Foreign Language	2
	Compulsory courses	2
<b>Optional Courses</b>	Specialized Optional Courses	≥4
	Chinese Culture and Cross-Cultural Communication (Optional)	2
<b>Required Parts</b>	Comprehensive Assessment	1
	Dissertation Proposal	1
	Interim Inspection	1
	Academic Activities	1
<b>Total Credits</b>	<b>≥12</b>	

#### 3.1 Degree courses (4 credits)

(1) The first foreign language for doctoral candidates (2 credits). International doctoral candidates should take the English level test, and they will be put into Foreign Teacher Classes, Chinese Teacher Classes or Basic English Classes (for beginner) on the basis of their English test.

(2) Compulsory courses (2 credits)

3.2 Optional courses (no less than 4 credits)

4 credits go to specialized optional courses. Students can study Chinese Culture and Cross-Cultural Communication (2 credits, English teaching, non-specialized optional course) according to their needs.

3.3 Required Parts including Comprehensive Assessment during the first academic year accounts for 1 credit. Dissertation Proposal accounts for 1 credit. Interim Inspection accounts for 1 credit. Academic Activities account for 1 credit.

#### **IV. Course selection**

1. International students should fill out training program for master's candidates or doctoral candidates under the guidance of their supervisors, which, after being approved by the dean of the schools (departments), should be submitted to the secretary for being archived in the first two weeks of the semester. Students and supervisors should each keep a copy. The program is an important administrative document in the process of international students' course studies and should be carefully followed.

2. Students need to select the courses in the *HIT Graduate Education Integrated Management System* on the internet in the first two weeks. The courses should be the same as the training program for master's candidates or doctoral candidates. The teaching director should check the results of the international student course selection.

3. Courses already selected in the program cannot be changed except under exceptional circumstances, in which case *Application Form for Changing the Training Program* must be filled out, which would then be solved by the discipline or school after being approved and signed by the supervisor and the dean. This must be completed 2 weeks within the beginning of each semester and each International student is only allowed to change a maximum of 2 courses each semester. The courses should be revised by international students in the *HIT Graduate Education Integrated Management System* in person in the first two weeks of the semester.

#### **V. Language of instruction**

Chinese is the basic language of instruction for international students in Harbin Institute of Technology.

International master's candidates (with the exception of those who are part of the Master Program in English) whose Chinese level does not meet the

requirement should receive Chinese training for a year before being admitted.

International doctoral candidates can choose either Chinese or English as the language of instruction. Those who choose English as the language of instruction should ask their supervisors and department to help make relevant arrangements.

The language of instruction is English for those International master's candidates who are part of the Master Program in English.

## **VI. Teaching method**

In the Chinese program, Chinese and foreign students have classes together. Master students in English Program form a single class, doctoral students in English Program will be coached by the teacher. Teachers can inform of the department or Graduate School about the problems difficult to handle, in order to ensure the quality of graduate courses.

## **VII. Assessment**

Assessment of international students' grades involves exam and check.

The degree course must be assessed by an examination and students' scores will be assessed based on a hundred-mark system. Exams involve written and oral examinations or both.

Optional courses are assessed based on a hundred-mark system or pass-or-fail system. The assessment of optional courses takes one or more of the following forms: written, oral, book reports, research reports, etc.

For other requirements concerning assessment, see the *Administrative Measures for the Assessment and Grade Record for Postgraduates*.

## **VIII. Thesis/Dissertation Requirements**

### **1. Language requirements**

The following are regulations concerning the language used in international students' thesis/dissertation based on *The Regulations on the Language Used in Graduate Students' Thesis/Dissertation* (Document No. Academic Degrees [2007]08) as stipulated by the Academic Degrees Committee of HIT.

International doctoral candidates can choose to use either Chinese or English to compose and defend their dissertations. If composed in English, a Chinese summary of at least 3000 Chinese characters is required, which should be attached to the dissertation entitled "Detailed Summary".

International master's candidates can choose to use either Chinese or English to compose and defend their thesis. If composed in English, a Chinese

summary of at least 3000 Chinese characters is required, which should be attached to the thesis entitled “Detailed Summary”.

## **2. Requirements for the thesis of international master’s candidates**

### **2.1 Main purpose and basic requirements of completing thesis**

The purpose of thesis work is to cultivate the independent thinking, innovative spirit, and research capability (or specialized work) of postgraduates, and ensure that their comprehensive qualities are enhanced in the process of systematic research and engineering practice training. The thesis proposal, interim inspection and oral defense of thesis are all essential in the process of postgraduate education, for which supervisors and the disciplines should arrange enough time. Master’s candidates should complete their thesis independently under the mentoring of their supervisors.

### **2.2 Determining the title of thesis**

The topic of thesis should take into consideration the research direction of the related discipline and research projects, encouraging the topics of theoretical significance and practical value in relation to national economy and social development. The contents and workload of the thesis should be considered in the light of the candidates’ knowledge structure, academic competence and duration of their program so as to ensure the completion of their theses. In general, the title of thesis should be determined by the end of the first semester.

### **2.3 Thesis proposal**

Thesis proposals of international master candidates should be completed in the first three weeks of the second academic year (Autumn Semester). Thesis proposal should cover the following aspects: source of the thesis topics, research purpose and significance; the development and analysis of current studies at home and abroad; main contents of research and the related planning; goals to be achieved; already completed work and time scheme, conditions and funds required, anticipated problems and solutions, and major references. For detailed requirements concerning thesis proposal, see *Requirements concerning Thesis Proposal of Master’s Candidates*.

### **2.4 Interim thesis inspection**

Interim thesis inspection of international master’s candidates should be completed in the first three weeks of the second academic year (Spring Semester). Interim thesis inspection involves the following aspects: whether the schedule of thesis proposal has been faithfully observed, work finished, anticipated problems and difficulties and the possibility of completing thesis on

time. For specific requirements concerning interim thesis inspection, see *Requirements concerning Interim Inspection of Master's Thesis*.

### 2.5 Composition of thesis

Graduate thesis is a comprehensive summary of master's candidates' academic research work which describes their research results and reflects their research level. Graduate thesis is the basic criteria for the conferring of master degree. For specific requirements concerning the composition of graduate thesis, see *HIT Basic Requirements concerning Thesis Writing of Postgraduates*.

### 2.6 Oral Defense

Oral defense of thesis usually takes place at the end of the fourth semester. For specific requirements concerning the oral defense of international students, see *HIT Detailed Regulations on the Application for Master Degrees*.

## **3. Requirements concerning doctoral dissertation of international candidates**

### 3.1 Doctoral dissertation proposal

Doctoral dissertation proposal should be completed at the end of the first semester in the second academic year, and no later than the end of the second academic year. Doctoral dissertation proposal is generally conducted in the form of oral defense, and the written proposal should be submitted. For detailed requirements concerning doctoral thesis proposal, see *HIT Requirements concerning Doctoral Dissertation Proposal*.

### 3.2 Interim dissertation inspection

Interim inspection of doctoral dissertation is implemented at HIT. In the middle of doctoral dissertation work, the related school will organize inspection panel (3-5 members) to examine the comprehensive capacity, the progress of the dissertation, and the work attitude, coupled with the energy put into the dissertation. For more information, see *HIT Requirements concerning Interim Inspection of Doctoral Dissertation*.

### 3.3 Publication of academic papers

The quantity and quality of academic papers published by international doctoral candidates is an important criterion for the conferring of doctoral degree. For more information concerning the publication of academic papers by doctoral candidates, see *HIT Requirements concerning Publication of Academic Papers of Doctoral Candidates*. According to disciplinary reality, the Sub-Committee of Academic Degree should formulate their own higher disciplinary requirements for the publication of research papers, and implement them accordingly, making

sure that the basic requirements of the university are met.

#### 3.4 Composition of dissertation

Doctoral dissertation is a comprehensive summary of doctoral candidates' scientific research work which describes their research results and reflects their research level. Doctoral dissertation is the basic criteria for the conferring of doctoral degrees. For specific requirements concerning the composition of doctoral dissertation, see *Norms of Doctoral Dissertation Writing*.

#### 3.5 Pre-defense and defense of dissertation

Pre-defense ensures the quality of doctoral dissertation. International doctoral candidates can apply for pre-defense after completing the first drafts of their doctoral dissertations and after their first drafts being read and approved by their supervisors. For specific requirements concerning pre-defense of doctoral dissertations, see the *Detailed Regulations on the Application for Doctoral Degrees*.

Oral defense of dissertation is a comprehensive assessment of international doctoral candidates' research work and the quality of their doctoral dissertations. It is an important procedure for their application for doctoral degree. For specific requirements concerning oral defense of doctoral dissertation, see the *Detailed Regulations on the Application for Doctoral Degrees*.

# 哈尔滨工业大学学术道德规范

(试行)

## 第一章 总则

**第一条** 为进一步弘扬我校“规格严格，功夫到家”的优良学风，规范全校师生员工的学术行为，端正学术风气，强化学术诚信意识，鼓励学术创新，健全学术评价机制，特制定《哈尔滨工业大学学术道德规范》。

**第二条** 本规范适用于哈尔滨工业大学全体师生员工，包括全体在编教学人员、研究人员、博士后、职员和在读博士生、硕士生、本科生等；也适用于以哈尔滨工业大学名义从事学术活动的访问学者和进修教师等。

## 第二章 基本学术道德规范

**第三条** 全校师生员工在从事科学研究的过程中，应严格遵守中华人民共和国《著作权法》和《专利法》、《国家自然科学基金条例》等国家有关法律、法规、社会公德及学术道德规范，要坚守严谨和诚信原则，应当遵守下述学术道德规范：

(一) 在学术活动中，充分尊重他人已经获得的研究成果；引用他人成果时注明出处；所引用的部分不能构成引用人作品的主要部分或者实质部分；从他人作品转引第三人成果时，注明转出处。

(二) 合作研究成果在发表前要经过所有署名人审阅，并签署确认书。所有署名人对研究成果负责，合作研究的主持人对研究成果整体负责。

(三) 在对自己或他人的作品进行介绍、评价时，应遵循客观、公正、准确的原则，在充分掌握国内外材料、数据基础上，做出全面分析、评价和论证。

**第四条** 全体师生员工不得有下述学术道德不端行为：

(一) 抄袭、剽窃、侵吞、篡改他人学术成果：在学术活动过程中抄袭、篡改他人作品等成果，剽窃、篡改他人的学术观点、学术思想或实验数据、调查结果；违反职业道德利用他人重要的学术认识、假设、学说或者研究计划等行为。

(二) 伪造、拼凑、篡改科学研究实验数据、结论、注释或文献资料：在自己的研究成果中，故意做出虚假的陈述，捏造、拼凑、篡改实验数据、结论或引用的资料、注释，改动原始文字记录和图片等行为。

(三) 伪造学术经历：为专业技术职务晋升、资历评定及申报科技项目等，在填写有关个人简历信息及学术情况时，不如实报告个人简历、学

术经历、学术成果，伪造专家鉴定、证书及其他学术能力证明材料等行为。

（四）一稿多投，重复或变相重复发表自己的科研成果等行为：将同一研究成果提交多个出版机构出版或提交多个出版物发表，将本质上相同的研究成果改头换面发表。

（五）未如实反映科研成果：虚报科研成果，或重复申报同级同类奖项，或随意提高成果的学术档次，在出版成果时不如实注明著、编著、编、译著、编译等行为。

（六）不当或滥用署名：未参加科学研究或者论著写作，而在别人发表的作品等成果中署名；未经被署名人同意而署其名等行为；在科研成果的署名位次上高于自己的实际贡献的行为；未经被署名人允许的随意代签、冒签；损害他人著作权，侵犯他人的署名权，将做出创造性贡献的人排除在作者名单之外。

（七）滥用学术信誉：在学术活动过程中夸大成果价值；未按照有关规定或学科管理惯例经过有关专家严格论证，或未经相关组织机构的学术论证，擅自通过新闻媒体发布、炒作研究成果，谋取个人或单位的不正当利益。

（八）其它违背学术界公认的学术道德规范的行为：包括授意（或指导教师默许其指导对象）、指使、协助他人进行有违学术道德规范的行为；在科研活动过程中违背社会道德，骗取经费、装备和其它支持条件等科研资源；故意干扰或妨碍他人的研究活动等行为。

### 第三章 处理机构及其职责

**第五条** 学校的学院（系）、相关职能部门在维护学术道德与诚信方面须履行下列职责：

（一）制定学术道德规范的相关政策，并向师生员工做广泛的宣传教育。

（二）把学术道德规范作为教师，尤其是新教师岗前培训的必修内容，并纳入本专科学生和研究生教育教学之中，把学风表现作为教师考评的重要内容，把学风建设绩效作为学校各级领导干部考核的重要方面，形成学术道德规范教育的长效机制。

（三）在人事录用、专业技术职务岗位聘任、研究生指导教师遴选、成果评审、项目立项、考核评估等工作中，充分发挥校、院（系）两级学术委员会的作用，须认真调查候选人遵守学术道德的情况。在一经发现有违背学术道德，以及损害学校权益和声誉的问题时，实行一票否决。

(四)对发现的有违反学术道德规范的情况,根据既定程序进行认真严肃的调查,并做出明确的结论,对确实存在违反学术道德行为的相关责任人,根据情节给予行政纪律处分或组织处理。

(五)及时向师生员工通报对违反学术道德行为处理的情况。

**第六条** 学校设立专门的学术道德委员会,是处理学术不端行为的最高学术调查评判机构。负责审议学校在学术道德方面的方针、政策和规范,分析和研究学校在学术道德方面存在的问题并提出意见和建议,调查、评议和仲裁校内知识产权纠纷、学术失范行为等学术道德相关的事项。

**第七条** 学术道德委员会由坚持原则、顾全大局、学风正派、公平客观、清正廉洁的资深专家组成。

**第八条** 由科学与工业技术研究院、人事处、研究生院、学科建设办公室、教务处、学生工作处、纪委监察处等相关职能部门的负责人组成工作组,协助校学术道德委员会调查审议,并具体执行学校做出的处理决定。

**第九条** 校学术道德委员会下设工作办公室,作为日常执行机构,负责受理举报等日常工作。具体挂靠在科学与工业技术研究院基础研究部。

#### **第四章 学术不端行为的举报和认定**

**第十条** 在教师聘任、专业技术职务岗位聘任、职务晋升、著作出版、论文发表、成果奖励等过程中,实行信息公开制度,增强公开性和透明度,广泛接受社会监督。

**第十一条** 针对学术不端行为,校内外任何个人和组织可直接向相关院(系)、职能部门举报。若相关院(系)、职能部门未处理或处理不当,可再向学校学术道德委员会举报。

(一)在接到举报或已发现存在学术道德问题后,校学术道德委员会在5个工作日内,对于有初步证据证明可能涉及学术不端的行为,正式委托被举报人

或当事人所属学科的专家或所在学院(系)的学术委员会委员(不少于3人)共同调查。当被调查对象涉及院(系)负责人或学术委员会委员时,校学术道德委员会可指定专门人员组成相对独立的工作调查组进行调查。

(二)参与调查的人员,包括校学术道德委员会委员或学科专家、学院(系)学术委员会委员,如涉及学术道德问题,或与当事人有亲属关系或特殊利益关系,应主动回避,退出调查。当事人有充分理由证明参与调查人员与自己有特殊利益关系,不宜参加调查,经学术道德委员会主任批

准，可以要求相关人士回避。

（三）对于正式列入调查的举报，应分别听取举报人和被举报人的陈述，并于 30 个工作日内完成事实认定，形成书面调查报告，提交校学术道德委员会。报告的结论以无记名投票方式表决。如有特殊情况，可向校学术道德委员会申请延长调查时间。

（四）校学术道德委员会将书面调查报告送达举报人和被举报人。在书面调查报告被送达后 5 个工作日内，举报人和被举报当事人可以书面形式提出对报告的不同意见。

（五）校学术道德委员会委员（不少于 5 人）在以上调查工作的基础上，开会审议，做出事实认定与处理意见，结论以无记名投票方式表决，三分之二通过有效。

（六）参与调查的所有人员在受理举报和调查过程中，一切程序和资料均在保密范围之内，不得泄露调查和处理情况；并须采取适当措施保护举报人、被举报人和证人。

## 第五章 处理与申诉

**第十二条** 校学术道德委员会对违反学术道德规范的个人可视其行为和情节，做出相应的处理建议。

（一）对于侵犯他人著作权、名誉权或专利权的人员，依照中华人民共和国《著作权法》、《民法通则》和《专利法》等有关法律中的条款，当事人依法承担相应的法律责任。

（二）对于违背职业道德，违反本规范的教师及相关科研人员，将依据学术不端行为的性质和情节轻重，追究相关责任，处理方式包括：全校范围内通报批评、给予警告或记过处分；暂缓申报高一级专业技术职务岗位及硕导、博导岗位；取消今后申报高一级专业技术职务岗位及硕导、博导岗位的资格；取消已有的专业技术职务岗位和硕导、博导岗位的聘任资格以及相应的工资福利待遇，按低一级的专业技术职务或学位享受其相应的工资、岗位津贴和其它福利待遇；撤消当事人行政职务；对其所从事的学术工作，可采取暂停、终止科研项目并追缴已拨付的项目经费，撤销其因违反学术道德行为而获得的有关学术奖励、学术荣誉及其它资格；给学校造成重大损失、情节严重者，给予当事人解聘、开除等行政处分。如当事人的行为侵犯其他个人或单位的权益，在给予上述处分的同时，责令其向有关个人或单位公开赔礼道歉，补偿损失。触犯国家法律的，移送司法机关处理。以上处理方式，可以单独做出，也可以并用。

(三) 对于违反本规范的在校学生，视情节轻重，追究相关责任，处理方式包括：全校范围内通报批评、警告、严重警告、记过、留校察看、开除学籍的纪律处分；撤销获得的有关奖励或其它资格；取消参加各类奖励评定的资格；取消申请获得相关学位的资格。如当事人的行为侵犯其他个人或单位的权益，在给予上述处分的同时，责令其向有关个人或单位公开赔礼道歉，补偿损失。对于在读期间违反本规范的已毕业学生，将依照问题的严重程度，给予相应的追加处分，直至撤销其所获学位，并通报其所在工作单位。以上处理方式，可以单独做出，也可以并用。

(四) 对违反本规范教职员工的处分期限，一般为 2-4 年。在处分期限内，无申请及获得相关学位资格，无晋升高一级专业技术职务岗位资格，无晋升工资资格，无申请科研项目和学术奖励资格。处分察看期满，经校学术道德委员会和有关职能部门审查，确认其在受处分期限内能够认识到其学术不端行为，并有改正错误的实际行动，且未发现有新的违规行为，可获得正常聘任资格，并恢复其申请获得相关学位、晋升高一级专业技术职务岗位的资格。在处分期限内如被再次发现学术不端行为，将依规从严处理。

(五) 校长办公会根据学术道德委员会提出的处理建议，正式决定处理意见；处分决定书应送达当事人和举报人。

**第十三条** 被举报人或当事人为教职员工，如对处分决定有异议，可在 15 个工作日内向上一级主管部门提出申诉；被举报人或当事人为学生，如对处分决定有异议，则按教育部《普通高等学校学生管理规定》第 61 条、62 条、63 条履行申诉程序。申诉期内不停止处分决定的执行。

**第十四条** 对恶意诬告者，经校学术道德委员会调查，参照第十二条做出相应处理或向有关机构提出处理建议。

**第十五条** 有关院系、各级管理部门及相关负责人有意掩盖事实真相、拖延不加处理，应受到相应组织处理和行政处分。

**第十六条** 查处结果在一定范围内公开，接受全校师生员工监督。

## 第六章 附则

**第十七条** 本规范由校学术道德委员会负责解释。

**第十八条** 本规范经中共哈尔滨工业大学委员会常委会讨论通过，自发布之日起生效。

# Academic Ethics in Harbin Institute of Technology

(Draft for Trial Implementation)

## Chapter 1 General Rules

**Art.1** These general rules concerning academic ethics in HIT have been made with a view to further promote our motto of “Being strict in qualifications for graduates; making every endeavor in educating students,” so as to regulate academic conduct, promote academic integrity, encourage academic innovation, and perfect the academic evaluation mechanism.

**Art.2** These general rules concerning academic ethics in HIT apply to faculty in teaching and research, post-doctoral candidates, staff, doctoral candidates, graduate candidates, undergraduates and visiting scholars.

## Chapter 2 Basic Academic Ethics

**Art.3** Faculty, staff and students in HIT who conduct scientific research should abide by the *Copyright Law*, the *Patent Law*, the *Regulations of the National Natural Science Funds* and other relevant laws, regulations, social and academic ethics of the People’s Republic of China as well as the following rules concerning academic ethics:

Item 1 Respect others’ research works; give credit when citing others’ ideas; others’ ideas cited cannot constitute the main or substantial part of the work; it must be clearly noted when ideas are quoted from secondary sources.

Item 2 Co-authored works must be reviewed by all contributing authors and confirmation letter must be signed by all. The lead author holds overall responsibility towards the research work although all authors are responsible for it.

Item 3 Introduction and review of research works of your own or others should be objective, fair and accurate. Comprehensive analysis, review and reasoning should be made on the basis of sufficient data and materials from home and abroad.

**Art.4** The following are regarded as academic misconduct:

Item 1 Copying, plagiarizing, embezzling or tampering others’ research works. Copying or tampering others’ research works, plagiarizing or tampering others’ academic viewpoints, ideas, experimental data or survey results, and taking advantage of others’ major academic viewpoints, hypothesis, theories or research proposals are all considered academic misconduct.

Item 2 Forging, making up or tampering experimental data, conclusions, notes or references. Intentionally making false statements, fabricating, making up, tampering experimental data, conclusions, materials cited, notes, or changing the original descriptions or graphs are all considered academic misconduct.

Item 3 Forging academic background. Making intentional false reports of personal information, academic background, research works, forging expert assessments, certificates or other materials for the purpose of professional advancement, certification or research fund application are considered academic misconduct.

Item 4 Repetitive publication. Submitting the same research work to more than one publishing organizations or journals, or publishing substantially similar research work more than one time is considered academic misconduct.

Item 5 False reports of research works. Reporting research works falsely, applying for awards of similar levels or types repetitively, or not noting clearly the types of research works being published, such as monograph, is considered academic misconduct.

Item 6 Inappropriate signature. Signing your name in research works that you have not participated in, signing others' names in research works without their consent, signing you name before authors that have made greater contributions to the research works, signing on behalf of others without their consent, violating others' copyright or authorship, or excluding those authors who have made creative contributions to the research works are all considered academic misconduct.

Item 7 Abusing academic reputation. Exaggerating the value and significance of research works, or releasing research works through news media to make individual or organizational gains without going through the necessary academic reviews and evaluations is considered academic misconduct.

Item 8 Other commonly acknowledged academic misconducts. These include encouraging, acquiescing, instigating, or assisting others in actions violating academic ethics. These also include violating social mores by defrauding others of funds, equipment or other research resources, or intentionally interfering with others' research.

### **Chapter 3 Duties**

**Art.5** Schools(Departments) and functional divisions should perform the following duties in promoting academic ethics and integrity.

Item 1 Formulate policies concerning academic ethics and promote

academic ethics among faculty, staff and students.

Item 2 Incorporate academic ethics in teachers' training program as well as the undergraduate and graduate programs. Make academic ethics an important criterion in teacher and leading-cadre assessment so as to form a long-term mechanism in academic ethics.

Item 3 Take candidates' academic ethics as an important criterion in recruiting and promoting faculty, screening master's and doctoral supervisors, reviewing research works and proposals and assessing faculty performance. This work is done by the academic committees of the university level as well as of the schools (departments) level that hold veto power once a candidate is found to have violated academic ethics and thereby damaged the reputation of the university.

Item 4 Make investigations into reported cases of the violation of academic ethics and handle verified cases by resorting to administrative disciplinary measures.

Item 5 Inform faculty, staff and students of how violation of academic ethics has been punished.

**Art.6** The Committee of Academic Ethics is set up by the university to handle academic misconduct, responsible for reviewing guidelines, policies and regulations concerning academic ethics, for analyzing and studying the existing problems in the university concerning academic ethics and proposing solutions, for investigating, assessing and arbitrating copyright infringement and academic misconduct within the university.

**Art.7** Members of the Committee of Academic Ethics consist of senior experts who are honest and objective, and who stick to principles, take the interests of the whole into account and have academic integrity.

**Art.8** A working group consisting of heads of functional divisions including the Institute of Science and Industrial Technology, Human Resources, Graduate School, Disciplines Office, Undergraduate Education Office, Student Affairs Office, and Discipline Inspection Office, is responsible for assisting the Committee of Academic Ethics of the university in investigating and reviewing reported cases of academic misconduct and in executing decisions made by the university with regard to how to punish behaviors violating academic ethics.

**Art.9** An office set up by the Committee of Academic Ethics of the university, affiliated to the Division of Fundamental Research of the Institute of Science and Industrial Technology, is responsible for handling complaints and

reports of academic misconduct.

#### **Chapter 4 Report of Academic Misconduct and Its Verification**

**Art.10** Openness and transparency is encouraged in recruiting and promoting faculty, publishing and awarding research works.

**Art.11** Cases of academic misconduct can be reported to relevant schools (departments) or functional divisions by individuals or organizations both inside and outside the university. They can be further reported to the Committee of Academic Ethics of the university if inappropriately handled by relevant schools (departments) or functional divisions.

Item 1 The Committee of Academic Ethics of the university should assign experts from the discipline or members (no less than 3) of the academic committee from the school (department) of the person concerned to assist in the investigation within 5 working days after receiving complaints or reports of academic misconduct. When the person concerned involves heads of schools (departments) or members of the academic committee, the Committee of Academic Ethics of the university should form an independent investigation team to investigate into the case.

Item 2 Members of the investigation team should withdraw from the investigation if they are the very people concerned in academic misconduct or are related to the people concerned in any way. The people concerned can require the withdrawal of certain member(s) of the investigation team with the approval of the chairman of the Committee of Academic Ethics if he has sufficient evidence to prove that these members may not be objective in the investigation process.

Item 3 Written reports must be completed and submitted to the Committee of Academic Ethics of the university within 30 working days after giving an opportunity for both the person reporting the case and the person being reported to be heard. The final decision is made by way of secret ballot. The investigation period can be prolonged with the approval of the Committee of Academic Ethics of the university should complexities arise.

Item 4 The Committee of Academic Ethics of the university will then send the written report to both the person reporting the case and the person being reported, who can then appeal by way of written communication within 5 working days.

Item 5 The Committee of Academic Ethics of the university (no less than 5 people) will review the case on the basis of investigation and the final decision

is made by way of secret ballot and is effective with two-thirds of the votes supporting it.

Item 6 Members of the investigation team are responsible to keep all procedures and materials confidential and measures should be taken to protect the person reporting the case, the person being reported as well as witnesses.

### **Chapter 5 Penalties and Appeals**

**Art.12** The Committee of Academic Ethics of the university can make decisions as to how to punish academic misconduct based on the degree of offense.

Item 1 Those who violate others' copyrights, reputation rights or patent rights will held legally responsible according to the Copyright Law, General Principles of the Civil Law and Patent Law of the People's Republic of China.

Item 2 Faculty and researchers who violate the rules of academic ethics in HIT will be punished based on the degree of offense, ranging from issued criticisms within the university, warning, recording a demerit, to deferred application for promotion, master's or doctoral supervisors, disqualification from future application for promotion, master's or doctoral supervisors, to demotion. Punishments can also take the form of suspending or terminating the ongoing research projects and recovering disbursed funds and of cancelling awards and honors obtained through academic misconduct. Those who have caused great damage to the university will be dismissed. Those who have violated the rights and interests of other individuals or organizations will be ordered to make open apologies and compensations apart from the punishments listed above. Those who have broken the law will be transferred to judicial authorities.

Item 3 Students who violate the rules of academic ethics in HIT will be punished based on the degree of offense, ranging from issued criticisms within the university, warning, serious warning, recording a demerit, probation and expulsion to cancelling awards obtained through academic misconduct, disqualification from application for any future awards, and disqualification from application for any degree. Those who have violated the rights and interests of other individuals or organizations will be ordered to make open apologies and compensations apart from the punishments listed above. Graduates who have violated the rules of academic ethics during their studies in HIT will be punished based on the degree of offense, the most serious being to revoke the degree awarded and informing the employer of the decision.

Item 4 The duration of punishment for faculty and staff who violate the

rules of academic ethics lasts 2 to 4 years, within which they are disqualified from application for degrees, promotions, research funds or awards. Only when the punishment is completed, are they qualified for application for degrees or promotions with the approval of the Committee of Academic Ethics and functional divisions of the university after making sure that they have been made fully aware of their offense and have been willing to avoid future offense. Otherwise, they will be given even more severe punishment.

Item 5 Formal decision of punishment will be made at the work meeting of presidents of the university based on the decision of punishment proposed by the Committee of Academic Ethics and will be sent to both the person reporting the case and the person being reported.

**Art.13** Faculty and staff who are reported of academic misconduct and are not satisfied with the decision of punishment can appeal to the supervision department. Students who are reported of academic misconduct and are not satisfied with the decision of punishment can go through the appeal procedures according to articles 61, 62 and 63 of the Regulations on the Administration of Students in Regular Higher Educational Institutions issued by the Ministry of Education.

**Art.14** Those that make false accusations will be punished according to Art. 12 after investigations done by the Committee of Academic Ethics of HIT.

**Art.15** Schools (departments) and administration offices that intentionally cover up the truth or delay investigation will be punished accordingly.

**Art.16** Results of investigation and punishment will be open to all faculty, staff and students within the university.

### **Chapter 6 Supplementary Provisions**

**Art.17** The Committee of Academic Ethics of HIT has the final right to interpret the above-stated rules concerning academic misconduct.

**Art.18** These rules have been discussed and approved by the Standing Committee of the Chinese Communist Party Committee of HIT and will become effective immediately upon issuing date.

# 哈尔滨工业大学学位论文作假行为处理办法

## 实施细则

**第一条** 为规范学位论文管理，建立良好学风，保障人才培养质量，杜绝学位论文作假行为，根据《中华人民共和国学位条例》、《中华人民共和国高等教育法》及教育部《学位论文作假行为处理办法》，制定本细则。

**第二条** 本细则适用于向我校申请博士、硕士、学士学位所提交的博士学位论文、硕士学位论文和本科生毕业论文（毕业设计），以下统称为“学位论文”。对于出现学位论文作假行为的，依照本细则的规定处理。

**第三条** 本细则所称学位论文作假行为包括以下情形：

- （一）伪造、购买、出售学位论文或者组织学位论文买卖的；
- （二）由他人代写、为他人代写学位论文或者组织学位论文代写的；
- （三）在学位论文中抄袭他人作品中的论点、观点、结论等而未列入参考文献，让读者以为观点是作者自己的；
- （四）在学位论文中窃取他人作品，采取稍改文字叙述、增删句子、拆分合并段落、替换应用或描述对象等，实质内容不变，主体内容与他人作品中对应的部分基本相似，且文中没有明确标注，让读者以为相关内容为作者所完成研究成果的；
- （五）在学位论文中窃取他人作品中的独创概念、定义、方法、原理、公式等据为己有的；
- （六）在学位论文中窃取他人研究成果中的调研、实验数据、图表，照搬或略加改动就用于自己的学位论文；
- （七）在学位论文中伪造试验样品，伪造研究成果中提供的材料、方法而实际没有进行试验的；
- （八）在学位论文中伪造或篡改试验数据，伪造虚假的观察与试验结果，故意取舍数据和篡改原始数据，以符合自己期望的研究结论；
- （九）有其他严重学位论文作假行为的。

**第四条** 学校学位委员会对学位论文作假行为进行认定和处理。校学位委员会办公室统筹负责全校学位论文作假行为认定工作的组织与管理。研究生院负责研究生学位论文作假行为认定工作的组织和管理，本科生院负责本科生学位论文作假行为认定工作的组织和管理，继续教育学院负责

成人教育和自学考试学生学位论文作假行为认定工作的组织和管理。各学位分委员会负责与本学科专业有关的学位论文作假行为认定的调查工作。

**第五条** 发现学位论文有作假嫌疑的，相关学位分委员会负责对其进行调查，并根据调查结果提出处理意见，上报校学位委员会办公室。学校学位委员会负责对学位论文作假行为进行最后认定，并形成书面认定结果和处理意见。在进行学位论文作假行为调查时，要充分发挥专家的作用，加强学位论文作假行为评判的权威性和科学性。

**第六条** 学校在受理学位论文作假行为举报和调查过程中，必须采取适当措施，保护举报人、证人和被举报人的合法权益。参与调查的人员不应与被举报人或举报人存在利益关系。在学校有关部门做出处分或组织处理决定前，一切程序和资料均需保密，所有涉及人员不得泄露调查和处理情况。

**第七条** 学位申请人员的学位论文出现购买、由他人代写、抄袭、剽窃或者伪造数据等严重作假行为的，取消其学位申请资格；已经获得学位者，依法撤销其学位，并注销学位证书。取消学位申请资格或者撤销学位的处理决定向社会公布，报教育部备案。从做出处理决定之日起至少 3 年内，学校不再接受其学位申请。存在上述作假行为的学位申请人员，属于在读学生的，学校给予开除学籍处分；属于在职人员的，学校将处理结果通报其所在单位。

**第八条** 为他人代写学位论文、出售学位论文或者组织学位论文买卖、代写的人员，属于在读学生的，学校给予开除学籍处分；属于我校教师和其他工作人员的，学校给予开除处分或者解除聘任合同。

**第九条** 指导教师未履行学术道德和学术规范教育、未履行论文指导和审查把关等职责，其指导的学位论文存在作假行为的，学校将视情节严重程度，采取减少其招生数量、暂停或取消其招生资格的方式进行处罚，同时给予警告、记过、记大过、降级、撤职、开除处分或解除聘任合同的行政处理。

**第十条** 学校将学位论文审查情况纳入对学院（系）的年度考核内容。对多次出现学生学位论文作假或者作假行为影响恶劣而没有采取相关措施的学院（系），学校将减少或者暂停其相应学科、专业的招生计划，对该学院（系）予以通报批评，并给予学院（系）责任人相应的纪律处分。

**第十一条** 学生的学位论文作假行为违反有关法律法规的，依照有关规定追究其法律责任。

**第十二条** 对学位申请人员、指导教师及其他有关人员做出处理决定前，应当听取当事人的陈述和申辩。处理决定作出后，应当告知当事人。当事人对处理决定不服的，可以依法提出申诉、申请行政复议或者提起行政诉讼。校学位委员会办公室为申诉、申请行政复议的受理机构。

**第十三条** 本细则由校学位委员会办公室负责解释。

**第十四条** 本细则自发布之日起施行。

## Detailed Rules and Regulations on Malpractice for Academic Degrees at HIT

**Article 1** To conform to the standard of academic thesis management, promote a good style of learning, guarantee the quality of higher education, and put an end to the malpractice for academic degrees, in accordance with the *《Regulations on Academic Degrees, People's Republic of China (PRC) 》*, the *《Higher Education Laws, PRC》*, and the *《Regulations on Malpractice for Academic Degrees, the Ministry of Education, PRC》*, the following detailed rules and regulations are formulated.

**Article 2** The detailed rules and regulations are applicable to all theses submitted to HIT for bachelor, master and doctoral degrees, including graduation design for bachelor degree. These theses hereafter are generally termed as “Academic Thesis”. Any thesis committing academic malpractice will be settled in the light of these detailed rules and regulations.

**Article 3** The academic malpractice in relation to the detailed rules and regulations involves the following behavior:

- 1) Forging, purchasing, selling academic thesis, or organizing the selling and buying of academic thesis;
- 2) Asking others to write academic thesis on his / her behalf, or writing academic thesis on his / her behalf, or organizing the above academic malpractice;
- 3) Committing plagiarism, copying ideas, arguments, and conclusions of others with no acknowledgement or reference, and using them as one’s own, misleading the reader;
- 4) Committing plagiarism in his or her academic thesis, or making a small change in narration, or adding / deleting sentences, separating / integrating paragraphs, substituting the agents, making no substantial change, leaving the main contents identical to others’ work with no acknowledgement or reference, misleading the reader to believe that the author completed the related research results;
- 5) Using the unique concepts, definitions, methods, principles, formula, etc. of others as one’s own;

6) Committing plagiarism in his or her academic thesis by using others' research results such as survey, experimental data, tables, or making a bit change and using them in his or her own thesis;

7) Fabricating experimental specimen in his or her academic thesis, forging materials and methods, and conducting no experimental study;

8) Fabricating or distorting experimental data, forging observation and experimental results, selecting data deliberately or distorting original experimental data in his or her academic thesis so as to achieve the desired results;

9) Other serious malpractice in academic theses.

**Article 4** HIT Academic Degree Committee assumes the responsibility of recognizing and resolving the malpractice for academic degrees. The office of HIT Academic Degree Committee is in full charge of the organization and management in relation to the malpractice for academic degrees throughout the whole university. HIT Graduate School is responsible for the organization and management concerning postgraduates' malpractice for academic degrees. The School of Undergraduates is responsible for the organization and management regarding undergraduates' malpractice for academic degrees. The School of Continued Education is responsible for the organization and management regarding the adults' and self-learning students' malpractice for academic degrees. The Sub-Academic Degree Committee assumes the duty to investigate and confirm the malpractice for academic degrees in a given discipline.

**Article 5** It is the responsibility of the Sub-Academic Degree Committee to investigate the suspected malpractice for academic degrees, ensure that on the basis of investigation appropriate measures are proposed for punishment, and report to the office of HIT Academic Degree Committee, who will finalize the recognition, and write a report about the result, coupled with the proposal for resolving the matter. In the course of investigating the suspected academic malpractice, the role of experts should be recognized so as to strengthen the authority and scientific reliability of assessing the suspected academic malpractice.

**Article 6** During the course of investigating and resolving the malpractice for academic degrees, appropriate measures must be taken to safeguard the legal rights of the prosecutor, the witness, and the accused. The staff in charge of the suspected academic malpractice must have no interest relations with the accused or the prosecutor. Before any official decision is announced, all procedures and

materials should be kept confidential. Any staff should not disclose the investigating and resolving information.

**Article 7** Given that a serious academic malpractice arises in the academic thesis of the candidate such as purchasing an academic thesis, asking others to write academic thesis on his / her behalf, copying, plagiarism or forging data, he or she will be disqualified from the application of academic degree; if he or she has obtained the academic degree, and the degree will be withdrawn, and the certificate cancelled. Such decision will be made public, and reported to the Ministry of Education, PRC for file. From the date of official resolution and at least three years, the university will not accept his or her application of academic degree. If a regular student commits the academic malpractice, the university will persecute the offender and cancel his or her student status; in the case of in-service staff, the university will inform his or her unit of the resolving result.

**Article 8** Given that an academic malpractice occurs in the form of asking others to write academic thesis on his / her behalf, purchasing an academic thesis, or organizing the above malpractice, the offender will be expelled from the university; In the case of a teacher or staff, he or she will be discharged from HIT, terminating the appointment contract.

**Article 9** Given that the supervisor / teacher fails to fulfill his / her academic ethical education, or fails to perform his / her supervision and guidance in academic thesis writing, the malpractice in the academic thesis will lead to the HIT administrative penalty of the supervisor / teacher according to the seriousness of the case. The disciplinary sanctions involve the reducing recruitment of new students; the suspending or cancelling his / her qualification of enrollment. At same time, other disciplinary sanctions will be exercised: warning, recording a demerit, recording a serious demerit, reducing to a low rank, dismissing from his / her post, discharging from public employment, or terminating the appointment contract.

**Article 10** HIT would integrate the examination of academic theses into the annual assessment of all schools (departments). HIT would apply disciplinary sanctions to the school / department with frequent malpractice in academic theses or with serious influence as it fails to take effective measures. The disciplinary sanctions are stated as follows: reducing the recruitment of new students, suspending the disciplinary enrollment plan, circulating a notice of criticism to the school / department, or taking appropriate disciplinary sanctions to the heads of the school / department.

**Article 11** Provided that the malpractice in the academic thesis proves to be against the related legal rules and regulations, the issue will be settled in accordance with pertinent laws.

**Article 12** Prior to applying any disciplinary sanctions to the candidate, the supervisor or other staff, the accused are allowed to explain and state his or her view. After making resolution, the accused should be informed. Provided that the accused refuses to accept the resolution, he or she has the right of appeal according to the related laws, applies for administrative reviews, or takes legal proceedings. The office of HIT Academic Degree Committee is the agency to handle the appeal and review.

**Article 13** The office of HIT Academic Degree Committee is authorized to interpret the detailed rules and regulations.

**Article 14** The detailed rules and regulations will be implemented since the date of announcement.

# 哈尔滨工业大学学生违纪处分暂行办法

(试行)

## 第一章 总则

**第一条** 为保证正常的教育教学秩序和生活秩序，建立良好的校风，培养德、智、体、美全面发展的合格人才，根据教育部《普通高等学校学生管理规定》，结合我校实际情况，制定本办法。

**第二条** 对有违法、违规、违纪行为的学生，学校应当给予批评教育或者纪律处分。学校对学生的处分，应当做到程序正当、证据充分、依据明确、定性准确、处分适当。

## 第二章 处分的种类和运用

**第三条** 纪律处分的种类分为：

1. 警告；
2. 严重警告；
3. 记过；
4. 留校察看；
5. 开除学籍。

**第四条** 受留校察看处分的学生，在察看期间（察看期为一年），表现良好者，可按期解除；有立功表现者，可提前解除察看；经教育不改或在察看期间又有违纪行为者，则给予开除学籍的处分。

**第五条** 有下列情形之一者，可以在原给予处分的基础上视情节减轻处分：

1. 违纪后，主动承认错误，并能及时采取补救措施者；
2. 有立功表现者。

**第六条** 有下列情形之一者，在原给予处分的基础上加重处分：

1. 违纪后，认错态度极差、拒不接受教育或屡教不改者；
2. 故意造成调查困难者；
3. 对检举人、证人或工作人员威胁恐吓，打击报复者；
4. 屡次违反学校规定受到纪律处分，经教育不改的，可以给予开除学籍处分。

### 第三章 违法、违纪、违规行为及处分

**第七条** 学生有下列违反宪法，反对四项基本原则、破坏安定团结、扰乱社会秩序行为的，视情节，给予严重警告、记过、留校察看处分；造成严重后果或经教育仍坚持不改者，给予开除学籍处分：

1. 公开发表违反宪法，反对四项基本原则的文章、演讲、宣言、声明的；

2. 煽动、策划、组织非法集会、游行、示威、罢课等行动或起骨干作用者；

3. 非法制作、复制、书写和组织张贴、散发标语、传单、大小字报等，破坏安定团结的；

4. 制造和故意散布谣言煽动群众，造成严重后果的；

5. 参加各种反动、邪教组织的。

**第八条** 学生有触犯国家法律，构成刑事犯罪，被依法追究刑事责任的，给予开除学籍处分。

**第九条** 学生有危害国家安全，危害公共安全，侵犯他人人身权利、民主权利，侵犯财产，妨害社会管理秩序，依照《中华人民共和国治安管理处罚条例》的规定，被依法给予治安处罚的，或应给予治安处罚的，给予记过或留校察看处分，情节严重的，给予开除学籍处分。

**第十条** 学生在校期间，以任何形式参与赌博或变相赌博者，按下列规定分别给予处分：

1. 提供赌博场所、赌资或赌具者，视情节轻重给予警告、严重警告或记过处分；

2. 观看赌博者应给予警告处分；

3. 组织赌博者给予记过或留校察看处分；一般参与者给予严重警告或记过处分；情节特别严重，影响恶劣者，给予开除学籍处分；

4. 多次参与赌博屡教不改者，给予开除学籍处分；

5. 因赌博引起打架、斗殴或造成其他不良后果者，参照本条例有关条款加重处分。

**第十一条** 对其他个人、组织进行侮辱、诽谤或滋扰者，视情节轻重，给予警告、严重警告、记过或留校察看处分；经教育仍坚持不改者给予开除学籍处分。

**第十二条** 收听、观看、阅读淫秽品者，视情节轻重给予严重警告、记

过、留校察看处分；制作、复制、出租或者传播淫秽品者，视情节给予记过、留校察看处分；性质恶劣，受到严重处罚的学生，给予开除学籍处分。

**第十三条** 有侵犯他人隐私及人身权力，未受公安、司法部门处罚者，视情节轻重给予严重警告、记过或留校察看处分；经教育仍坚持不改者给予开除学籍处分。

**第十四条** 进行色情陪侍活动未受公安、司法部门处罚者，视情节轻重给予记过、留校察看直至开除学籍处分。

**第十五条** 打架斗殴者，按下列规定处理：

1. 肇事者（不守秩序、不听劝阻、用语言挑逗、用各种方式触及他人者）：

（1）虽未动手打人，但造成打架后果者，视情节给予警告、严重警告、记过或留校察看处分；

（2）动手打人未伤及他人者，视情节给予记过或留校察看处分；

（3）致他人受伤害者，视情节给予记过、留校察看或开除学籍处分；

（4）聚众斗殴为首者、组织者，视情节轻重，给予留校察看或开除学籍处分。

2. 打架者：

（1）动手打人未伤及他人者，给予警告或严重警告处分；

（2）致他人伤害者，视情节给予记过、留校察看或开除学籍处分。

3. 参与者：

对以“劝架”为名，偏袒一方，促使殴打事态发展并产生后果者，给予严重警告或记过处分。

4. 伪证者：

（1）虽未参与打架但故意为他人作伪证，并使调查造成困难者，给予严重警告或记过处分；

（2）参与打架者犯此款，加重一级处分。

5. 为他人打架提供器械者：

（1）未造成严重后果者，给予警告、严重警告、记过或留校察看处分；

（2）造成严重后果者，给予留校察看或开除学籍处分。

6. 在打架过程中，持械打人者，加重一级处分。

**第十六条** 学生有下列违反消防安全管理行为的，给予警告、严重警告、记过或留校察看处分，情节严重、屡教不改的，给予开除学籍处分：

1. 违章用电用火，造成安全隐患的；
2. 违章用电或其他违章行为造成火警、火灾事故的；
3. 因过失引起火灾的；
4. 故意损毁、擅自挪用消防设施的。

**第十七条** 在异性寝室留宿者，将异性留宿寝室者，视情节给予警告、严重警告、记过或留校察看处分；情节严重者，给予开除学籍处分。

**第十八条** 学生拒绝、阻碍学校管理人员依法或依校规执行公务者；以各种理由，对教师或学校工作人员寻衅滋事者；隐匿、毁弃或私拆他人邮件等扰乱学校正常教学、生活秩序者，视情节给予警告以上处分。

**第十九条** 利用计算机及网络等手段故意制作、复制、传播有害信息，盗取他人帐号、密码和信息资料进行违法、违纪活动，危害网络系统安全运行者和危害信息安全者，视其情节轻重，给予警告及以上处分；造成严重后果者，给予开除学籍处分。

**第二十条** 违反保密规定，泄露国家秘密未受公安、司法机关处罚者，视情节给予严重警告、记过或留校察看处分；造成严重后果或恶劣影响者，给予开除学籍处分。

**第二十一条** 学生有吸食、种植、贩卖毒品行为的，视情节给予警告以上处分。

**第二十二条** 伪造证明、涂改或伪造证件等弄虚作假行为者，视情节给予严重警告、记过、留校察看或开除学籍处分。

**第二十三条** 学生有其它扰乱公共秩序，危害公共安全，侵犯人身权利、财产权利，妨害社会管理等行为，尚不够给予治安处罚的，给予警告、严重警告、记过或留校察看，直至开除学籍处分。

**第二十四条** 违反学校住宿及宿舍管理相关规定，对他人正常学习、生活造成严重影响，经批评教育不改者，视情节轻重，给予警告、严重警告、记过处分。

**第二十五条** 弄虚作假者，剽窃、抄袭他人研究成果者，给予警告、严重警告、记过或留校察看处分；造成恶劣影响者，给予开除学籍处分。

**第二十六条** 违反学校其它管理规定（如图书馆、教室、校园管理、门卫等规定）者，可参照本条例中相类似条款，视情节轻重及影响程度给予相应处分。

**第二十七条** 学生无故旷课、考试违纪的认定与处理按照《哈尔滨工业

《大学本科生学籍管理办法》、《哈尔滨工业大学研究生学籍管理实施细则》、《哈尔滨工业大学关于本科生考试纪律及考试违纪处分的规定》和《关于研究生考场纪律及考试违纪处分的规定》的有关规定执行。

**第二十八条** 违反校园公共秩序或高等学校学生行为准则造成严重影响的，以及本条例没有列举的违法、违规、违纪行为应给予处分的，可参照本条例中相类似条款给予处分。

**第二十九条** 凡是受到学校纪律处分的学生，当年不得享受奖学金及各种荣誉称号，不得申请各类困难资助并停止发放国家助学贷款。

#### 第四章 处分权限及期限

**第三十条** 对学生违法、违规、违纪事件的调查处理并做出纪律处分的部门如下：

1. 给予学生警告、严重警告、记过、留校察看、开除学籍处分，需由院（系）详细调查，形成处分材料，经院（系）党政联席会讨论提出处分建议，根据学生违纪情况，报学生工作处、研究生工作部、教务处等相关部门审核。经审核无异议的，警告、严重警告、记过、留校察看处分报主管校长批准，开除学籍处分报主管校长，由校长会议研究决定。处分决定由学校统一下发文件。

2. 留学生违规、违纪事件由学生工作处会同有关部门处理；

3. 因考试作弊、旷课的违纪处理，分别由教务处、研究生院负责，其它违纪处理由学生工作处、研究生工作部负责。

**第三十一条** 学校要及时对学生违规、违纪事件调查并做出处理。

1. 发现学生违规、违纪事件后，要在 5 个工作日内调查清楚；因特殊情况不能及时查清的事件，有关单位要及时向相关职能部门提交书面报告；

2. 学生违规、违纪事实调查清楚后，3 个工作日内处理完毕或者由学生所在院系向学校报送处理意见；需要由学生工作处或研究生工作部会同保卫处等部门牵头处理的较严重的纪律处分事件在 7 个工作日内处理完毕；

3. 对受到公安、司法部门处罚的学生，在公安、司法部门处罚书送达 3 个工作日内做出相应处理；

4. 有特殊情况不能按时处理的要报学校说明情况。

**第三十二条** 凡被给予开除学籍处分的学生，由学校发给学习证明，并在最终处分决定后 10 个工作日内办完离校手续。对超出规定时间不办理离校手续者，由学校办理离校手续，将其户口、档案退回其家庭户籍所在地。

## 第五章 处分程序

**第三十三条** 在对违纪学生做出处分决定前，应当听取学生或其代理人的陈述和申辩。

**第三十四条** 学校对学生做出处分决定后，应向违纪学生直接送达处分决定书并要求学生填写送达回证。违纪学生拒绝填写回证时，应邀请有关人员两名到场作为见证人，说明情况，在送达回证上记明拒收事由和日期，由送达人、见证人签名或者盖章，把处分通知书留在学生的住所，即视为送达；直接送达有困难的，应以在学校专门橱窗中发布公告的形式送达处分通知书，自公布之日起经 10 个工作日即为公告期满，视为送达。

**第三十五条** 学生对处分有异议的，在接到学校、院（系）处分决定书之日起 5 个工作日内，可以向学校、院（系）申述委员会提出书面申诉；学生申诉处理委员会对学生提出的申诉进行复查，并在接到书面之日起 15 个工作日内，做出复查结论并告知申诉人。需要改变原处分决定的，由学生申诉处理委员会提交学校、院（系）重新研究决定。学生对最终复查决定有异议的，可在接到学校复查决定书之日起 15 个工作日内向黑龙江省教育行政部门提出书面申诉。

**第三十六条** 处分决定均由各院（系）负责装入本人档案。记过及以下处分由院（系）公布，留校察看及以上处分，由学生工作处、研究生工作部、教务处、研究生院负责公布。

**第三十七条** 受留校察看处分的学生符合解除条件的，由学生本人提出申请，按处分呈报程序办理。

## 第六章 处分材料

**第三十八条** 违纪学生的处分材料包括：违纪学生的交待及检查材料、主要旁证材料、公安部门或校保卫部门书面材料、处分决定书、学生处分登记表、处分送达回证和学生申诉复查结论。

**第三十九条** 处分决定书内容包括：

1. 被处分学生的姓名、性别、年龄、专业、学号、班级等基本情况；
2. 处分类别；
3. 处分事实；
4. 处分理由；
5. 处分依据；

6. 被处分学生提出申诉的权利和期限。

**第四十条** 学生处分决定书、学生处分登记表、学生申诉复查结论，应分别存入学校文书和学生本人档案。其他处分相关材料归入学校文书管理。对学生开除学籍的处分决定书，须同时报黑龙江省教育委员会备案。

## 第七章 附则

**第四十一条** 有关申诉的规定依据《哈尔滨工业大学学生申诉处理办法》办理。

**第四十二条** 本《办法》自2010年8月30日起施行。原《哈尔滨工业大学学生违纪处分暂行办法》同时废止。

# **HIT Provisional Regulations on Students'**

## **Breach of Discipline**

(Trial Procedures)

### **Chapter 1 General Rules**

**Art.1** These Provisional Regulations have been made in accordance with the *Regulations on the Administration of Students in Regular Institutions of Higher Education Institutions* issued by the Ministry of Education, with a view to ensure a good teaching and living environment.

**Art.2** Students who violate laws, regulations and disciplinary rules will be given punishment that is just and appropriate.

### **Chapter 2 Types of Punishment**

**Art.3** Punishment can take the following forms: warning, serious warning, recording a demerit, probation and expulsion.

**Art.4** Students on probation (lasting one year) can be exempt from probation if they behave themselves well during the year, can be exempted from probation prior to the set time if they render meritorious services, and will be expelled if they fail to behave themselves well or even violate disciplinary rules again during their time on probation.

**Art.5** Punishment can be mitigated if offenders admit their mistake, are able to make up for their mistake or perform major meritorious services,

**Art.6** Punishment will be aggravated if offenders do not admit their mistake, obstruct investigation, or retaliate against the people reporting them, witnesses or investigators. Those who repeatedly violate school rules will be expelled.

### **Chapter 3 Violation of Laws, Regulations and Disciplinary Rules and Punishment**

**Art.7** Students who violated the following rules will be given punishment ranging from warning, recording a demerit, probation, or even expulsion: openly publishing articles, speeches, announcements and statements that violate Constitution of the People's Republic of China and Four Fundamental Principles; inciting, planning, organizing illegal assembly, parade, demonstration and students' strike or play an important role in the above activities; making, duplicating, writing, posting or distributing slogans, flyers and posters illegally and disturb stability and unity; creating and spreading rumors; or participating in any cult activities.

**Art.8** Students who are involved in criminal offense and are made to take criminal responsibility will be expelled.

**Art.9** Students who are considered threats to national or public security, who violate others' personal and democratic rights, misappropriate others' property, disrupt social order, and are punished according to the Security Administration Punishment Act of the People's Republic of China, will be given punishment ranging from recording a demerit, probation to expulsion.

**Art.10** Students who participate in any form of gambling or gambling in disguised form will be punished according to the following rules. Those who provide venue, money and equipment for gambling will be given punishment ranging from warning, serious warning to recording a demerit. Those who watch other people gamble will be given warning. Those who organize gambling will be given punishment ranging from recording a demerit to probation. Those who participate in gambling will be given punishment ranging from serious warning to recording a demerit to expulsion. Those who repeatedly participate in gambling will be expelled. Punishment for those who get involved in fighting because of gambling will be aggravated.

**Art.11** Students who insult, defame or trouble other individuals or organizations will be given punishment ranging from warning, serious warning, recording a demerit, probation, to expulsion.

**Art.12** Students who listen to, watch or read pornographic products will be given punishment ranging from serious warning, recording a demerit to probation. Those who make, duplicate, rent or spread pornographic products will be given punishment ranging from recording a demerit, probation to expulsion.

**Art.13** Students who violate others' privacy and personal rights but not be punished by public security or judicial department will be given punishment ranging from serious warning and recording a demerit, to probation. Those who persist in offend behaviors after education and criticism will be expelled.

**Art.14** Students who get involved in pornographic activities but do not punished by public security or judicial department will be given punishment ranging from recording a demerit to probation to expulsion.

**Art.15** Students who get involved in fighting will be punished according to the following:

**Wreckers** (disobey the order, offend others)

Those who do not get involved in fighting but instigate a fight will be given punishment ranging from warning, serious warning, recording a demerit to probation. Those get involved in fighting without causing others injury will be given punishment ranging from recording a demerit to probation. Those cause

others injury will be given punishment ranging from recording a demerit, probation to expulsion. Those who organize or are the leader in an affray will be given punishment ranging from probation to expulsion.

**Those who fight**

Those who fight but do not cause others injury will be given warning or serious warning. Those who fight and cause others injury will be given punishment ranging from recording a demerit, probation to expulsion.

**Participants**

Those who mediate between the two parties of quarrelers and are biased and aggravate the situation will be given serious warning or recorded a demerit.

**Those who commit perjury**

Those who do not fight but commit perjury and cause difficulties in investigation will be given serious warning or recorded a demerit. Punishment for those who fight and commit perjury will be aggravated.

**Those who provide tools for fight**

Without causing serious consequences, they will be given punishment ranging from warning, serious warning, recording a demerit to probation. In the case of causing serious consequences, they will be given punishment ranging from probation to expulsion.

Punishment for those who fight with the aid of tools will be aggravated.

**Art.16** Students who violate fire security rules will be given punishment ranging from warning, serious warning, recording a demerit to probation to expulsion. These violations can take the form of using electricity or fire against regulations and causing potential safety hazard; using electricity against regulations and causing fire; causing fire due to negligence; intentionally damaging and removing fire-extinguishing equipment.

**Art.17** Those who sleep in the dormitory of an isomerism or allow an isomerism in their dormitory will be given punishment ranging from warning, serious warning, recording a demerit, probation to expulsion.

**Art.18** Those who refuse obstruct official business, create a disturbance, hide, destroy or open others' mail will be given punishment beyond warning.

**Art.19** Those who make, duplicate and spread harmful information, steal others' account and password, and pose threat to network system security and information security will be given punishment ranging from warning to expulsion.

**Art.20** Those who violate confidentiality regulations and disclosure of state secrets without being penalized by public security or judicial authorities will be given punishment ranging from serious warning, recording a demerit to

probation to expulsion.

**Art.21** Those who abuse, plant or sell drugs will be given punishment beyond warning.

**Art.22** Those who forge certificates or identification cards will be given punishment ranging from serious warning, recording a demerit to probation to expulsion.

**Art.23** Those who disrupt public order, threaten public security, violate others' personal and property rights will be given punishment ranging from warning, serious warning, recording a demerit, to probation to expulsion.

**Art.24** Those who violate regulations concerning student residence hall management will be given punishment ranging from warning, to serious warning to recording a demerit.

**Art.25** Those who commit fraud or plagiarize others' research works will be given punishment ranging from warning, serious warning, recording a demerit to probation to expulsion.

**Art.26** Those who violate other rules (such as library rules, classroom rules and campus rules) will be punished accordingly.

**Art.27** Those who are absent without good cause or violate exam rules will be punished according to the Administrative Measures for Undergraduate Student Records, the Administrative Measures for Graduate Student Records, Undergraduate Exam Rules and Graduate Exam Rules in Harbin Institute of Technology.

**Art.28** Those who disrupt campus order will be punished accordingly.

**Art.29** Those who are given disciplinary punishment within the university are not eligible for any kind of scholarship, award, honor or student loan.

#### **Chapter 4 Limits of Authority and Terms**

**Art.30** Students' violation of laws, regulations and disciplinary rules is handled by the following departments.

A joint meeting of party and administrative offices of schools (departments) is responsible for proposing suggestions for punishment ranging from warning, serious warning, recording a demerit, probation to expulsion after careful investigation. The proposed suggestions for punishment are then sent to Student Affairs Office, Graduate Education Office and Undergraduate Education Office for review which will then be sent to the vice-president in charge for approval. If the punishment involves expulsion, the decision must be made at the work meeting of presidents of the university after being sent to the vice-president in charge for approval. Final decisions of punishment are issued by the university.

Violation of regulations and disciplinary rules by international students is handled by Student Affairs Office in collaboration with other relevant functional divisions. Violation concerning absence from classes or cheating in exams is handled by Undergraduate Education Office and Graduate School. Other kinds of violation of disciplinary rules are handled by Student Affairs Office and Graduate Education Office.

**Art.31** Violation of regulations and disciplinary rules must be handled timely.

Investigation must be completed within 5 working days after the report of students' violation of regulations and disciplinary rules. Otherwise, a written report of delay should be submitted to relevant functional divisions. Punishment should be given within 3 working days after the completion of investigation. Punishment could be given within 7 working days if the case needs to be handled by the joint efforts of Student Affairs Office, Graduate Education Office and Security Department. In cases where students have been penalized by public security or judicial authorities, punishment should be given within 3 working days after the arrival of the decision of punishment by public security or judicial authorities. Under special circumstances that they cannot handle the case timely, they should report to the university.

**Art.32** Students who are expelled should complete leaving institution procedures within 10 working days of the issuing of final decision of punishment. Otherwise, the university will do it by returning their permanent residence permit and student archives to their where their family permanent residence permits are.

### **Chapter 5 Procedures of Punishment**

**Art.33** Students are allowed to defend themselves before decisions of punishment are made.

**Art.34** Decisions of punishment should be delivered directly to the student defendant who must fill out the acknowledgment of receipt form. In case where the defendant refuses to fill out the acknowledgment of receipt form, two witnesses must be present and reasons and date for refusal should be filled in the acknowledgment of receipt form which should also bear the signature of both the process server and the witnesses. Decisions of punishment should then be left at the student residence and should be deemed to have been served. If direct delivery fails, decisions of punishment should be announced publicly on campus and 10 days after the public announcement, the documents shall be deemed to have been served.

**Art.35** Student defendants not satisfied with the decisions of punishment can send a written plea to the Appeal Board of the university or school (department) within 5 working days after the documents have been served. The Appeal Board should review the written plea and let the student defendant know the results within 15 working days. The Appeal board should submit the results to the university or school (department) in case where changes must be made to the original decisions of punishment. In case where the student defendant is not satisfied with the final decision can send a written plea to the Heilongjiang Provincial Education Administrative Offices within 15 working days.

**Art.36** Decisions of punishment should be placed in the student record file. Punishment involving warning, serious warning or recording a demerit shall be announced by the school (department) and punishment involving probation or expulsion shall be announced by the Student Affairs Office, Graduate Education Office, Undergraduate Education Office and the Graduate School.

**Art.37** Students on probation who are eligible for exemption can apply for termination of punishment according to relevant procedures.

#### **Chapter 6 Punishment Documents**

**Art.38** Punishment Documents include the student defendant's admission of facts, collateral evidence, paperwork provided by the Public Security Department or the Security Department of the university, decision of punishment, record of student punishment, acknowledgment of receipt form and results of student appeal.

**Art.39** Decision of punishment should include the student defendant's name, gender, age, major, student number, types and facts of punishment, evidence and reasons for punishment, as well as the right for appeal and period of appeal.

**Art.40** Decision of punishment, record of student punishment, results of student appeal should be filed both in the school document and the student record file. If punishment involves expulsion, the decision of punishment should be also sent to the Heilongjiang Provincial Education Council for documentation.

#### **Chapter 7 Supplementary Provisions**

**Art.41** Student appeals should be handled according to the Provisions for Student Appeal in Harbin Institute of Technology.

**Art.42** These provisional regulations have come into effect since August 30, 2010 from which time the previous provisional regulations had been put to an end.

培 养

**Cultivate**



# 研究生课程考核及成绩记载管理办法

为保证研究生的培养质量，加强学习成绩的考核及成绩记载管理工作，特作如下规定：

## 一、课程考核

研究生学习成绩的考核方式分为考试和考查两种。学位课程必须进行考试，成绩按百分制评定。考试方法可采用笔试或口试，笔试必须有正规试卷，口试要有详细记录。考试成绩应按标准评定，成绩等级分布要合理，原则上考试课程 90 分以上的百分比不高于 25%，中等、及格与不及格的百分比合计应不低于 25%。

选修课、专题课及实践环节一般进行考查，成绩可以按百分制评定，也可以按二级分制评定，按二级分制评定时，记为“合格”或“不合格”。考查方法可采用笔试、口试、撰写读书报告、研究报告等形式。

未经批准，研究生不按时参加教学计划规定的教学活动，缺课 1/4 及以上者，不能参加相关课程的考核，成绩按“0”分记载。

## 二、免修

研究生已修过某门课程并经过考核或通过其它途径掌握了该门课程的系统知识，可在提出免修申请并经审批同意后，不参加该课程听课，直接参加课程考试（考核），成绩合格可获得学分。申请及审批程序为：研究生填写《哈尔滨工业大学研究生直接参加课程考核申请表》，指导教师和任课教师签字同意，研究生院批准。

## 三、缓考

研究生因病或其它特殊原因不能参加课程考核，需在考核前提交《哈尔滨工业大学研究生课程缓考申请表》及有关证明，并经院（系）主管领导同意及研究生院培养处批准。被批准缓考的同学，应参加下一次该门课程的考核，成绩正常记载。

## 四、重修与改修

研究生课程考核成绩不合格，允许其重修。重修的留学生应参加下一次该门课程的学习和考核，考核成绩正常记载。特殊情况下，选修课考核不合格可在导师指导下改修，但只能改修一次。经重修或改修后仍有两次课程考核不合格者，将被取消学籍。

## 五、考试纪律

未经批准不参加研究生课程考核者，按旷考处理，成绩按“0”分记载。

研究生必须自觉遵守“哈尔滨工业大学研究生考场规则”，若有违纪或作弊行为，按照“哈尔滨工业大学关于研究生考场纪律及考试违纪处分的规定”进行处理。

## 六、成绩登记办法

任课教师按研究生教育综合管理系统内选课学生名单进行课程考核工作，未进行网上选课人员不予以考核。任课教师一般应在考试结束后的一周内完成评分工作并提交成绩单（特殊情况下不超过两周）。公共课成绩单一式二份，一份交研究生院培养处，一份交开课院（系）留存；专业学位课和专业选修课成绩单一式一份，交开课院（系）留存，研究生可以通过研究生教育综合信息管理系统查询成绩。

## 七、入学前选修研究生课程的成绩记载

研究生在入学前两年内，经研究生院批准学习过我校研究生课程并通过考核，其成绩可以计入研究生阶段成绩，并获得相应学分。但需本人提出申请，经导师同意，院（系）批准。

## **Administrative Measures for the Assessment and Grade Record for Postgraduates**

The following regulations have been made to ensure the quality of education of postgraduates, strengthen the administration of the assessment and grade record of postgraduates.

### **I. Course assessment**

Assessment of postgraduates' grades involves exams and checks. For degree courses, students must take exams, and their grades will be marked in terms of hundred-score system. Exams involve written or oral exams. Written exams must have formal tests, and oral tests must be kept detailed records. Students' grades must be marked according to a given standard, and distribution of grades should be reasonable. In principle, scores of 90 or above should not be more than 25%, *good*, *pass* or *failure* should be no less than 25%.

For optional courses, special topic courses and practice part, students' grades may be marked according to hundred-score system or adopt a binary system: *pass* or *failure*. The assessment of optional courses takes one or more of the following forms: written exam, oral exam, book report, research report, etc.

For postgraduates who miss one fourth (1/4) of classes, their academic performance in that course will not be assessed. Their scores will be recorded as "0".

### **II. Exemption from learning**

Given that postgraduates have already taken a course or passed the exam related, mastering the systematic knowledge of the course, they may apply for exemption from attending the course. They may directly take the examination or check, and gain scores after passing the exam. The procedures for application and approval are stated as follows: Fill out the form *HIT Postgraduates Application Form for Directly Taking Exams*, and the form must be signed by your supervisor and the teacher in charge of the course, with the approval of the Graduate School of HIT.

### **III. Delayed examination**

Postgraduates who cannot take the exams for certain reasons must fill out and submit *HIT Application Form of Delayed Examination for Graduate Students* to the dean of related schools (departments) and the Graduate School for approval. Those being approved for a delayed examination should take the next exam for this course and their grades will be recorded accordingly.

#### **IV. Course Retake and Change**

Postgraduates who fail in a course are allowed to retake the course and the next exam for this course. Under special circumstances, postgraduates who fail an optional course can choose another optional course under the guidance of their supervisors. Their academic registration will be cancelled if they still fail in 2 courses after retaking exam or change of the course.

#### **V. Examination discipline**

Postgraduates who fail to take the exam for a certain course without being approved will be considered absent from the exam and their grade will be recorded as “0”. Students who violate discipline or have any copying or cheating behavior will be punished according to *HIT Regulations on Examination Rules and Violation of Discipline for Postgraduates*.

#### **VI. Grade record**

Teachers in charge of the course should mark the test papers of those students who chose the course, and they are listed in the *HIT Graduate Education Integrated Management System*. For those who are not found in the list, no marking will be undertaken. Teachers in charge of the course should complete the marking work and submit the score sheets within a week after the exam (Under special circumstances, no more than 2 weeks). For public courses, two copies of score sheets are required: one is for the Training Office of HIT Graduate School, and the other is for the School (Department) offering the course to archive. One copy of score sheet is required for specialty course or optional specialty course, and it is kept in the School (Department) offering the course. Postgraduates may check their scores through the *HIT Graduate Education Integrated Management System*.

#### **VII. Scores record prior to postgraduate education**

Within two years before their formal postgraduate education, postgraduates were allowed to attend the courses for postgraduates with the approval of HIT Graduate School. Given that they have passed the exams related, their scores are taken as valid, and they gain their scores accordingly. The condition is that they need to submit an application, with the approval of the supervisor and the School (Department).

# 留学研究生英语一外课程免修办法

为使英语水平本身比较优秀的学生，节省时间学习更多知识，学校决定继续实行留学研究生第一外国语(英语)申请免修的规定，并在原有实施办法的基础上，对英语免修条件及办法做了进一步细化，对留学研究生新生，凡符合以下条件之一者，可申请免修研究生第一外国语(英语)课程，并直接获得相应的学分和成绩。具体申请条件和办法如下：

## 一、留学研究生申请免修条件

- (1) 来自官方语言为英语国家的留学生。
- (2) TOEFL 成绩 80 分及以上(IBT) (2 年内有效)。
- (3) IELTS 成绩 6.5 分及以上 (2 年内有效)。
- (4) GRE 成绩 1800 分及以上(旧)、1200 分及以上(现行)或 255(新) (5 年内有效)。
- (5) GMAT 成绩 650 分及以上 (5 年内有效)。
- (6) 本科或硕士阶段获英语专业学位或毕业证书。
- (7) 在相应的外语国家或地区获得过学位。

## 二、申请办法

申请免修的硕士和博士留学研究生于秋季学期第 6-7 周内，到研究生院网上：“硕士（博士）研究生-留学生培养-常见下载”中下载并填写“哈尔滨工业大学留学研究生第一外国语（英语）免修申请表”，带齐相关证明材料的原件和复印件到研究生院培养办（行政楼 322 办公室）办理免修审核手续，逾期不予办理。

## **Regulations on the Exemption from the First Foreign Language Examination for International Students**

To save more time for learning knowledge of those international students whose English proficiency is comparatively excellent, HIT continues to observe the policy of applying for exemption from English learning. Based on the original documents, the conditions for exemption are elaborated. For the freshman who meets one of the following conditions, s/he can apply for exemption from English examination, and they directly gain their credits and “exemption” as their scores. The application conditions and administrative measures are stated as follows.

### **I. Exemption Conditions for International Students**

- (1) International students come from English speaking countries or their official language is English.
- (2) TOEFL score is 80 and above (IBT), valid within 2 years.
- (3) IELTS score is 6.5 and above, valid within 2 years.
- (4) GRE score is 1800 and above (past), 1200 and above (present), or 255 (New), valid within 5 years.
- (5) GMAT score is 650 and above, valid within 5 years.
- (6) English major certificate or diploma, Bachelor or Master Degree.
- (7) Academic degrees are obtained from a given foreign country or region.

### **II. Application Code**

International students, doctoral candidates or master candidates, who intend to apply for exemption from English learning, can download and fill out the *Application Form for Exemption from English Learning* at the website of HIT Graduate School within the sixth to seventh weeks of the autumn semester. They need to bring the original documents and related copies to the Training Office of HIT Graduate School (Room 322, HIT Administration Building) for inspection. After the deadline for exemption, no service is available.

# 哈尔滨工业大学关于研究生考场纪律及 考试违纪处分的规定

**第一条** 研究生课程考核是教学过程中的主要环节和保证教学质量的重要措施。为了加强研究生教学管理，健全研究生课程考核制度，树立良好的教风、学风，提高教学质量，严肃考纪、端正考风，特制订本规定。

## **第二条** 考场纪律

(一) 未经批准擅自不参加考试或因迟到未准进入考场者，按旷考处理。

(二) 应试时必须携带学生卡。如学生卡丢失且未能及时补办，需同时携带研究生证和本人身份证应试，否则不准参加考试。

(三) 学生必须提前进入考场。考试开始15分钟后，不准再进入考场，逾时以旷考论处。考试开始30分钟后方准交卷离开考场。

(四) 学生进入考场后必须服从监考教师调动，按指定位置就座，并将证件放于桌上，以备检查。

(五) 学生必须本人参加考试，严禁找他人代考或替他人考试。

(六) 带入考场的用品（包括已关闭的手机、电子记事本等）必须集中放在远离考生的地方。不得以任何形式将书籍、记载课程内容的纸张及与考试有关的电子媒体信息随身携带或带入座位（开卷考试和主讲教师特殊要求除外）。如发现桌面上有他人书写的与考试科目有关的字迹或发现桌内有与考试科目有关的物品，必须向监考教师报告，否则，一经发现将按作弊论处。

(七) 答卷时不得自行借用文具和计算器，有特殊情况者需经监考教师同意才可借用。

(八) 考试中不得以任何方式为他人提供或获取他人的答题信息。

(九) 考试期间不得在考场内喧哗，不得干扰监考教师工作，不得擅自离开考场，有特殊情况应向监考教师说明，听从处理。

(十) 按监考教师指定的方式交卷。交卷、收卷过程要保持安静，不得与他人说话。

## **第三条** 学生考试违纪、作弊行为的认定

(一) 违纪行为

- 1、桌面上书写有与考试科目有关的字迹；
- 2、考试时不服从监考教师的座位安排；
- 3、未携带考试所需证件，且无院（系）证明及身份证；
- 4、开考后仍将考试必备用品以外的物品如书包、复习资料、手机、BP机、电子记事本、电子辞典等留在座位旁、桌内；
- 5、考试开始信号发出前答题或者考试结束信号发出后继续答题；
- 6、在考试过程中旁窥、交头接耳、互打暗号或手势；
- 7、开卷考试中借用他人书籍、笔记、资料等物品；
- 8、未经监考教师同意在考试过程中擅自离开考场；
- 9、考试期间在考场内喧哗，干扰监考教师工作；
- 10、将试卷、答卷（含答题卡、答题纸）等考试用纸带出考场；
- 11、其他违反考场规则但尚未构成作弊的行为。

#### （二）作弊行为

- 1、找他人代考或替他人考试；
- 2、组织作弊；
- 3、接听或使用手机、BP机等无线通讯工具看信息，或使用电子记事本、电子辞典、有文字存贮功能的计算器；
- 4、闭卷考试时，桌内、座位旁有翻开的或答卷下面垫有与考试内容有关的书、笔记、讲义、复习资料等物品；
- 5、抄袭或者协助他人抄袭试题答案或者与考试内容有关的资料；
- 6、抢夺、窃取他人试卷、答卷（含答题卡、答题纸等）、草纸或者强迫他人为自己抄袭提供方便；
- 7、闭卷考试时，利用文具盒、衣物或其它用品夹带与考试内容有关的笔记、复习资料、纸条等；
- 8、故意销毁试卷、答卷（含答题卡、答题纸等）及其它考试材料；
- 9、在答卷（含答题卡、答题纸等）上填写与本人身份不符的姓名等信息；
- 10、传、接或者交换试卷、答卷（含答题卡、答题纸等）、草稿纸等；
- 11、其他应认定为考试作弊的行为。

#### 第四条 对课程考核过程中学生违纪的处理规定

（一）凡有第三条规定行为的，应立即停止考试并离开考场，本门课程成绩以“0”分记载，成绩单上注明“违纪”或“作弊”等字样。

（二）对考试违纪但无作弊行为者，视情节和学生个人态度予以批评教育或给予警告、严重警告、记过处分，情节恶劣的可加重处分。

（三）对找人代考或替他人考试、组织作弊、使用通讯设备作弊者，给予开除学籍处分。

（四）对第（三）款以外的考试作弊者，视情节和学生个人态度，给予留校察看一年处分或开除学籍处分。

（五）对考试作弊受处分后再犯者给予开除学籍处分。

（六）对于课程考试违纪或作弊的研究生，根据该生的表现，可在下学期申请重修该门课程，经考核合格后才可取得相应学分。

（七）对违纪或作弊的研究生，自受处分之日下一月起，其助学金调整到最低等，不能申请三助岗位；已聘任三助岗位的，终止其三助聘任，同时停发三助津贴。

**第五条** 发现有在考试中违纪或作弊的研究生，监考教师应当场填写《学生考试（查）违纪登记表》，将违纪或作弊的情况报告给研究生所在院（系）和研究生院。在考试结束后，将研究生的《学生考试（查）违纪登记表》和有关依据材料报送研究生院。研究生院将根据认定的违纪事实进行处理并备案。

给予研究生警告、严重警告、记过和留校察看处分时，院（系）需将相关材料报研究生院审核，三日内报主管校长批准，并张榜公布。给予研究生开除学籍处分时，院（系）需在三个工作日内将有关材料报研究生院审核后提交校长办公会讨论决定。

**第六条** 本规定由研究生院负责解释。

## **Regulations on Examination Rules and Violation of Discipline for Postgraduates (HIT)**

**Art.1** Graduate course exams are important in ensuring the quality of education of graduate students. The following regulations have been made with a view to strengthen the administration of the education of graduate students, improve the exam system of graduate education, create a positive atmosphere of teaching and learning, improve quality of instruction, and to make strict exam rules.

### **Art.2** Exam disciplines

Item 1 Failure to take the exam without permission will be considered as absent from the exam.

Item 2 Student card is the valid permit for entrance into the exam room. In case where student card is lost, both graduate student ID card and ID card or passport should be taken in order to enter into the exam room.

Item 3 Students should arrive at the exam venue prior to the designated exam time. They will not be allowed to enter the exam room 15 minutes after the start of the exam and will be considered absent from the exam. They will be allowed to hand in their exam papers 30 minutes after the start of the exam.

Item 4 After entering into the exam room, students should follow the instructions of the invigilator and sit in the assigned seats. They should place their student card on the desk for the invigilator to check.

Item 5 Students should take the exam in person and impostors are forbidden.

Item 6 Personal belongings (including mobile phones already powered off, electronic dictionary, etc.) must be placed at a place far away from the students. Books, notes and electronic devices are not allowed (with the exception of open exams or special requirements of instructors). Students should report to the invigilator if they find notes made on the desk by others or find things in the desk which are related to the exam subjects. Otherwise, they themselves will be regarded as cheating in the exam.

Item 7 Students are not allowed to borrow stationery or calculator from others during the exam without the permission from the invigilator.

Item 8 Students are not allowed to provide exam-related information to or get exam-related information from others.

Item 9 Students are not allowed to talk loudly, disrupt the invigilator or leave in the exam room.

Item 10 Students should hand in their exam papers following the invigilator's instructions. They should keep silent and should not talk to others while the invigilators are collecting exam papers.

**Art.3** Cheating and breaking exam rules

Item 1 Breaking exam rules

- (1) Notes being found written on the desk.
- (2) Not following the invigilator's seating arrangements.
- (3) Not taking valid IDs.
- (4) Personal belongings such as backpacks, notes, mobile phones, pagers, electronic devices, etc. being found near the seat or in the desk.
- (5) Beginning to write before being told to do so or continuing to write after being asked to stop.
- (6) Talking with others during the exam.
- (7) Borrowing others' books, notes or other exam-related materials during open exams.
- (8) Leaving the exam room without permission from the invigilator.
- (9) Talking loudly in the exam room and disrupting the invigilator.
- (10) Taking exam papers and answer sheets out of the exam room.
- (11) Other behaviors violating exam rules, without constituting cheating.

Item 2 Cheating

- (1) Asking others to sit exam or sitting exams for others.
- (2) Organizing for cheating purpose.
- (3) Using mobile phones, pagers, electronic dictionaries and other electronic devices.
- (4) Books, notes, and other exam-related materials being found in the desk, near the seat or under the exam papers in closed-book exams.
- (5) Copying from others or helping others to copy the answers or related materials.
- (6) Stealing others' exam papers or answer sheets.
- (7) Notes or other exam-related materials being found in the pencil box, clothes or other personal belongings in closed-book exams.
- (8) Destroying exam papers or answer sheets intentionally.
- (9) Filling in other students' names on exam papers or answer sheets.
- (10) Passing, receiving or exchanging exam papers or answer sheets.
- (11) Other behaviors involving cheating.

**Art.4** Punishment for the violation of exam rules

Item 1 Students who have done any of the things listed in Art. 3 should be forbidden to sit the remaining test and will get a "0" grade, with their grade

record form being marked “violating exam rules” or “cheating.”

Item 2 Students who violate exam rules without cheating will be given punishment ranging from warning, serious warning to recording a demerit.

Item 3 Students who asked others to sit exam or sit exams for others, organized for cheating purpose, or use electronic devices in cheating should be expelled.

Item 4 Students whose cheating involves behaviors other than those listed in Item 3 will be given punishment ranging from probation (for a year) to expulsion.

Item 5 Students who cheat again after being punished for cheating will be expelled.

Item 6 Graduate students who violate exam rules or cheat in exams can be given a chance to make up and take that course again, and can get the corresponding credits if they pass the course.

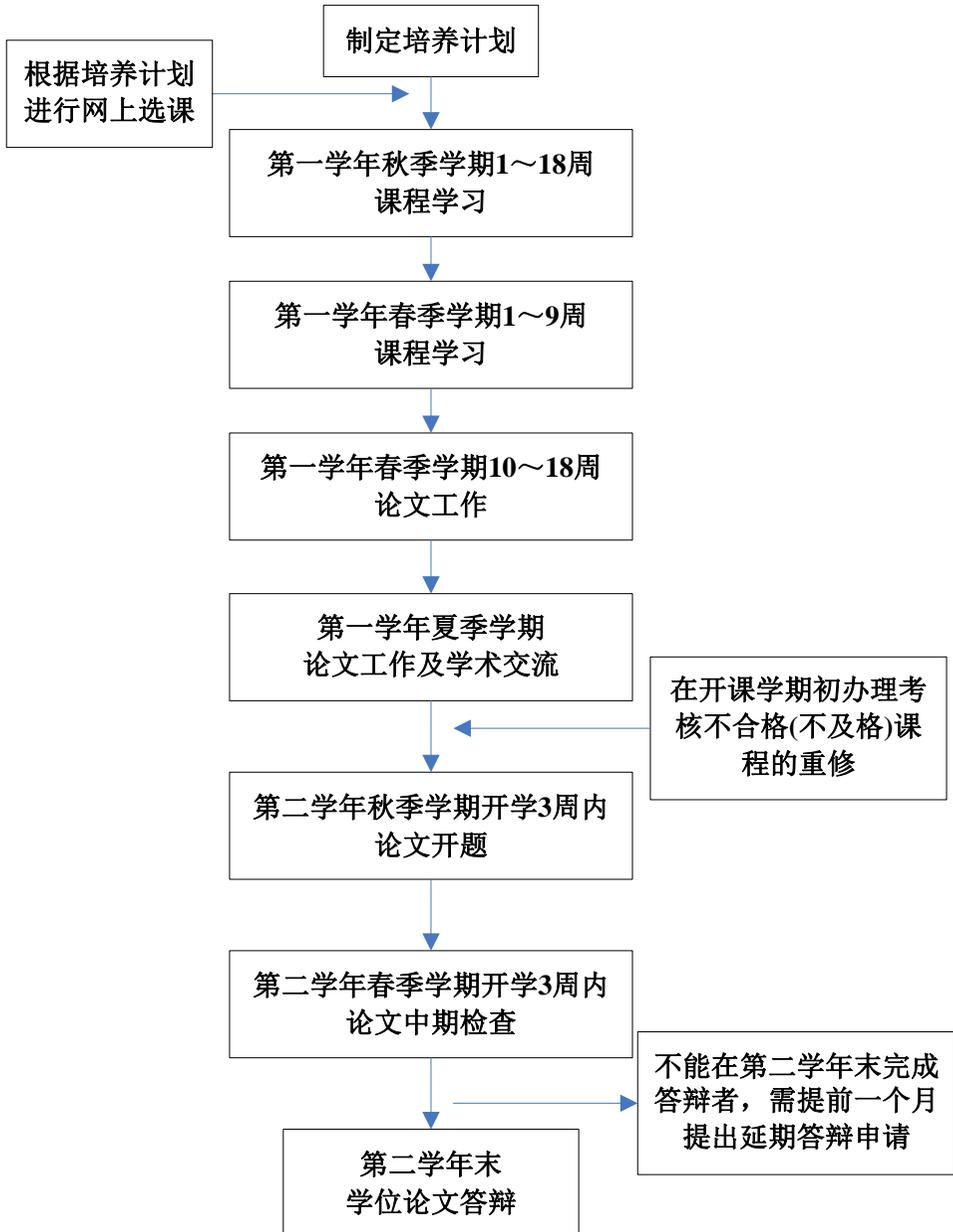
Item 7 Graduate students who violate exam rules or cheat in exams will be entitled to only the lowest level of financial aid starting from the month after the day the punishment is issued. They will not be eligible for the application for graduate assistant posts. Those who are already graduate assistants will be terminated from their posts and will stop getting payment for their posts.

**Art.5** Invigilators should fill out the *Recording Form for Cheating Behaviors* as there are graduate students who violate exam rules or cheat in exams. They should also report to the related schools (departments) and the Graduate School. After the exam, they should submit the *Recording Form for Cheating Behaviors* and relevant evidence to the Graduate School, which will handle and file the case accordingly.

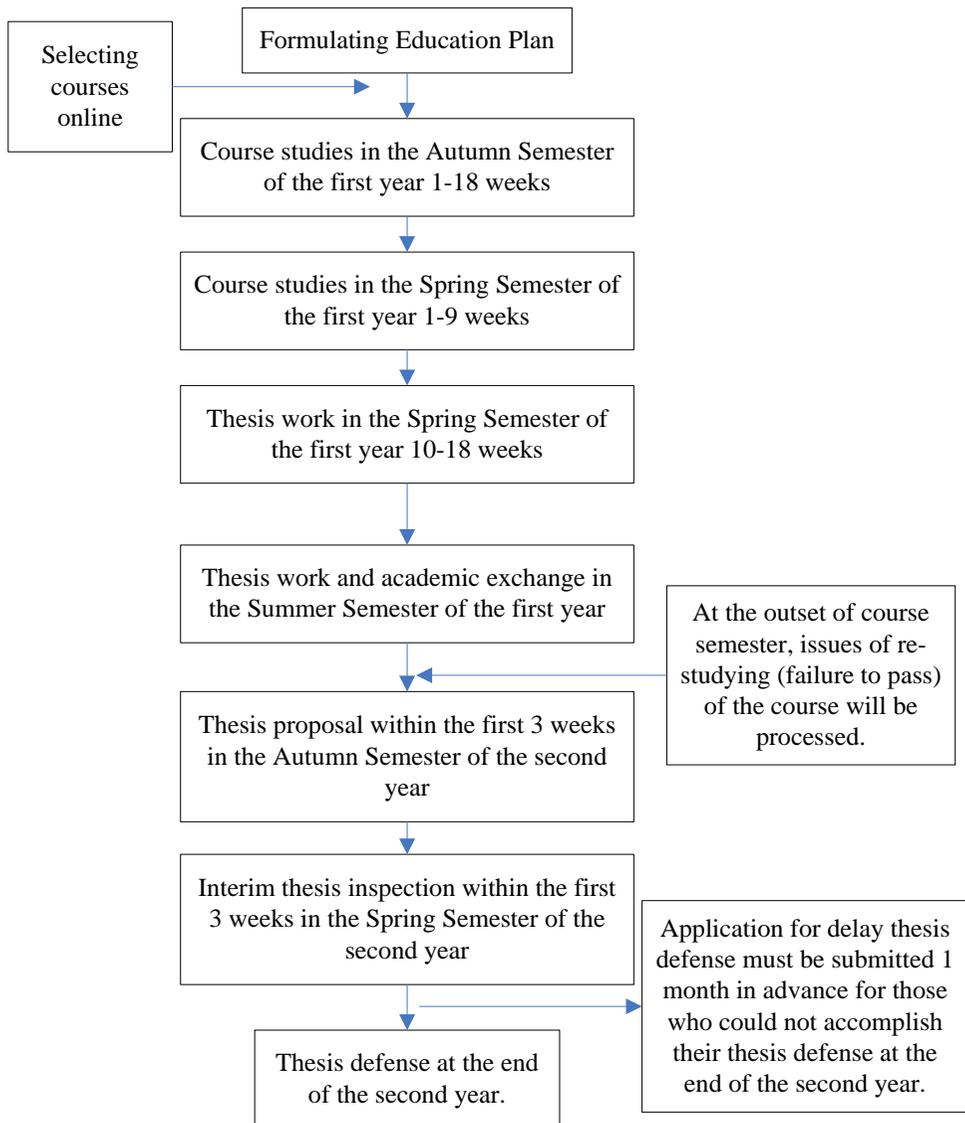
When warning, serious warning, recording a demerit or probation are committed, the concerned school (department) needs to send the related materials to the Graduate School for inspection, and within three days reports to the president in chief, with an announcement posted. In the case of expulsion, after the school (department) sends the related materials for inspection to the Graduate School, who submits the materials to the meeting of HIT presidents, a final decision of expulsion from HIT will be made.

**Art.6** The Graduate School has the final right to interpret the above-stated rules concerning the violation of exam rules and cheating in exams.

## 硕士留学研究生培养环节流程图



## Flow Chart of Master's Education



## 硕士研究生学位论文开题报告的有关要求

硕士研究生学位论文开题是整个学位论文顺利进行的必要基础，是保证学位论文质量的重要环节，硕士研究生、导师、学科和院（系）应给予充分的重视。

### 一、开题工作安排

1. 硕士研究生学位论文开题报告必须先经导师审阅同意，方能申请开题。

2. 由各学科组织开题报告评议小组，采取答辩方式对硕士研究生学位论文开题报告进行审查评议。评议小组由教授或具有硕士生导师资格的教师组成，一般不得少于 5 人。

3. 硕士研究生的开题报告时间由各院（系）根据研究生工作进度确定，但一般应于第二学年秋季学期开学后三周内完成。鼓励研究生利用暑假进一步丰富开题报告内容。

4. 学位课程成绩筛选受到黄牌警告研究生的开题报告应在其所属学科学位分委员会进行。

5. 开题报告通过六个月以上方可办理硕士学位论文答辩手续。

### 二、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. 主要研究内容及研究方案；
4. 预期达到的目标；
5. 已完成的研究工作与进度安排；
6. 为完成课题已具备和所需的条件和经费；
7. 预计研究过程中可能遇到的困难和问题以及解决的措施；
8. 主要参考文献。

### 三、对开题报告的要求

1. 开题报告字数一般应在 5000 字以上，重点阐述第二项中的 1、2、3、4、5 条。

2. 阅读的主要参考文献应在 20 篇以上，其中外文文献应不少于三分之一。硕士研究生应在导师的指导下着重查阅近年内发表的中、外文期刊文

章，本学科的基础和专业课教材不应作为参考文献。

3. 硕士学位论文开题以答辩形式进行，研究生个人汇报时间不少于 15 分钟，评议小组提问时间不少于 5 分钟。

#### **四、论文开题的审核**

论文开题的评议结果采用五级分制，记为“优秀、良好、中等、合格、不合格”。一般“优秀”不超过 25%，“合格、不合格”不少于 15%。未经批准，研究生不按时开题，成绩按“不合格”记载。开题不及格的研究生必须在两个月内重新申请开题。第二次开题仍未通过者，将被取消学籍。

#### **五、开题报告的保存**

开题报告结束后，评议小组应填写《硕士学位论文开题报告评议结果》，内容包括论文选题的合理性、可行性，及对文献综述、研究生的工作能力等方面的评价，并上报各院（系）教学秘书，由院（系）负责保存至学生毕业后 1 年。

#### **六、开题信息的网上录入**

完成开题报告后，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，按哈工大涉密管理条例相关规定执行。

## **Requirements concerning Thesis Proposal of Master's Candidates**

Thesis proposal is the basis for master's candidates to complete their thesis and is viewed as vital to the quality of thesis. Master's candidates, their supervisors, related disciplines and schools (departments) should attach great importance to thesis proposals.

### **I. Arrangements for thesis proposal**

1. Master's candidates' thesis proposals should be submitted to their supervisors for approval.

2. An evaluation panel is formed by each discipline to review and evaluate thesis proposals of master's candidates by means of oral defense. The evaluation panel consists of professors or associate professors who are master's supervisors. The number of members in the evaluation panel should be no less than 5.

3. The time for the oral defense of thesis proposals of master's candidates is determined by related schools (departments). A common practice for oral defense of master's thesis proposals is that master's thesis proposals are completed within the first three weeks of the second academic year (Autumn Semester). Postgraduates should be encouraged to make a good use of their summer holidays and enrich their thesis proposals.

4. For those master's candidates who have received yellow warning for their degree course grades, their oral defense of thesis proposals should be conducted under the guidance of the Sub-Committee of Academic Degrees within the discipline.

5. Oral defense of master's thesis may be implemented after the pass of master's thesis proposal, to be specific, more than six months after the pass of master's thesis proposal.

### **II. The contents of thesis proposals**

1. Topic source, research objective and significance;
2. Research at home and abroad and analysis;
3. Main research contents and research plan;
4. Expected objectives;
5. Research work already done and time scheme;
6. Conditions and funds required;
7. Anticipated problems and solutions;

8. Major references.

### **III. Requirements for thesis proposals**

1. The length of thesis proposals should be no less than 5000 words, with emphasis on the first 5 points listed above.

2. Major references should be no less than 20, among them foreign references should account for no less than one third. References should mainly involve articles published in recent academic journals at home and abroad. Basic and major course textbooks within the discipline are not acceptable references.

3. Master's candidates' thesis proposal takes the form of oral defense. Master's candidates should spend no less than 15 minutes to report to the evaluation panel, and question time is no less than 5 minutes.

### **IV. Inspection of thesis proposals**

The results of the evaluation of the thesis proposals of master's candidates are graded on the five point scale system: excellent, good, average, pass, and failure. In general, "excellent" should not exceed 25%, and "average", "pass", "failure" should be no less than 15%. Without approval or failure to present thesis proposals as scheduled, the grade should be recorded as "failure". In the case of "failure", graduate students must re-apply for thesis proposals within two months. If the second thesis proposal fails, the academic registration of the candidate will be cancelled.

### **V. Filing of thesis proposals**

Evaluation panel should fill out the Evaluation Results Form for Thesis Proposals of Master's Candidates, 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 relevant schools (departments) for filing until 1 year after the graduation of those master's candidates.

### **VI. Online entry of thesis proposal information**

After the completion of the oral defense of thesis proposals, master's candidates should input their thesis proposal information online into the Graduate Education Integrated Management System. If the thesis involves confidential information, it should be handled according to the *Administrative Measures for Confidential Information in HIT*.

# 硕士研究生学位论文中期检查的有关要求

硕士研究生学位论文工作中期检查是保证研究生学位论文质量的重要措施。各院（系）、学科应认真组织进行。

## 一、中期检查工作安排

1.由学科组织论文中期检查小组，每个小组由3~5人组成。检查小组成员须具有硕士生导师资格。

2.硕士论文中期检查工作，一般要求在第二学年春季学期开学后3周内完成。

3.硕士生通过论文中期检查2个月后方可办理硕士学位论文答辩手续。

## 二、中期检查的主要内容

- 1.论文工作是否按开题报告预定的内容及进度安排进行；
- 2.已完成的研究内容和取得的研究结果；
- 3.目前存在的或预期可能出现的问题；
- 4.后续研究计划；
- 5.论文按时完成的可能性。

## 三、中期检查的审核

1.中期检查以答辩的方式进行，研究生用10~15分钟汇报，10~15分钟接受检查组提问。

2.检查小组应对硕士生的工作进行认真的评议，对完成工作量较少，阶段成果不明显的要督促其加快工作进度；对存在问题较严重或困难较大的，应要求其导师及早调整方案，做出适当处理。论文中期检查结果记为“合格”或“不合格”。未经批准，研究生不按时参加中期检查，成绩按“不合格”记载。中期检查不合格的研究生必须在两个月内重新申请中期检查。第二次中期检查仍未通过者，予以退学。

3.各检查小组应填写《硕士学位论文中期检查情况总结》，总结应包括检查的总体情况、应受查人数、实受查人数、工作正常者、工作需加速者、有可能延期者等，对特殊情况应有一定的说明。总结上报所在院（系），并保存至学生毕业。

4.各院（系）、学科应加强硕士生学位论文的后期管理工作，导师要加强对硕士生后期研究工作的指导，确保学位论文质量。

# Requirements concerning Interim Inspection of Master's Thesis

The interim inspection is viewed as an important measure to ensure the quality of master's thesis. The related school or department should take the issue seriously and organize the interim inspection carefully.

## **I. Work arrangement of interim inspection**

1. Interim inspection panel is organized by each discipline. The panel consists of 3 to 5 members who must be at least master's supervisors.

2. Interim inspection of the theses of master's candidates is generally completed within the first three weeks of the second academic year (Spring Semester).

3. Oral defense of master's thesis may be processed two months after the interim inspection of the theses.

## **II. The main contents of the interim inspection**

1. Whether the work concerning master thesis proceeds according to the thesis proposal and the timetable.

2. Research work completed and progress made.

3. Existing problems and anticipated problems.

4. Research plan to be implemented.

5. Possibility of completing the thesis as planned.

## **III. The review of the interim inspection**

1. Interim inspection takes the form of oral defense. Master's candidates should spend 10 to 15 minutes reporting to the interim inspection panel, and another 10 to 15 minutes to answer the questions from the members of the panel.

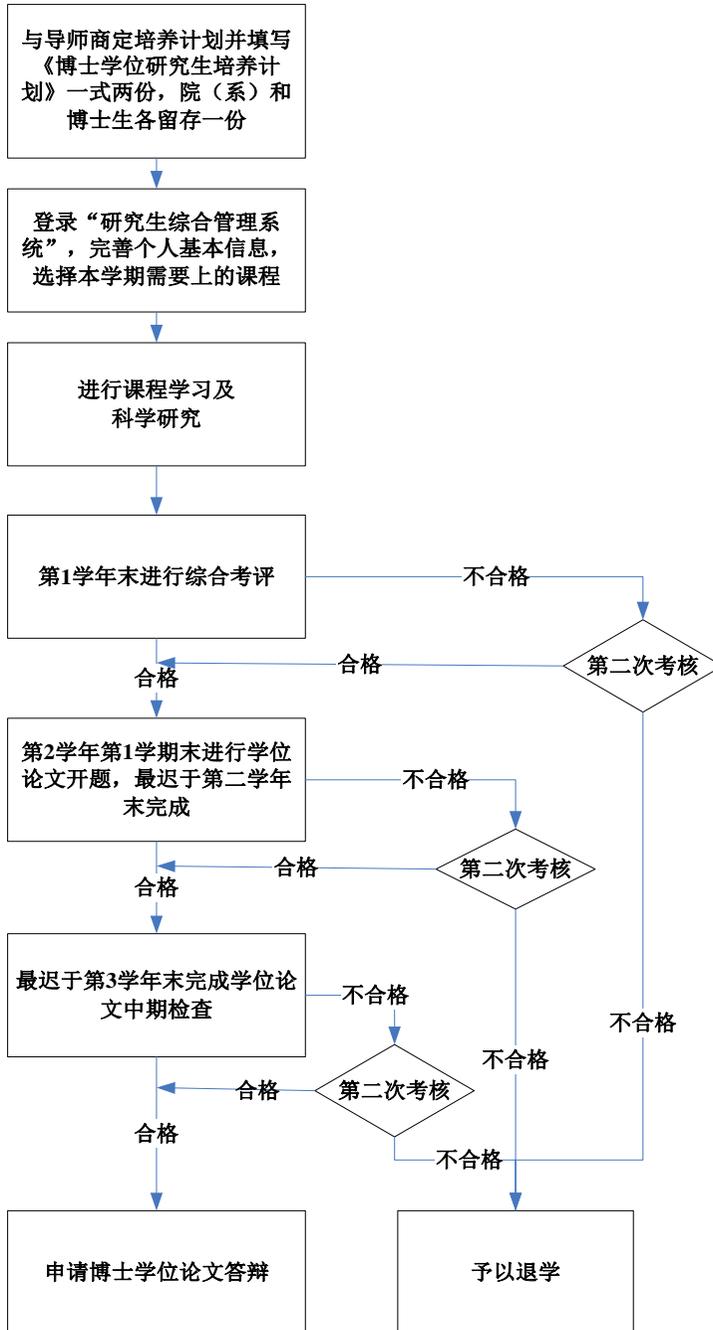
2. The interim inspection panel should evaluate master's candidates' work carefully. For those who fail to do sufficient work, the panel should urge them to speed up their work. For those who have major problems, the panel should prompt their supervisors to adjust their schedule. The results of interim inspection are marked as "pass" or "failure". Without approval or failure to attend the interim inspection as scheduled, the results are recorded as "failure". In the case of "failure", candidates must re-apply for interim inspection within two months. If the second interim inspection fails, the academic registration of the candidate will be cancelled.

3. Each panel should fill out the *Report Form for Master's Candidates'*

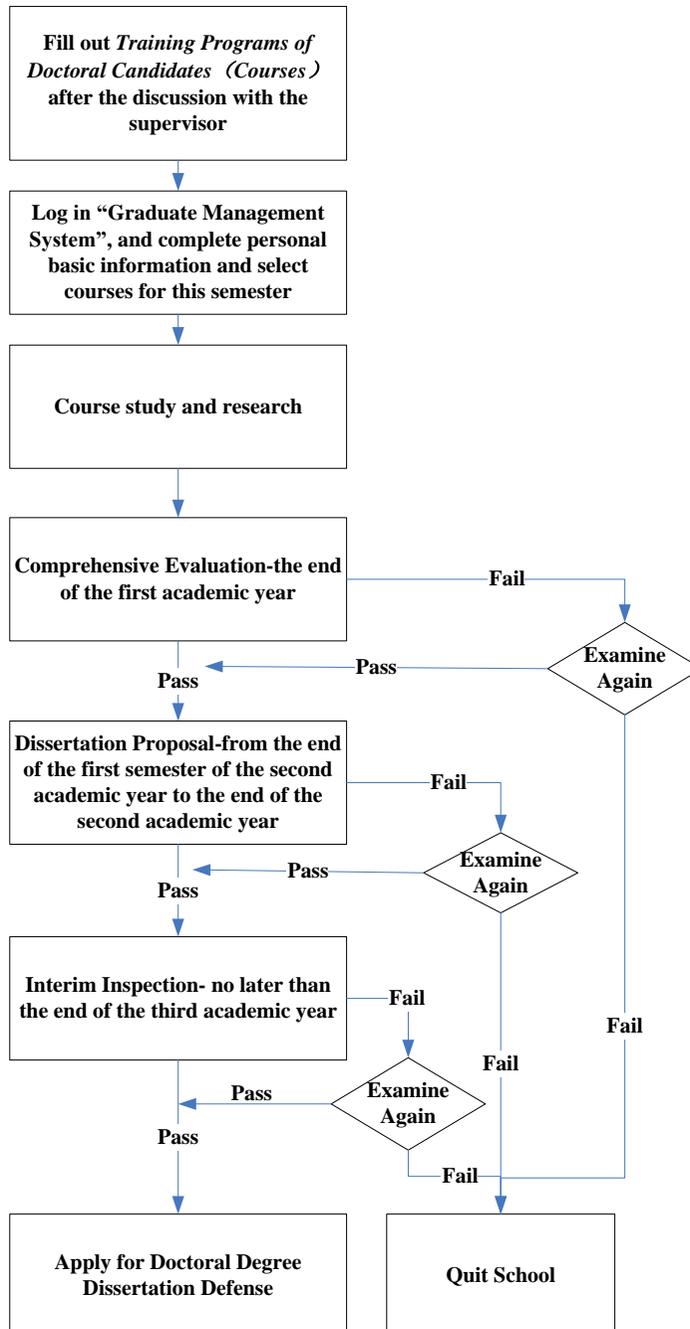
*Interim Inspection* which includes a brief summary, number of candidates that should be inspected, number of candidates' that have been inspected, list of candidates who have passed the inspection, list of candidates who should speed up their work and list of candidates whose duration of studies may be prolonged. Any special case must be specified. The *Report Form* should be submitted to related schools (departments) for filing until the graduation of those candidates.

4.Schools (departments) and disciplines should strengthen the administrative work of the later stage of thesis completion of master's candidates, and supervisors should also attach great importance to the later stage of master's candidates' research work so as to ensure the thesis quality of master's candidates.

# 博士留学研究生培养环节流程图



# Flow Chart of Doctoral Education



## 博士研究生综合考评的有关要求

为评价博士研究生对本学科系统的基础理论与专业知识的掌握及从事科学研究综合能力，在第一学年结束时对博士研究生进行综合考评。

### 1. 考评内容

- (1) 思想道德品质及学习与科研工作态度；
- (2) 对本学科系统的基础理论与专业知识的掌握程度；
- (3) 是否具备应用所学知识进行创造性科学研究工作的能力；
- (4) 其它。

### 2. 考评办法

(1) 博士研究生综合考评由院（系）组织进行，各院（系）分别制定《博士研究生综合考评细则》。博士生综合考评包括导师考评和学科考评两部分。学科考评一般包括基础专业知识、科研素质与潜力考核。

(2) 对综合考评合格的博士研究生，取得 1 学分，并全面进入博士学位论文研究工作。

(3) 对综合考评成绩在后 10-20%的博士生，将被给予黄牌警告。受到黄牌警告的博士生可在 3 个月后申请第二次综合考评，通过第二次综合考评，获得相应学分。第二次综合考评不合格，予以退学。

## **Requirements concerning Comprehensive Evaluation of Doctoral Candidates**

To evaluate doctoral candidates' overall capacity to conduct scientific research as well as the mastery of the specialty knowledge and fundamental theory in a given discipline, a comprehensive assessment on a doctoral candidate will be conducted at the end of the first academic year.

### **I Contents of evaluation**

- (1) Moral characters, and attitudes towards learning and scientific research;
- (2) The extent of the systematic mastery of the specialty knowledge and fundamental theory in a given discipline;
- (3) Whether the candidate is equipped with the capacity to utilize the acquired knowledge to do innovative scientific research;
- (4) Others.

### **II Approach of evaluation**

(1) The comprehensive assessment on a doctoral candidate will be organized by the related school or department, and conducted on the basis of the *Detailed Requirements for Doctoral Candidates' Evaluation* formulated by the related school or department. The comprehensive evaluation consists of two parts: supervisor's evaluation and the evaluation of the related discipline which includes the fundamental specialty knowledge, scientific quality and potential capacity.

(2) For the doctoral candidates who successfully pass the comprehensive evaluation, 1 academic credit is gained. Then the doctoral candidate is entitled to carry out his or her all-round research work in relation to the doctoral thesis.

(3) For those whose achievement is in the last 10-20%, yellow warning will be given. In such case, the doctoral candidate may apply for the second comprehensive evaluation in three months. If successful, academic credit is gained accordingly. If s/he fails again, the academic registration of the candidate will be cancelled.

# 博士研究生学位论文开题报告的有关要求

## 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“不合格”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是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、合格和不合格。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*.

## 博士研究生学位论文中期检查的有关要求

博士研究生学位论文工作中期检查是保证研究生学位论文质量的重要措施。各院（系）、学科应认真组织进行。

### 一、中期检查工作安排

1.导师对博士研究生培养计划完成情况、科研情况以及学位论文完成情况等方面给予评价；

2.学院应组织考查小组（3-5人组成），成员应为相关学科的博导、教授；

3.博士生的论文中期检查可以与博士生学术论坛统筹安排；

4.博士学位论文中期检查最迟于第三学年末完成。如果遇到研究生出国联合培养等特殊情况，在报院（系）备案后可适当调整时间。

### 二、中期检查主要内容

1.论文工作是否按照开题报告预定内容及进度安排进行；

2.论文工作进展以及工作态度、精力投入；

3.已完成内容和已取得阶段性成果；

4.目前存在或预期可能出现的问题。

### 三、中期检查的要求

博士生个人需对学位论文进展情况进行小结。根据学位论文选题，说明已取得的阶段性成果、下一步的工作计划和研究内容、与开题报告内容的符合情况等。

### 四、中期检查的审核

1.原则上要求博士研究生学位论文中期检查在同一学科集中进行，按“合格，不合格”评定成绩；

2.通过博士学位论文中期检查的研究生获得1学分，继续进行博士学位论文研究工作；

3.未经批准，研究生不按时参加中期检查，成绩按“不合格”记载。未通过博士学位论文中期检查的研究生，可于3个月后再次申请检查。中期检查再次未通过的博士生，予以退学。

### 五、中期检查保存

中期检查结束后，《博士学位论文中期进展考核表》由院（系）教学秘书保存至学生毕业。

## **Requirements concerning Interim Inspection of Doctoral Dissertation**

The interim inspection is viewed as an important measure to ensure the quality of doctoral dissertation. The related school or department should take the issue seriously and organize the interim inspection carefully.

### **I. Work arrangement of interim inspection**

1. Doctoral supervisors should make an evaluation on the key issues such as the education program of the candidate, scientific research, and dissertation progress.

2. The related school should organize interim inspection panel which consists of 3-5 related doctoral supervisors or professors.

3. Interim inspection of doctoral dissertation may be conducted in line with doctoral academic forum.

4. Interim inspection of doctoral dissertation should be implemented no later than the end of the third academic year. In the case of collaborating doctoral candidate abroad, interim inspection may be arranged flexibly with the approval of the related school or department.

### **II. The main contents of the interim inspection**

1. Whether the work of doctoral dissertation proceeds according to the dissertation proposal and the timetable.

2. Dissertation progress, work attitudes, and energy investment.

3. Work accomplished, and achievements at different stages.

4. Existing problems and anticipated problems.

### **III. Requirements of interim inspection**

The doctoral candidate needs to do personal conclusion about his or her dissertation progress. In the light of the chosen topic, s/he illustrates the academic achievements at different stages, what research to do next, and the work in relation to dissertation proposal.

### **IV. The review of the interim inspection**

1. In principle, the interim inspections of the same discipline should be carried out simultaneously, and the results are marked as “pass” or “failure”.

2. The doctoral candidates who have successfully passed the interim inspection gain 1 academic credit, and they can continue to conduct the research

work in relation to the doctoral dissertation.

3. Without approval or failure to attend the interim inspection as scheduled, the results are recorded as “failure”. In the case of “failure”, the candidate may re-apply for interim inspection 3 months later. If the second interim inspection is still failed, the candidate will be asked to quit.

#### **V. Storage of interim inspection**

After the interim inspection, *Form for Evaluation of Interim Inspection of Doctoral Dissertation* should be filed by the secretary of relevant school (department) till the graduation of those doctoral candidates.

学 位

**Degree**



# 硕士研究生申请学位工作细则

根据《中华人民共和国学位条例》和《中华人民共和国学位条例暂行实施办法》，结合我校硕士生培养及硕士学位授予工作的具体情况，制定本工作细则。

## 一、申请硕士学位程序

1. 硕士生向导师提交硕士学位论文；
2. 导师对论文进行审阅并推荐，写出审阅意见；
3. 硕士生向学科提出硕士学位论文答辩申请；
4. 学科审查申请者培养计划完成情况及推荐免试生发表学术论文情况，聘请硕士学位论文评阅人，并组织答辩委员会；
5. 硕士学位论文评阅人提交评阅结果；
6. 学位分委员会对申请者进行资格审查，并审批答辩委员会组成；
7. 硕士学位论文答辩；
8. 学位分委员会评审；
9. 校学位委员会审核；
10. 对批准授予学位者颁发硕士学位证书。

## 二、申请硕士学位论文答辩程序

1. 由我校正式录取攻读硕士学位的研究生，在规定的培养期限内，修完符合本人培养计划的全部课程，成绩合格，所获学分达到所规定的总学分要求；完成规定的攻读学位期间撰写学术论文的工作；完成硕士学位论文的撰写工作，并经导师批准后，即可向所在学科提出硕士学位论文答辩申请，经院（系）下放学位录入权限后填写相关表格。

2. 所在学科需聘请本学科或相关学科的两位具有硕士生导师资格的专家，对硕士学位论文进行评阅，并填写《硕士学位论文评阅意见表》。

3. 答辩前一周，由答辩委员会秘书向学位分委员会提交以下材料：

- (1) 《卷内目录》；
- (2) 《哈尔滨工业大学硕士学位论文答辩申请书》；
- (3) 《哈尔滨工业大学硕士学位论文评阅意见表》（两份）；
- (4) 《哈尔滨工业大学申请硕士学位论文答辩资格审查表》；
- (5) 《哈尔滨工业大学硕士学位论文答辩委员会成员审批表》；
- (6) 《哈尔滨工业大学硕士学位论文答辩情况表》；

- (7) 《授予学历硕士人员基本数据表》（本人签字）；
- (8) 学位论文一册；
- (9) 发表的学术论文；
- (10) 毕业成绩单两份(成绩单由所在院（系）秘书填写，经研究生院培养处盖章)。

4. 学位分委员会对申请者进行资格审查。资格审查通过后，可由学科点组织答辩委员会。答辩委员会由 5 至 7 名本学科或相近学科的硕士生指导教师组成。导师不能聘为答辩委员会主席。答辩委员会组成由分委员会批准，于答辩前一周报校学位办备案。

5. 答辩前，答辩委员会秘书需到院（系）秘书处领取以下材料：

- (1) 《哈尔滨工业大学硕士学位论文答辩公告》；
- (2) 《哈尔滨工业大学硕士学位论文答辩投票》及《哈尔滨工业大学硕士学位论文答辩委员会评分表》；
- (3) 学位档案封皮。

### 三、硕士学位论文的格式

研究生的硕士学位论文格式详见《哈尔滨工业大学理工类研究生学位论文撰写规范》和《关于制定人文与社会科学学科研究生学位论文撰写的补充要求》（试行）。

### 四、延期答辩的申请办法

1. 哈尔滨工业大学硕士研究生的培养期限一般为二年。如因课题原因不能在二年内完成学位论文者，应在期满前一个月办理延期手续，延期时间最长为半年。

2. 延期手续办理办法：学生写出《延期答辩申请》，说明延期原因，并经导师、院（系）主管领导签字同意；由院（系）研究生教学秘书将本学期延期答辩硕士生名单交研究生院综合办备案。

### 五、提前答辩的有关规定

硕士研究生一般不能提前答辩。对少数学业优异、科研能力强，且学位论文质量高的研究生，在满足答辩要求并已在核心以上期刊发表（含被正式录用）至少一篇学术论文后，可申请提前进行学位论文答辩，提前时间不得超过半年。

提前答辩办理办法：由研究生提出申请报告，经导师和所在分委员会同意后，连同两份学位论文提交至校学位办。校学位办指定两位专家对论文进行评审，根据评审结果决定是否批准其提前答辩。专家评审费由研究生或导师承担。

## 六、硕士学位论文答辩程序

1. 答辩委员会主席介绍答辩委员会组成情况，主持答辩委员会各项议程。

2. 宣读论文评阅人的评阅意见。

3. 申请人介绍论文主要内容，时间为20~30分钟。

4. 委员提问，申请人答辩（列席人员在经主席同意后也可提问）。提问时间一般不少于10分钟。

5. 休会，申请人和导师回避（导师如为答辩委员不必回避）。

6. 答辩委员会举行内部会议，评议论文的水平及答辩情况，形成答辩委员会决议，并就是否建议授予硕士学位进行不记名投票表决。在答辩委员会成员三分之二以上（含三分之二）同意时方可做出建议授予硕士学位的决定。

7. 复会，答辩委员会主席宣布答辩委员会决议及投票表决结果。

8. 答辩委员会主席宣布答辩委员会结束。

## 七、答辩后的工作

论文答辩委员会决议经答辩委员会主席签字后连同会议记录、投票情况及答辩材料一同报学位分委员会。经分委员会讨论，三分之二以上（含三分之二）委员投票通过，分委员会主席签字后，将通过者的名单及全部有关材料提交校学位委员会审核。在校学位委员会批准授予学位后，每位硕士研究生将印刷版论文和电子版论文提交到学校图书馆，一册印刷版论文交院（系）。研究生凭回执办理离校手续并领取学位证书。

## 八、研究生学位档案

校学位委员会批准授予学位后，由院（系）研究生秘书负责将通过授予硕士学位人员的全部材料整理成学位档案送校档案馆。学位档案的具体内容见《哈尔滨工业大学研究生秘书手册》。

## **Detailed Regulations on the Application for Master Degree**

The following regulations are made in accordance with *Regulations of the People's Republic of China on Academic Degrees* and *Interim Rules for Implementation of the Regulations of the People's Republic of China on Academic Degrees*, taking into consideration of the master's program and the award of master's degrees at HIT.

### **I. Procedures of Application for Master's Degrees**

1. Master's candidates submit their thesis to their supervisors.
2. Master's supervisors review the thesis of master's candidates under their supervision and provide comments.
3. Master's candidates submit their application for oral defense of their thesis to their disciplines.
4. Disciplines evaluate applicants' completion of their programs and publication of those who have been admitted without taking the entrance exams, appoint experts to evaluate these applicants' thesis, and form thesis defense committees.
5. Experts provide evaluation results.
6. Academic Degrees Subcommittees evaluates the applicants' qualifications and review the thesis defense committees.
7. Oral defense of master's thesis.
8. Academic Degrees Subcommittees review the results of oral defense.
9. Academic Degrees Committee of HIT review the results of oral defense.
10. Confer master's degrees to those candidates who pass the oral defense and are approved by the Academic Degrees Committee of the university.

### **II. Procedures of Application for Oral Defense of Master's Thesis**

1. Master's candidates who have been formally admitted by the university, have passed all courses as required by their programs, whose credits have met the requirements, who have completed the required academic papers, have completed their master's thesis and have been approved by their supervisors, can apply for oral defense of their thesis to their disciplines. They should fill out relevant forms after obtaining the degree entry permits from their schools (departments).
2. Disciplines need to invite two experts who are at least master supervisors

within the disciplines to evaluate master thesis and fill in the Evaluation Form for Master's Thesis.

3. Secretary of the Thesis Defense Committee should submit the following materials to the Subcommittee of Academic Degrees 1 week before the oral defense. Cataloging of files, Application for Oral Defense of Master's Thesis in HIT, Evaluation Form for Master's Thesis in HIT (2 copies), Evaluation Form of Master's Candidates' Qualifications for Application for Oral Defense of Master's Thesis in HIT, Evaluation Form of Members of Thesis Defense Committee in HIT, Report on Master's Candidates' Oral Defense of Thesis, Basic Information Form for Master's Candidates being Conferred Diplomas (with signature), a copy of thesis, published academic papers, and two copies of transcripts (filled out by secretaries of relevant schools (departments) with the seal of the Graduate School).

4. The Academic Degrees Subcommittees will evaluate the qualifications of applicants. Disciplines will form thesis defense committees which consist of 5 to 7 experts who are at least master's supervisors within or close to the disciplines. Supervisors of applicants cannot be appointed as the chairmen of the thesis defense committee. Members of the thesis defense committees should be approved by the Subcommittee of Academic Degrees and should be submitted to the Academic Degrees Office for filing.

5. Secretary of the Thesis Defense Committee needs to obtain the following materials from secretaries of relevant schools (departments) before oral defense.

- (1) Public notice of oral defense
- (2) Votes and scoring scales
- (3) File cover for master degree

### **III. Format of Master's Thesis**

For specific information about the format of master's candidates, see *Code of Graduate Thesis for Master's Candidates in Science and Engineering at HIT*, and *Supplementary Requirements of Making Code of Graduate Thesis for Master's Candidates in humanity and Social Science Discipline (Trial Procedures)* .

### **IV. Application for Delay of Oral Defense of Master's Thesis**

1. The duration of master's candidates' program in HIT usually lasts 2 years. Application for delay (half a year at most) should be completed a month before.

2. Application for delay should be filed by going through the following procedures. Master's candidates should fill out the *Application for Delay of Oral Defense*, in which they should explain reasons for delay and which should be approved and signed by their supervisors and signed the deans of relevant schools (departments). Secretaries of schools (departments) should submit the list of master's candidates who apply for delay of oral defense to the Graduate School.

#### **V. Related Regulations on Early Oral Defense**

Master's candidates are usually not allowed to apply for oral defense of their thesis prior to the designated time. Those who excel in their research and studies, whose thesis are of superb quality, whose qualifications meet the requirements for oral defense, and who have at least one high-quality academic paper published in core academic journals can apply for oral defense of their thesis half a year prior to the designated time.

Master's candidates who want to apply for oral defense of their thesis prior to the designated time should submit their application to their supervisors and the Academic Degrees Subcommittees for approval before submitting it to the Academic Degrees Office of the university together with 2 copies of their thesis. The Academic Degrees Office of the university will assign two experts to evaluate the thesis and will decide whether to approve their application. The fees for evaluation should be paid by the master's candidates themselves or their supervisors.

#### **VI. Procedures for Master's Candidates' Oral Defense of Their Thesis**

1. The Chairmen of the Thesis Defense Committees introduces the members of the committee, and takes charge of the agenda of the Academic Degrees Committee.

2. The academic comments of examiners are announced.

3. Applicants introduce the main ideas of their thesis, which lasts 20 to 30 minutes.

4. Members of the Thesis Defense Committees ask questions to which the applicants should provide answers and defend their thesis (people present may ask questions with the permission of the Chair). The time for questions and answers lasts no less than 10 minutes.

5. Adjournment, avoidance of the applicant and the supervisor (if the supervisor is a member of the Thesis Defense Committees, it is unnecessary to for her / him to avoid).

6. The Thesis Defense Committee holds an internal meeting, making an evaluation on the quality of the thesis, together with the assessment of the oral defense, and formulates a resolution of the committee. Through secret ballot, the thesis Defense Committees decides whether or not to award master's degree to the candidate. Only if more than two thirds (including 2/3) of the Thesis Defense Committee reach an agreement can the decision be made to award the degree to the applicant.

7. Resuming the meeting, the Chair of the Thesis Defense Committee announces the resolution and the voting results.

8. The Chair of the Thesis Defense Committee declares that the thesis defense ends.

#### **VII. Work after Thesis Defense**

Decision of the Thesis Defense Committee signed by the chairman, together with meeting minutes, votes and defense materials, will be submitted to the Academic Degrees Subcommittee, which by way of secret ballot, will vote again. List of candidates who get two-thirds or more of the total votes signed by chairman of the Academic Degrees Subcommittee and all relevant materials will be submitted to the Academic Degrees Committee of the university. After being approved by the Academic Degrees Committee of the university to confer master's degrees, each master's candidate should submit 1 printed copy as well as 1 electronic copy of their thesis to the library, and 1 printed copy to relevant schools (departments). Master's candidates should then complete leaving institution procedures.

#### **VIII. Master's Degree Archives**

Secretaries of related schools (departments) are responsible for submitting all materials of those master's candidates who have been approved by the Academic Degrees Committee of the university to confer master's degrees to the university archives. For further information about master's degree archives, see *Handbook for Secretaries in Charge of Graduate Students at HIT*.

# 博士研究生申请学位工作细则

根据《中华人民共和国学位条例》和《中华人民共和国学位条例暂行实施办法》，结合我校博士生培养及博士学位授予工作的具体情况，制定本工作细则。

## 一、申请博士学位论文答辩的条件

博士生在申请博士论文答辩前应完成以下工作：

- (1) 培养计划中规定的全部课程，且考试成绩合格；
- (2) 与博士学位论文有关的课题研究任务；
- (3) 在博士学位论文工作期间按学校规定发表的学术论文；
- (4) 博士学位论文。

## 二、博士学位论文预答辩

学位论文初稿完成后，经导师审阅认可，由学生向所在学科点提出预答辩申请，同时填写《博士学位论文预答辩情况表》学生部分。

博士学位论文预答辩是切实检查博士学位论文工作、保证博士学位论文质量的重要环节。各学科应对预答辩给予充分的重视，认真组织、落实这项工作。预答辩程序如下：

1. 学科点负责人根据博士生的研究方向、论文特点，组织本学科及相关学科的博导、教授5~7人，经学位分委员会批准，组成预答辩委员会。

2. 博士生按学位论文答辩的正规方式进行报告及回答问题（可利用多媒体、投影胶片、幻灯、挂图等）。学生进行报告的时间应为40~60分钟。

3. 预答辩委员会委员应对博士学位论文进行严格、认真的审查，着重检查博士学位论文中的创新成果及创新水平、论文工作量等，并详细指出论文中存在的不足和问题，提出改进意见。

4. 预答辩委员会采取评议的方法做出通过预答辩、未通过预答辩或经修改后通过预答辩的决议。对有争议者，可采用无记名投票方式做出决定。

5. 预答辩委员会应将评议意见填入《博士学位论文预答辩情况表》。

6. 博士生应根据预答辩委员会提出的意见对论文进行修改和完善。修改后的论文经导师签字批准后，方可进行论文匿名专家评审。

## 三、学位分委员会对博士学位论文答辩申请的审查

1. 博士生须持以下材料向有关分委员会提出答辩申请：

- (1) 《博士学位论文预答辩情况表》；

- (2) 经预答辩通过或修改后通过的博士学位论文；
- (3) 学位论文工作期间发表的主要学术论文原件；
- (4) 博士研究生课程成绩单（含讲座、学术活动等的考核结果）。

#### 2.分委员会审查重点：

- (1) 学位论文创新点、创新水平及结论；
- (2) 在攻读博士学位期间发表的学术论文；
- (3) 学位论文格式。

### 四、博士学位论文的专家评审

1.博士研究生预答辩通过后，学位论文需进行同行专家评审。我校博士学位论文的同行专家评审为匿名评审与非匿名评审、网络评审及纸质版评审相结合的评审方式，评审专家为 2 名。博士学位论文的送审及对专家评审意见的处理办法见《关于博士学位论文同行专家评审的相关规定》及《关于博士学位论文非匿名评审相关规定》。

2.答辩委员会秘书整理论文评审意见汇总材料（学位申请者本人不得经手整理），汇总材料的内容包括：

- (1) 对论文选题的评价；
- (2) 对论文的创新成果的评价；
- (3) 对论文的总体评价；
- (4) 论文中存在的问题、不足及建议。

有增聘评审人时，需将其评审意见及原评审意见一并汇总。

博士研究生对论文评阅人提出的问题及论文存在的不足须给予明确答复，汇总材料应签有导师审阅意见，且必须经分委员会主席审阅和签字同意。

### 五、博士学位论文答辩

#### 1.博士学位论文答辩委员会组成

学位分委员会根据申请人学位论文的研究方向，指定该领域学术造诣深、责任心强、坚持原则的博士生导师担任答辩委员会主席。

博士学位论文答辩委员会由 7 名博士生导师或相当于教授专业技术职称的专家组成，且应满足以下要求：①博士生导师应占全体成员的 2/3 以上（至少 5 名）；②导师或副导师只能有一人参加，且不得任答辩委员会主席；③原则上应有答辩人申请学位学科的学位分委会成员；④对具有研究生毕业同等学力申请博士学位人员，论文答辩委员会中至少有 2 人必须是我和申请人所在单位以外的专家，且申请人的导师、推荐人不能作为

论文答辩委员会成员；⑤属学科交叉研究的学位论文，成员中应涵盖所有相关学科的专家。答辩委员会秘书应具有讲师以上职称。

## 2.博士学位论文答辩审批

答辩委员会秘书应于论文答辩一周前将博士学位论文答辩审查材料送交校学位办。《博士学位论文答辩委员会成员审批表》经分委员会主席同意、校学位办审查通过后，有关人员方可组织博士学位论文答辩。如审查批准后的答辩委员会中有委员更换，需告知校学位办并重新履行审批手续。为保证博士学位论文答辩时间及答辩质量，答辩不应连续超过两人。如果超过两名，第三名学生答辩前，需给委员留出足够的休息时间，以保证后续答辩质量。

## 3.博士学位论文答辩程序

答辩秘书应于论文答辩一周前将答辩人的博士学位论文送交答辩委员会成员，并于论文答辩三天前张贴答辩公告。

博士学位论文答辩一般应公开进行，答辩人应正装出席会议。每位博士生的学位论文答辩会一般以2~3小时为宜，论文答辩应有详细的原始答辩记录，程序如下：

(1) 答辩秘书宣布答辩人姓名、学科、学位论文题目；介绍博士学位申请人简况（学习成绩、简历、学位论文工作情况及学术论文发表情况）；宣读答辩委员会组成名单并逐一介绍各位委员。

### (2) 答辩委员会主席主持论文答辩

①博士学位申请人报告论文主要内容（约40~50分钟）。

②秘书宣读论文匿名评审意见及博士生答复意见。

③答辩委员会审议博士生对匿名评审意见的答复及论文修改情况。

④答辩委员会委员及答辩会参加人员提问，博士生回答问题。（答辩委员会不仅要考察答辩人答辩过程中暴露出的问题及课题研究过程中存在的问题，还要全面考察论文的研究深度、论文的内容及结构安排合理性等。）

### (3) 休会，答辩委员会召开单独评议会

①评议论文是否达到学位条例所要求的学术水平，论文创新性成果是否成立，论文结构安排是否合理，指出论文存在的主要问题。

②无记名投票表决是否通过答辩、是否建议授予博士学位。

③讨论并通过答辩委员会决议。

(4) 复会，答辩委员会主席宣布答辩委员会决议

(5) 答辩人表态，陈述对答辩委员会决议的意见

(6) 主席签署答辩决议书，并在原始答辩记录上签名

(7) 答辩委员会主席宣布答辩结束

#### 4.答辩委员会决议

(1) 答辩委员会应以无记名投票方式，决定答辩是否通过，是否建议授予其博士学位。在答辩委员会成员三分之二以上同意时方可做出通过答辩、建议授予博士学位的决定。

(2) 答辩委员会在决议中，应客观概述论文创新性工作，并予以公正评价。

(3) 论文答辩未通过，但答辩委员会认为可以考虑进一步修改论文时，经无记名投票，当答辩委员会成员过半数同意时，可做出在两年内修改论文重新答辩一次的决议。

(4) 答辩委员会认为申请人的论文虽未达到博士学位的学术水平，但已达到硕士学位的学术水平，而申请人又尚未获得该学科硕士学位时，经无记名投票，在答辩委员会成员三分之二以上同意时可以做出建议授予申请人硕士学位的决议。

### 六、博士学位论文公示期

1.博士学位论文公示期原则上自学位论文预答辩通过之日起，至校学位委员会审核博士学位论文时止，时间不得短于一个月。

2.博士学位论文公示期期间，学位申请人公示其博士学位论文的相关信息，接受并回复有关人员提出的问题。

3.博士学位论文公示期期间，校学位办也同时接受并处理有关人员提出的问题。

### 七、答辩申请无效的处理办法

若答辩申请无效，申请者或按结业离校，或重写学位论文，在半年之后、两年之内再次提出答辩申请。若再次申请仍未通过，学校不再受理其学位论文答辩申请。

### 八、评审专家意见的保存

评审意见的原件由研究生院按保密文件存档，复印件或打印件以隐名方式在博士生答辩前返回博士生所在院（系），与其它答辩材料一起由各院（系）汇总存档。

## **Detailed Regulations on the Application for Doctoral Degree**

The rules and regulations for the application of doctoral degree are formulated in accordance with the *Academic Degree Ordinance of People's Republic of China* and the *Temporary Regulations for Academic Degree of People's Republic of China* taking into account of the concrete conditions of doctoral education and doctoral degree award at Harbin Institute of Technology (HIT), China.

### **I. Requirements for PhD Viva Examination**

Prior to PhD viva examination, the candidate should complete the following work:

- (1) Complete all courses for doctoral education, and successfully pass all examinations;
- (2) Accomplish the research project tasks pertinent to the doctoral dissertation;
- (3) Have academic papers published as required during the period of doctoral study;
- (4) Submit doctoral dissertation.

### **II. Preliminary PhD Viva Examination**

After completing the draft of doctoral dissertation, the candidate should submit a preliminary oral defense application to the discipline PhD program with the approval of the supervisor, and meanwhile fill out the *Form for Preliminary PhD Oral Defense*.

Preliminary PhD oral defense examination is a key step to oversee the work of doctoral dissertation and to guarantee the quality of doctoral dissertation. Therefore, an emphasis should be placed on PhD oral defense and the related implementation. The procedures of preliminary PhD oral defense are described as follows:

1. With regard to the research direction and the thesis characteristics of the candidate, the convener of the discipline PhD program has the duty to organize 5-7 supervisors of PhD candidates and professors in a given discipline or related disciplines, constituting a preliminary oral defense committee, which should be authorized by Academic Degrees Subcommittee.

2. The candidate should conduct a formal presentation and answer the

questions raised (multimedia, projectors, films, slides and pictures may be used). The time for the presentation should be 40-60 minutes.

3.The committee members of the preliminary oral defense should conduct a serious and stringent examination of the dissertation, emphatic on the original achievement, the level of creativity, and the amount of work involved in the dissertation. Furthermore, the weakness and problems in the dissertation should be pointed out in detail, with suggestions for improvement proposed.

4.In the form of review, the committee of preliminary oral defense makes the resolution of “pass”, “fail”, or “pass with amendments” of the preliminary oral defense. In the case of difference, a ballot is adopted to determine the result.

5.The committee members of the preliminary oral defense should fill their reviews in the *Form for Preliminary PhD Oral Defense*.

6.The candidate should revise and modify the dissertation according to the comments from the committee members of the preliminary oral defense. After the revised dissertation is approved and signed by the supervisor, anonymous expert’s evaluation of the doctoral thesis may be conducted.

### **III. The Inspection of Academic Degrees Subcommittee for PhD Viva Application**

1.The candidate must provide the following materials when submitting his/her oral defense application to the Academic Degrees Subcommittee.

(1) *Form for Preliminary PhD Viva Voce Examination*

(2) The dissertation or the revised dissertation through preliminary PhD Oral Defense.

(3) Original versions of the major research papers published during the period of doctoral study.

(4) Doctoral candidate’s exam grades (including the records of lectures and academic activities).

2. Key points of inspection of Academic Degrees Subcommittee

(1) The originality, level of creativity, and conclusions;

(2) Research paper published during the period of doctoral study;

(3) Format of doctoral dissertation.

### **IV. Expert Evaluation of Doctoral Dissertation**

1.After passing the preliminary dissertation defense, the doctoral

dissertation should be reviewed by experts in the same research field. At HIT, expert evaluations on a doctoral dissertation are conducted through a combined approach which involves anonymous expert's evaluation, non-anonymous expert's evaluation, online evaluation, and hard copy evaluation. Two experts are invited to make the evaluation. For more details, please see the ***Regulations of Expert Evaluation on a Doctoral Thesis*** and ***Regulations of Non-anonymous Evaluation on a Doctoral Thesis***.

2.The secretary of the oral defense committee sorts out the collected materials related to the dissertation reviews (the candidate is not allowed to get involved in the materials collection).The collected materials include:

- (1) Comments on the chosen research topic;
- (2) Comments on the creativity of the dissertation;
- (3) Overall evaluation of the dissertation;
- (4) Problems and weakness identified in the dissertation, plus suggestions.

In the case of additional reviewers, their comments and the original reviews should be collected together.

The doctoral candidate should give definite answers to the questions raised or the weakness identified by the reviewers. The collected materials should be examined with comments from the supervisor, and moreover they should be inspected and signed by the chair of the sub-committee for approval.

## **V. PhD Viva Voce Examination**

### **1. Formation of a Committee for PhD Viva Examination**

On the basis of research direction, the sub-committee appoints a chairman for the PhD viva voce examination. The chairman should be a doctoral supervisor who is deemed be knowledgeable, responsible and principle-minded.

The committee for PhD viva voce examination consists of seven doctoral supervisors or equally qualified specialists, which meets the following criteria: (1) Supervisors of doctoral candidates should be 2/3 of the total committee members (at least five). (2) Either the main supervisor or the co-supervisor is allowed to attend the viva voce, and s/he should not function as the chair. (3) In principle, the committee should involve the sub-committee members of the discipline which the doctoral candidate applies for a doctoral degree. (4) For the doctoral candidate with the same qualification, the viva voce committee

should include at least two specialists from HIT or other institutions where the candidate does not serve. Furthermore, the supervisor of the candidate or the person who recommends the candidate should not act as the oral defense committee members. (5) For inter-disciplinary thesis, the viva committee should include specialists from the related disciplines.

The secretary of the viva committee should have the professional title of lecturer or above.

### **2.Approval of PhD viva examination**

The secretary of the viva committee should send the materials to HIT Academic Degree Office for inspection a week earlier before the viva examination. After *The Approval Form of Viva Committee Members* is authorized by the Chair of sub-committee and inspected by HIT Academic Degree Office, the PhD viva examination is allowed to carry out. In the case of replacement of committee members, it is essential to inform HIT Academic Degree Office and renew the approval procedures. To guarantee the time and quality of the viva examination, no more than 2 applicants are allowed to take part in the viva examination continuously. In the case of more than 2 viva examinations, before the third one, committee members should have enough time to rest so as to guarantee the quality of the upcoming viva voce examinations.

### **3.PhD Viva Examination Procedures**

The secretary of the viva committee should send the candidate's doctoral thesis to viva committee members a week earlier before the viva examination, and post the public notice 3 days before the viva examination.

In general, PhD viva examination should be open, and the candidate should be formally dressed. Each PhD viva examination should last 2 or 3 hours, and detailed original viva records should be kept. The procedures are stated as follows:

(1) The secretary of the viva committee introduces the candidate's name, discipline, and the title of doctoral thesis; gives a brief account of the candidate in terms of academic records, curriculum vitae, thesis work, and the research papers published; and announces name list of the viva committee, introducing each committee member separately.

(2) The Chair takes charge of the viva examination

①The presentation of the main contents from the PhD candidate (about 40-50 minutes).

② The secretary announces the anonymous comments regarding the doctoral dissertation and the replies of the candidate.

③ The viva committee examines the candidate's answers to the anonymous comments and the related modifications of the doctoral dissertation.

④ Questions from the committee members / audience and the answers of the candidate. (The viva committee ought to scrutinize the emerged problems in the process of dissertation defense and doctoral studies, and should examine the theoretical depth and thesis contents, together with the overall structure of the dissertation)

(3) Adjournment, the viva committee holds an independent evaluation meeting.

① Assess whether the dissertation meets the academic standards prescribed in the academic degree ordinance; whether the innovative achievements are sound; whether the dissertation structure is reasonable, and point out the main problems of the dissertation.

② Secret ballot is conducted to determine whether or not to recommend that the candidate be awarded PhD degree.

③ Discuss and pass the resolution of the viva committee.

(4) Resuming the meeting, the chairman announces the resolution of the viva committee.

(5) The candidate expresses his/her attitude, stating his/her opinion on the resolution of the viva committee.

(6) The chairman signs his/her name to the viva resolution and the original viva records.

(7) The chairman declares that the viva examination ends.

#### **4. The Resolution of the Viva Committee**

(1) The viva committee should have a secret ballot and decides whether or not the candidate passes the viva, and whether or not to recommend the award of PhD degree. If more than 2/3 (including two thirds) of the committee members reach an agreement, a decision can be made to award the candidate doctoral degree.

(2) In the viva resolution, an objective summary of the innovative work and reasonable evaluation of the doctoral dissertation are expected.

(3) In the case of "not pass" in the viva examination, if the viva committee considers it possible for the candidate to further amend the

dissertation. Through an anonymous ballot, only if half of the committee members reach an agreement, a resolution can be made to have another viva examination after the candidate's revising the thesis within 2 years.

(4) Given that the viva committee maintains that the dissertation fails to meet the doctoral standard, yet it meets the academic standard for a master degree. Considering that the candidate does not hold a master degree, through an anonymous ballot, if more than  $2/3$  of the committee members reach an agreement, a resolution can be made to award the candidate a master degree.

#### **VI. The Period of Public Notice of a Doctoral Dissertation**

1. In principle, the period of public notice of a doctoral dissertation starts from the date of viva examination, and ends on the date of the approval of HIT Academic Degrees Committee (the Senate), lasting no less than one month.

2. During the period of public notice, the candidate should publicize the information relevant to the dissertation, accepting and answering the questions raised by the people concerned.

3. During the period of public notice, HIT Academic Degree Office also accepts and deals with the questions from the people concerned.

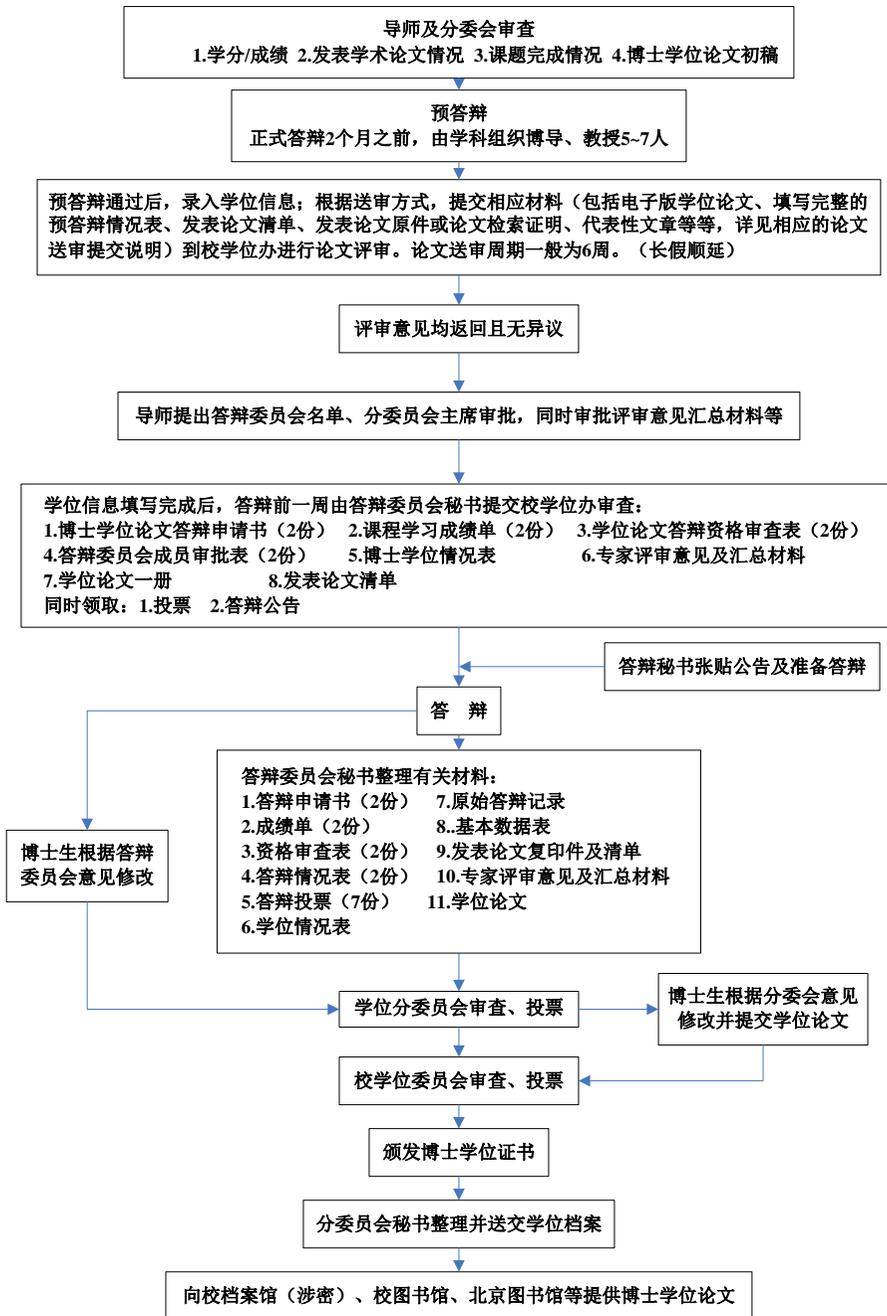
#### **VII. Settlement of an Ineffective Viva Application**

If the viva application is viewed as ineffective, the candidate may leave the university as scheduled, or rewrite his/her dissertation. In a half year or two years' time, the candidate can submit a viva application again. If the application fails, the university will no longer accept candidate's application.

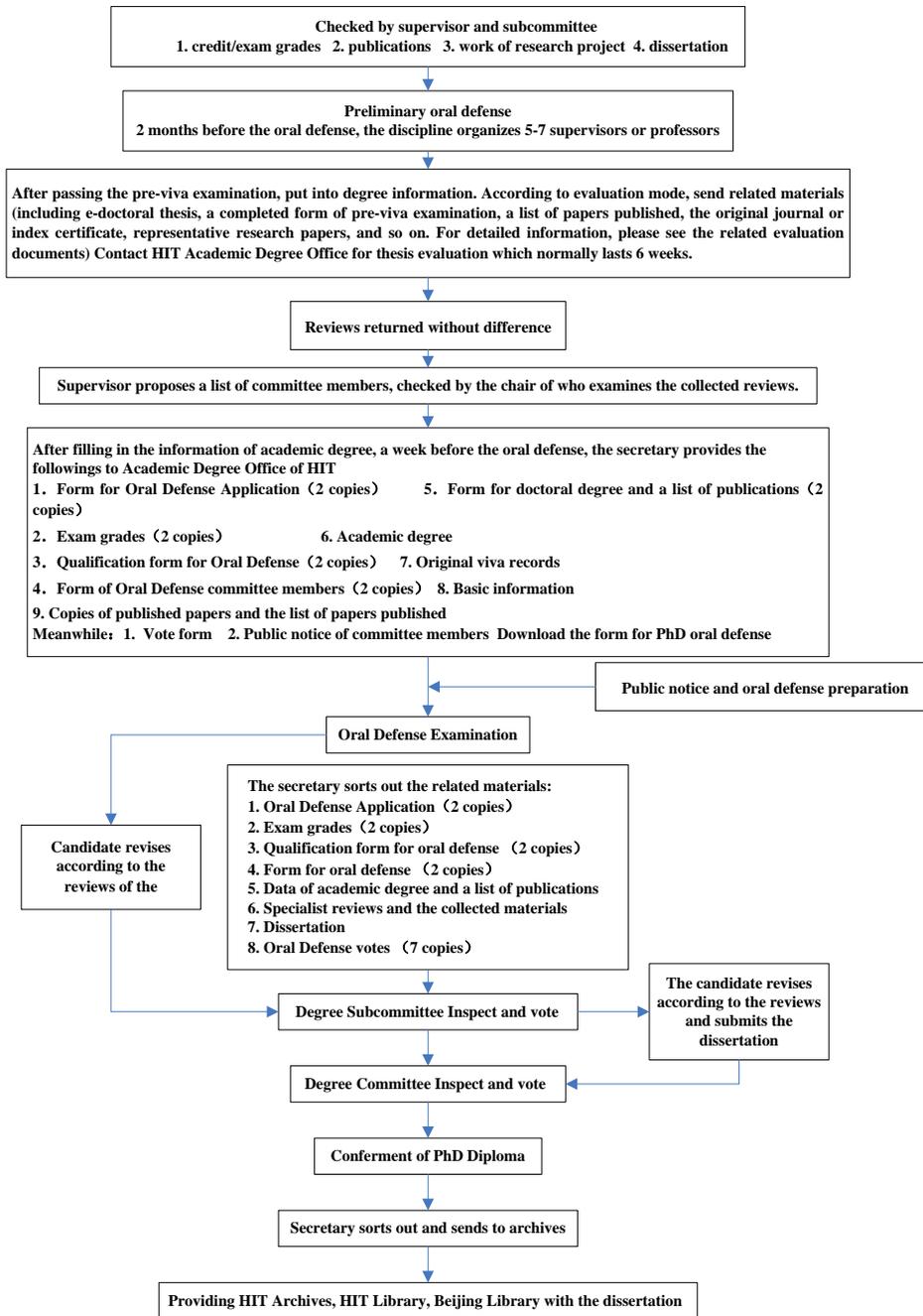
#### **VIII. Storage of Experts' Comments**

The original documents of the experts' comments are stored as confidential files by the Graduate School of HIT, and the copies or the print versions in the form of anonymity are returned to the school or department where the candidate studies before the viva examination. They are collected and stored with other oral defense documents at the school or department related.

# 申请博士学位流程图



# Flow Chart of PhD Viva Application



## 外国留学生博士学位论文送审提交说明

外国留学生博士学位论文送审前，须填写《哈尔滨工业大学外国留学生博士学位论文评阅人名单》，并经学位分委员会审批通过。送审时须提交以下材料：

1. 填写完整的“博士学位论文预答辩情况表”1份。
2. 填写完整的“外国留学生博士学位论文评阅人名单”1份。
3. 符合装订规范的博士学位论文2册。
4. 非匿名评审用“哈尔滨工业大学博士学位论文评审意见”2份。

(1) 在研究生院主页“博士学位相关下载”栏(<http://hitgs.hit.edu.cn/news/main.asp?cataid=A005700010004&typeid=3>)下载、填写并用A4纸打印(共3页，封页单面打印，内页双面打印)；

(2)“评审意见”封页及内页中，需电子录入论文题目、研究方向和所属学科(二级学科)，论文编号和送审日期由学位办负责填写。

5. 与博士学位论文工作直接相关的已发表或已正式录用的最具代表性的学术文章1篇(一式两份，双面打印或复印)。

6. 攻读学位期间所发表的学术论文清单(由研究生系统录入并打印)，要求导师、院(系)主管领导签字齐全。

7. 发表论期刊原件或论文检索证明(会议论文必须携带检索证明)。

学位办在每周二、周四受理博士学位论文送审事宜，办公地点为行政楼318室。为保证校学位会、各分委会的学位审核工作，在每次假期、校学位委员会会议前后各一周内不受理博士学位论文送审(校学位会每年4次，一般为1月、7月第二周周四及4月、10月第四周周四)。请在规定时间内提交论文及相关材料。

## **Regulations concerning the Evaluation of Overseas Doctoral Students' Dissertation**

Before sending their doctoral dissertation for expert evaluation, overseas doctoral students need to fill out a form entitled *HIT Name List of Examiners for Overseas Doctoral Students' Thesis*, which must be approved by the Academic Degrees Sub-committee. The following materials must be presented for examination:

1. A copy of the completed form of “*Pre-Viva Examination for Doctoral Degree*”.
2. A copy of the completed form of “*Name List of Examiners for Overseas Doctoral Students' Dissertation*”.
3. Two copies of doctoral dissertation bound in accordance with the binding rules of HIT.
4. Two copies of non-anonymous expert evaluation form “HIT Evaluation and Comments of Doctoral Dissertation”.

(1) Download at the website of HIT Graduate School as indicated below:  
**(<http://hitgs.hit.edu.cn/news/main.asp?cataid=A005700010004&typeid=3>)**  
Fill out the form and print it on A4 paper (3 pages, the cover should be one-side print, and the rest should be double-sides print).

(2) Regarding the “*Evaluation Form*”, the cover and the contents should be presented in electronic version, with the title of the doctoral dissertation, research direction, affiliated discipline (secondary discipline), number of the dissertation, and the date of sending for evaluation filled out by the Academic Degree Office.

5. Two copies of a published (or officially accepted) the most representative research paper closely related to the doctoral dissertation (double-sides print).

6. A list of research papers published during doctoral study (put them into postgraduate system, and print them out). The documents must be signed by your supervisor and the head of the school.

7. The original journals in which your papers are published, or the index certificate(s) (Conference papers must go hand in hand with the index certificates).

The Academic Degree Office deals with issues of doctoral dissertation evaluation on Tuesday and Thursday, and the office is located at the Room 318, HIT Administrative Building. To guarantee the evaluation work of HIT

Academic Degree Committee and the Sub-committee of Academic Degrees, in every vacation, a week before and after the Meeting of HIT Academic Degree Committee, no doctoral dissertation evaluation will be accepted (the Meeting of HIT Academic Degree Committee will be held four times a year, normally, Tuesday and Thursday in January, July or Thursday in the fourth week, April and October). Please submit doctoral dissertation and the related materials as scheduled.

## 关于博士研究生延期及提前答辩的相关手续

我校研究生学籍管理实施细则规定，博士研究生的培养年限一般为3-4年，最长5年；硕博、本博连读生一般为5年，最长6年。在一般培养年限之外答辩时须办理延期或提前答辩手续。

### 1. 延期答辩

博士生学习期限超过4年者（硕博连读生为5年），均应办理延期手续。延期答辩的博士生须填写《博士生延期申请》五联单并说明延期原因，经导师及院（系）负责人签字同意后报送研究生院学籍办备案。

为使学校更好的调整、安排博士生住宿等事宜，延期答辩的博士生应在第4学年结束前1个月到研究生院备案。

### 2. 提前答辩

少数学业优异、科研能力强，且学位论文质量高的博士生，在满足博士生应发表学术论文的要求后，可申请提前进行学位论文答辩，但提前期限不得超过一年。若提前时间在半年以内，须事先提出申请报告，经导师和所在学位分委员会同意，研究生院批准；若提前时间超过半年，则需在导师及学位分委员会同意后，由研究生院安排两位同行专家对申请者的博士学位论文进行评审，只有在两位专家的评审意见均为优秀时方可批准其提前进行答辩。专家评审费由学生或导师承担。

## **Procedures Concerning the Delay or Advance of Dissertation Defense for Doctoral Candidates**

According to the Administrative Measures for Graduate Student Records, the duration of doctoral candidates' program usually lasts 3 to 4 years, 5 years at most. Duration of master/PhD program or bachelor/PhD program usually lasts 5 years, 6 years at most. Doctoral candidates who apply for dissertation defense beyond the normal duration should go through the following procedures.

### **1. Delay of dissertation defense**

Doctoral candidates who cannot complete their dissertation defense within 4 years (5 years for doctoral candidates in master/PhD program) should apply for delay of dissertation defense. They should fill out the Application Form for Doctoral Candidates' Delay of Dissertation Defense, carefully explaining reasons for delay, and should submit it to the Graduate Student Records Office of the Graduate School for filing after being approved and signed by their supervisors and the deans or relevant schools (departments).

Doctoral candidates must complete these procedures 1 month before the end of the 4th year in order that boarding arrangements can be made by the university.

### **2. Advance of dissertation defense**

Doctoral candidates who excel in their research and studies, whose dissertations are of superb quality, whose qualifications meet the requirements can apply for dissertation defense a year prior to the designated time. Doctoral candidates who want to apply for dissertation defense half a year prior to the designated time should submit their application to their supervisors, the Academic Degrees Subcommittees and the Graduate School for approval. Doctoral candidates who want to apply for dissertation defense over half a year prior to the designated time should submit their application to their supervisors, the Academic Degrees Subcommittees for approval. Then the Graduate School will assign two experts to evaluate the dissertations and will approve their application only when both experts rate the dissertations as excellent. The fees for evaluation should be paid by the doctoral candidates themselves or their supervisors.

## 关于我校博士生申请博士学位最长年限的规定

根据我校《研究生学籍管理实施细则》及《关于调整我校在籍博士生培养年限的决定》的有关精神，对我校博士生申请博士学位的最长培养年限做如下规定。

1.培养年限超过 5 年仍未能答辩的博士研究生，将不再具有我校博士生学籍，不再享受学校对在籍博士生提供的相关条件，不能获得我校博士学位毕业证书。此类学生如在入学第五年末提交详实的《博士学位论文进展报告》，说明学位论文的进展情况及预期答辩时间，并能够在入学后 7 年内完成博士学位论文答辩，则通过相应的学位审核程序后，可获得我校博士学位证书。

2.如果博士生在入学后第 7 年内仍未完成博士学位论文答辩，将失去哈尔滨工业大学博士生资格，学校将不再接受其学位论文答辩申请。这部分人员中愿意继续攻读博士学位者，可根据我校《关于具有研究生毕业同等学力人员申请博士学位的规定》，重新以具有研究生毕业同等学力人员的身份申请博士学位。

## **Regulations Concerning the Maximum Duration of Doctoral Programs**

The following regulations are made according to the Administrative Measures for Graduate Student Records and the Decisions Concerning the Adjustment of the Duration of Doctoral Programs in HIT.

1. Doctoral candidates who fail to defend their dissertation within 5 years will lose their student records, will not enjoy relevant favorable requirements provided by the university for Doctoral candidates and will not be conferred doctoral diplomas. However, they can still be conferred doctoral degrees after passing relevant qualifications evaluation, if they can submit a detailed Doctoral Dissertation Progress Report describing the process of dissertation and expected date of oral defense by the end of the 5th year, complete dissertation defense within 7 years

2. Doctoral candidates who fail to complete dissertation defense within 7 years will lose their status as doctoral candidates of HIT and will not be considered in application for dissertation defense. If they still want to do doctoral degrees, they can apply for doctoral degrees as candidates with equivalent graduate education background.

# 关于博士研究生在攻读学位期间 发表学术论文的要求

《中华人民共和国学位条例》和《中华人民共和国学位条例暂行实施办法》规定：博士学位论文应当表明作者具有独立从事科学研究工作的能力，并在科学或专门技术上做出创造性的成果。博士研究生在攻读学位期间发表论文的数量和水平是研究生培养质量和学位授予质量的重要标志之一。我校各学位分委会对博士研究生在攻读学位期间发表学术论文的基本要求如下：

## 1. 数学学科学位分委会

在 SCI 检索源期刊上至少发表两篇论文。

数学学科自 2006 年春季入学的博士研究生开始执行；统计学学科自 2014 年秋入学的博士研究生开始执行。

## 2. 物理学学科学位分委会

(1) 光学、凝聚态物理、分子与原子物理研究方向：在物理领域的国际刊物 SCI 检索源期刊上发表 1—3 篇论文，发表论文的影响因子之和大于 3.0。

(2) 粒子物理与原子核物理研究方向：在 SCI 检索源期刊上发表 1—3 篇论文，发表论文的影响因子之和大于 1.5。发表的论文总数在 4 篇以上。

(3) 激光雷达技术等应用研究方向：在 SCI 检索源期刊和 EI 检索源期刊上发表至少 2 篇论文，其中至少有 1 篇在 SCI 检索源期刊发表。

## 3. 力学学科学位分委会

应满足下述条件之一：

(1) 3 篇以上学术期刊论文，其中至少 1 篇为 SCI 收录论文，1 篇为外文形式发表的论文。

(2) 2 篇以上学术期刊论文，其中至少 1 篇为 SCI 收录论文，另有 1 篇 EI 收录的国际会议论文。

(3) 2 篇以上学术期刊论文，其中至少 1 篇为 SCI 或 EI 收录论文，1 篇为外文形式发表的论文，另有 1 项授权发明专利。专利的署名要求按照学校有关发表论文的署名要求执行。

(4) 发表的 SCI 收录论文影响因子之和大于 2。  
本规定自 2012 年入学的博士研究生开始执行。

#### 4. 机械工程学科学位分委会

机械工程学科、航空宇航制造工程学科博士研究生发表论文的要求为以下 3 项之一：

(1) 在本学科领域重要国际学术刊物上发表 1 篇学术论文（重要国际学术刊物指影响因子在 5.0 以上的本领域国际学术刊物）。

(2) 在 SCI 检索的刊物或检索到的国际会议上发表 2 篇学术论文（其中至少一篇应发表在国际学术刊物上）。

(3) 在 SCI 和 EI 检索的刊物或检索到的国际会议上发表 3 篇及以上学术论文（3 篇中至少一篇为 SCI 源或检索到的文章，且其中至少一篇应发表在国际学术刊物上）。

此规定从 2015 年 3 月 1 日起对所有申请预答辩的学生开始实行。

#### 5. 仪器科学与技术学科学位分委会

发表的与本学位论文创新点密切相关的学术论文应满足以下三项基本要求之一：

(1) 在本学科领域权威国际学术刊物上发表一篇学术论文（见附录 1-1，并包括 SCI 影响因子高于附录 1-1 所列刊物的相关学科的学术刊物）。

(2) 在 SCI、EI 检索的本学科领域重要国际学术刊物或权威国际学术年会论文集（见附录 1-2），或国内 SCI、EI 源刊物（不包括大学学报）上发表两篇学术论文，其中至少一篇发表在重要国际学术刊物上。

(3) 在国内 SCI、EI 源刊物（若发表在大学学报上，仅限附录 1-3 所列学报）或本学科领域权威国际学术年会论文集（见附录 1-2）上发表的学术论文总数不少于 3 篇，其中至少有 1 篇发表在刊物上，且至少有 1 篇用外文撰写。

授权的中国发明专利（排序在前二名，若排名第二，导师应是第一名）等同于国内 SCI、EI 期刊论文；外国授权或 PCT 授权的国际发明专利等同于重要国际 SCI 论文。博士生获国外授权或 PCT 授权发明专利的同时，还必须发表 1 篇《发表学术论文规定》中（2）中所规定的论文。

本规定适用于 2010 年以后（含 2010 年）入学的博士生。

## 6. 材料科学与工程学科学位分委会

(1) 材料学学科、材料物理与化学学科、信息功能材料与器件学科、空间材料与加工学科满足下列条件之一：

①在 SCI 检索源期刊上发表论文 3 篇以上（含 3 篇），其中要有 2 篇发表在外文刊物上；

②发表 SCI 论文影响因子总和大于 4.5（含 4.5）。

(2) 材料加工工程学科满足下列条件之一：

①在 EI 检索源期刊上发表论文 3 篇以上（含 3 篇），或在 SCI 检索源及 EI 检索源期刊上发表论文 2 篇以上（必须有 1 篇外文 SCI 检索源论文）；

②发表 SCI 检索论文影响因子总和大于 3.0（含 3.0）。

本规定自 2013 年入学的博士研究生开始执行。

《Advanced Materials Research》和《Materials Science Forum》只以核心期刊论文对待，不以学科基本要求的 EI 文章对待。（从 2014 年 5 月开始执行）

## 7. 电气工程学科学位分委会

在论文题目相关领域的 SCI 或 EI 检索源的国内外学术期刊或国际会议上，发表 4 篇(含 4 篇)以上学术论文，其中至少有一篇发表在 SCI 检索源的学术刊物上。

本规定适用于 2012 年秋季以后入学的博士生。

## 8. 电子科学与技术及光学工程学科学位分委会

**物理电子学学科满足下列要求之一：**

(1) 在本学科领域重要国际学术刊物（影响因子 $\geq 2.0$ ）上发表一篇学术论文（见附件 2）。

(2) 在 SCI、EI 检索的学术刊物或会议论文集上发表两篇学术论文，其中至少一篇发表在国际学术刊物上（不包含 SPIE）。

(3) 在核心及核心以上刊物（含被 ISTP 检索的国际会议论文集）上发表的学术论文总数不少于三篇，其中至少有两篇论文发表在 SCI 检索源刊物上，并且至少有一篇是用外文撰写的。

(4) 在 EI 检索源刊（含被 EI 检索的国际会议论文集）上发表的学术论文总数不少于六篇（含《哈尔滨工业大学学报》中、英文版 1 篇），其中至少有一篇是用外文撰写的。

### **微电子学与固体电子学学科满足下列要求之一：**

(1) 在 SCI、EI 检索的国际学术刊物上或国际会议论文集上至少发表两篇学术论文（一篇发表在学术刊物上），其中有一篇被 SCI 收录。

(2) 在 EI 检索的国际学术刊物上或国际会议论文集上至少发表四篇学术论文，其中有两篇发表在 EI 检索源期刊上。

本规定从 2011 年春季学期入学的博士生开始实施。

### **光学工程学科应满足以下三项基本要求之一：**

(1) 在本学科领域重要国际学术刊物上发表一篇学术论文(见附件 3)。

(2) 在 SCI、EI 检索的国际学术刊物或国际会议论文集上发表两篇学术论文，其中至少一篇发表在国际学术刊物上。

(3) 在核心及核心以上刊物（含被 ISTP 检索的国际会议论文集）上发表的学术论文总数不少于三篇，其中至少应有一篇文章在《哈尔滨工业大学学报》（中、英文版）和《材料科学与工艺》三种学术刊物以外的 EI 检索源期刊上发表，并且至少有一篇是用外文撰写的。

### **9. 控制科学与工程学科学位分委会**

发表论文数量 3 篇以上，其中至少 1 篇是英文学术论文，同时至少 1 篇 SCI 期刊论文或 2 篇 EI 期刊论文。

本规定自 2014 年 9 月入学的博士生开始执行。

### **10. 计算机科学与技术学科学位分委会**

发表论文必须满足下列条件之一：

条件一：本领域重要国际期刊论文 1 篇[注 1]；

条件二：各类国内外期刊与国际会议论文总数不少于 3 篇，同时满足以下条件：

(1) 1 篇或以上 SCI 国际期刊[注 2]；

(2) 其他发表的论文必须是国内一级期刊或 EI 检索的国内外期刊[注 3]，在学院指定的会议列表或中国计算机学会推荐列表之中的国际会议论文。

**注 1：** 本领域重要国际期刊指：经学院认可的 ACM Transaction on XX, IEEE Transaction on XX 等期刊或经学院认可的 SCI 因子 2.0（含）以上的国际期刊。

**注 2：** 包括 ESI(Essential Science Indicators)中所列国际学术期刊、中国

计算机学会推荐国际学术刊物、或者经学院认定的相当水平国际学术期刊。

**注 3:** 至少有 1 篇为《哈尔滨工业大学学报》（中、英版）以外的 EI 检索源期刊论文。

自 2012 年入学博士生开始执行（详见计算机学院相关通知）。

#### 11. 土木工程与力学学科学位分委会

需满足以下三项要求之一：

(1) SCI 检索论文 1 篇，且期刊影响因子大于 0.6。

(2) SCI 检索论文 2 篇，均为期刊论文。

(3) SCI 检索期刊论文（正刊）1 篇；EI 检索期刊论文至少 1 篇（不包括《哈尔滨工业大学学报》（中、英文版）和《材料科学与工艺》等三种学术刊物）；核心及核心以上刊物（含 SCI、EI、ISTP 检索的国际会议论文集）学术论文总数至少 1 篇。所发表论文中，期刊论文不少于 2 篇。

注：(1)至少有 1 篇用外文撰写；

(2) 1 项发明专利可等效为 1 篇 EI 检索源刊论文，多项发明专利只按 1 篇论文计算。

本规定自 2011 级秋季入学的博士研究生开始执行。

#### 12. 市政与暖通学科学位分委会

在核心及核心以上刊物（含 ISTP 检索的国际会议论文集）上发表学术论文总数不少于三篇，其中至少有一篇是用外文撰写，且至少有一篇发表在学科认可的国内学术刊物中，此外还要满足以下条件之一：

(1) SCI 源 2 篇；

(2) SCI 源 1 篇，EI 期刊被检索文章 2 篇（不含会议论文集和高校学报）；

(3) SCI 源 1 篇，EI 期刊被检索文章 1 篇（不含会议论文集），同时满足以下条件之一：

①申请发明专利 1 项（已授权且排序前两名，如学生排序第二第一发明人应为导师）；

②在学科认可的国内学术刊物中至少发表学术论文 2 篇。

**注:**市政工程学科及城市水资源学科认可的国内学术刊物为：《中国给水排水》、《给水排水》、《环境科学》、《环境科学学报》、《中国环

境科学》、《环境工程学报》六种学术刊物；供热、供燃气、通风及空调工程学科认可的国内学术刊物为：《暖通空调》、《制冷学报》、《煤气与热力》、《建筑热能通风空调》、《建筑科学》五种学术刊物。

本规定自 2014 年春季入学的博士研究生开始执行。

### 13. 化学工程与技术学科学位分委会

在核心及核心以上刊物（含 ISTP 检索的国际会议论文集）上发表（或录用）的学术论文总数不少于 3 篇，并且至少 1 篇为外文撰写的论文。同时，还应满足下列条件之一：

（1）至少 1 篇为 SCI 论文，但影响因子不小于 1.5；

（2）至少 2 篇为 SCI 论文（其中至少 1 篇影响因子不小于 0.5）；

（3）至少 1 篇为 SCI 论文，另有 2 篇 EI（或 ISTP）论文；

（4）至少 1 篇为 SCI 论文，另有一项被受理的发明专利（应与博士学位论文直接相关，且在排名中位于学生发明者的第一名）；

（5）至少 1 篇为 EI 论文（哈工大三种期刊之外）。此项只适用于保密的博士学位论文，应有学校科研处或所在单位科研管理部门出具的保密证明。

对境内外兼职博士生导师指导博士生发表学术论文，除符合上述规定外，还应满足下列条件之一：

（1）至少 1 篇 SCI 论文，影响因子在 2.0 以上；

（2）兼职博士生导师与本系教师有国家级项目或国防重大项目的合作。

本规定自 2007 年 1 月 1 日起开始执行（以答辩时间为准）。

### 14. 交通运输工程学科学位分委会

至少在核心及核心以上学术期刊上发表 3 篇论文，并满足如下规定：

（1）发表一篇与所研究方向有关的国际学术期刊论文（不包含国内期刊英文版）或本学科认可的境外高水平国际会议论文（以本学科提交的高水平国际学术会议目录为准）。

（2）发表一篇与所研究方向有关的 SCI 检索的期刊论文或两篇 EI 检索的期刊论文（以 2009 年 EI 收录的国内核心期刊名单为准）。

发表在各院校学报（EI 源）的文章等同于一般核心期刊论文。

本规定自 2009 年春季入学的博士研究生开始执行。

## 15. 环境科学与工程学科学学位分委会

在核心及核心以上刊物（含 ISTP 检索的国际会议论文集）上发表学术论文总数不少于三篇，并且至少有一篇是用外文撰写的，同时还要满足以下条件之一：

（1）SCI 源 1 篇。

（2）EI 期刊被检索文章 2 篇（不含会议论文集和高校刊物）。

（3）EI 期刊被检索文章 1 篇（不含会议论文集和高校刊物），同时满足以下条件之一：

①申请发明专利 1 项（已授权且排序前两名，导师为第一发明人）；

②在《环境科学》《环境科学学报》《中国环境科学》三种学术刊物中至少发表论文 2 篇；

（4）对于环境科学与工程学科中“环境规划与管理”方向博士生，还允许在《中国软科学》、《管理科学学报》、《管理工程学报》、《中国管理科学》、《经济研究》、《哲学研究》、《中国环境科学》、《环境科学学报》、《自然资源学报》九种学术刊物中至少发表论文 3 篇。

本规定自 2014 年春季入学的博士研究生开始执行。

## 16. 动力工程与工程热物理学科学学位分委会、信息与通信工程科学学位分委会、航空宇航科学与技术学科学学位分委会

应满足以下三项基本要求之一：

（1）在本学科领域重要国际学术刊物上发表一篇学术论文（见附件 4 至附件 6）。

（2）在 SCI、EI 检索的国际学术刊物或国际会议论文集上发表两篇学术论文，其中至少一篇发表在国际学术刊物上。

（3）在核心及核心以上刊物（含被 ISTP 检索的国际会议论文集）上发表的学术论文总数不少于三篇，其中至少应有一篇文章在《哈尔滨工业大学学报》（中、英文版）和《材料科学与工艺》三种学术刊物以外的 EI 检索源期刊上发表，并且至少有一篇是用外文撰写的。

动力工程与工程热物理学学科申请并被受理的发明专利（排序在前三名）等同于核心期刊论文。

信息与通信工程学科申请并被受理的发明专利（排名中位于学生发明者的第一名）等同于核心期刊论文。

## 17. 管理类学科学位分委会

### 管理类学科满足以下要求:

在核心及核心以上刊物(含被ISTP检索的国际会议论文集)上发表学术论文总数不少于三篇,其中至少一篇发表在SSCI、SCI、EI检索源期刊[注]上,并且至少有一篇用外文撰写。

注:SSCI、SCI、EI检索源期刊以哈工大图书馆确认的期刊目录为准,不包含《哈尔滨工业大学学报》(中、英文版)和《材料科学与工艺》三种学术刊物。期刊认定见《关于更新管理类学科博士研究生发表学术论文认定期刊的通知》校学位[2008]7号文件。

### 社会学学科博士生发表文章要求:

在核心及核心以上刊物上发表学术论文总数不少于三篇,其中至少一篇为发表在SSCI、SCI、EI检索源期刊或下列期刊上的高水平论文:《中国社会科学》、《社会学研究》、《哲学研究》、《社会》、《中国人口科学》、《统计研究》、《青年研究》、《科学学研究》、《自然辩证法研究》、《公共管理学报》、《学术月刊》、《社会科学研究》、《国外社会科学》、《江苏社会科学》、《社会科学》、《情报学报》、《社会科学战线》、《城市发展研究》、《光明日报(理论版)》。

### 注:

(1)核心期刊包括:中国人文社会科学核心期刊(中国社会科学院),中文核心期刊(北京大学),中文社会科学引文索引(CSSCI)来源期刊(南京大学)和中国科学评价研究中心(RCCSE)中国核心学术期刊(武汉大学)。

(2)发表在核心期刊上的学术论文如果被《新华文摘》、《中国社会科学文摘》、《社会学文摘》和《人大复印资料》转载,可视为高水平论文。

## 18. 建筑学学科学位分委会

在学院认定的国内外学术期刊上至少发表与博士学位论文内容有关的有效学术论文3篇。其中,至少有1篇论文发表在EI、SCI、SCIE、SSCI、A&HCI等重要检索源期刊或其替代期刊上(具体要求详见《哈尔滨工业大学建筑学学科博士研究生发表学术论文的规定》)。

## 19. 生物医学工程学科学位分委会

预答辩前发表论文应满足学科发表文章的具体要求。

**(1) 偏基础研究博士生发表论文要求**

应满足以下两项要求之一：

①在本学科领域重要学术刊物(SCI 检索)上发表学术论文的影响因子之和 $\geq 3.0$ 。

②发表 SCI 检索论文总数大于 3 篇（含 3 篇）。

**(2) 偏工程博士生发表论文要求**

应满足以下三项要求：

①发表论文总数大于 3 篇（含 3 篇），其中，至少应有 2 篇发表在学术刊物上。

②论文中至少应有 2 篇 EI 检索论文或 1 篇 SCI 检索论文。

③至少有 1 篇用外文撰写的论文并发表在外文期刊(含国内的外文版期刊，不含中文期刊上刊登的外文文章)或被 ISTP 检索到的国际会议上。

本规定自 2009 年 7 月及以后进行答辩的博士生开始执行。

**注：**附件 1-1 至附件 6 请在以下网址查询：<http://hitgs.hit.edu.cn/>学位管理页面下《关于我校博士研究生在攻读学位期间发表学术论文的要求》中相应的附件 1-1 至附件 6。

## **Requirements concerning Publication of Academic Papers of Doctoral Candidates**

According to Regulations of the People's Republic of China on Academic Degrees and Interim Rules for Implementation of the Regulations of the People's Republic of China on Academic Degrees, doctoral dissertations should give evidence of their author's capability to conduct scientific research independently and to produce creative results. The quantity and quality of academic papers being published by doctoral candidates is an important criterion for the quality of education and conferring of doctoral degrees. The following are requirements concerning the publication of academic papers by doctoral candidates in HIT.

### **1. The Sub-Academic Degrees Committee of Mathematics**

Doctoral candidates within the discipline of mathematics should have at least 2 academic papers published in SCI journals.

These requirements apply to doctoral candidates in mathematics admitted in the spring semester of 2006 and later, and doctoral candidates in statistics admitted in the spring semester of 2014 and later.

### **2. The Sub-Academic Degrees Committee of Physics**

Doctoral candidates whose research interests involve optics, condensed matter physics and molecular and atomic physics should have 1 to 3 academic papers published in SCI journals, with the sum of impact factor exceeding 3.0.

Doctoral candidates whose research interests involve particle physics and nuclear physics should have 1 to 3 academic papers published in SCI journals, with the sum of impact factor exceeding 1.5. The total number of academic papers published should be no less than 4.

Doctoral candidates whose research interests involve applied research such as laser radar technology should have at least 2 academic papers published in SCI or EI journals, at least 1 of which should be published in SCI journals.

### **3. The Sub-Academic Degrees Committee of Mechanics**

Doctoral candidates within the discipline of mechanics should meet one of the following requirements:

(1) Doctoral candidates should have no less than 3 academic papers published, with at least one published in SCI/EI journals, and one written in a foreign language.

(2) Two academic papers are published, with at least one published in

SCI/EI journals, and one published in EI international conference proceedings.

(3) More than 2 academic papers are published, with at least one published in SCI/EI journals, and one written in a foreign language. Additionally, 1 patent is authorized, and the authorship should observe the related regulations of HIT.

(4) The sum of influential factor of the SCI papers should exceed 2.0.

These requirements apply to doctoral candidates enrolled in the year of 2012 and onwards.

#### **4. The Sub-Academic Degrees Committee of Mechanical Engineering**

Doctoral candidates within the discipline of mechanical engineering, aero-astronautic manufacturing should meet one of the following three requirements:

(1) One paper is published in a key international journal (The influential factor exceeds 5.0) in the field of mechanical engineering.

(2) Two academic papers are published in SCI journals or ISTP international conference proceedings (with at least one published in international journal).

(3) More than 3 (including 3) academic papers are published in SCI/EI journals or ISTP international conference proceedings, with at least one published in SCI journal, and at least one published in international journal.

These regulations come into from March 1<sup>st</sup>. 2015 for those doctoral candidates who apply for pre-defense.

#### **5. The Sub-Academic Degrees Committee of Instrument Science and Technology**

Academic papers published by doctoral candidates within the discipline of instrument science and technology which are closely related to the innovative points in their theses should meet one of the following three basic requirements: one academic paper should be published in a well-known international journal within the discipline (see Appendix 1-1, also include those academic journals beyond the list of Appendix 1-1 which have an impact factor that exceeds those journals covered in Appendix 1-1); two academic papers should be published in key international academic journals SCI or EI within the discipline, or in authoritative international academic annual conference proceedings (see Appendix 1-2), or SCI or EI journals in China (excluding university journals), at least one of which should be published in key international academic journals; no less than three academic papers should be published in SCI or EI journals in

China (only those university journals listed in Appendix 1-3 are acceptable for which published in university journals) or in international academic annual conference proceedings (see Appendix 1-2), at least one of which should be published in academic journals and at least one of which should be written in a foreign language.

Patents authorized by China (it must rank among the first two places and if it ranks the second, the first should be the doctoral candidate's PhD supervisor) are equivalent to academic papers published in SCI or EI journals in China. Patents authorized by a country other than China or by PCT are equivalent to papers published in key international SCI journals. Doctoral candidates with patents authorized by a country other than China or by PCT must publish 1 academic paper stipulated in Requirements Concerning the Publication of Academic Papers.

These requirements apply to doctoral candidates admitted after 2010 (including 2010).

## **6. The Sub-Academic Degrees Committee of Materials Science and Engineering**

(1) Doctoral candidates within the discipline of materials science, the discipline of materials physics and chemistry, information functional materials and devices, and space materials and manufacturing should meet one of the following requirements:

① No less than 3 (including 3) academic papers are published in SCI journals, 2 of which should be published in foreign journals;

② The sum of influential factor of the SCI papers should exceed 4.5 (including 4.5).

(2) Doctoral candidates within the discipline of materials manufacturing Engineering should meet one of the following requirements:

① No less than 3 (including 3) academic papers are published in EI journals, or more than 2 academic papers published in SCI/EI journals (1 must be published in SCI journals in foreign language).

② The sum of influential factor of the SCI papers should exceed 3.0 (including 3.0).

These requirements apply to doctoral candidates enrolled in the year of 2013 and onwards.

Papers published in *Advanced Materials Research* and *Materials Science Forum* are only treated as core journal papers, which are not viewed as EI papers - meeting the basic requirements of the discipline (These requirements come into force in May of 2014 and onwards).

### **7. The Sub-Academic Degrees Committee of Electrical and Electronic Engineering**

Doctoral candidates within the discipline of Electrical and Electronic Engineering should have more than 4 academic papers (including 4) published in the academic journals at home and abroad. The papers published should be related to their doctoral thesis, and among them, 1 is published in SCI journals.

These requirements apply to doctoral candidates enrolled in the autumn semester of 2012 and onwards.

### **8. The Sub-Academic Degrees Committee of Electronic Science and Optical Engineering**

#### **The discipline of physical electronics**

Doctoral candidates within the discipline of physical electronics should meet one of the following requirements.

(1) Candidates should have 1 academic paper published in key international academic journals (with influential factor of no less than 2) (for specific information, see Appendix 2).

(2) Candidates should have 2 academic papers published either in SCI or EI journals or in conference proceedings, with at least one of which must be published in international academic journals (not including SPIE).

(3) Candidates should have no less than 3 academic papers published in core academic journals (including ISTP international conference proceedings), with at least 2 of which must be published in SCI journals, and with at least 1 of which must be written in a foreign language; or have no less than 6 academic papers published in EI journals (including EI international conference proceedings), including 1 published in *Journal of Harbin Institute of Technology* (English or Chinese edition), with at least one of which must be written in a foreign language.

#### **The discipline of microelectronics and solid-state electronics**

Doctoral candidates within the discipline of microelectronics and solid-state electronics should meet one of the following requirements.

(1) Candidates should have at least 2 academic papers published in

international SCI or EI journals or international conference proceedings (with one of them being published in academic journals), one of which must be published in SCI journals.

(2) Candidates should have at least 4 academic papers published in international EI journals or international conference proceedings, two of which must be published in EI journals.

These requirements apply to doctoral candidates admitted in the spring semester of 2011 and later.

#### **The discipline of optical engineering**

Doctoral candidates within the discipline of optical engineering should meet one of the following requirements:

(1) Candidates should have 1 academic paper published in key international academic journals (for specific information, see Appendix 3);

(2) Candidates should have 2 academic papers published in SCI or EI international journals or international conference proceedings, with at least one of which published in international academic journals;

(3) Candidates should have no less than 3 academic papers published in core academic journals (including ISTP international conference proceedings), with at least 1 of which published in EI journals except *Journal of Harbin Institute of Technology* (English or Chinese edition) and *Journal of Materials Science and Technique*, and at least 1 written in a foreign language.

#### **9. The Sub-Academic Degrees Committee of Control Science and Engineering**

Doctoral candidates within the discipline of control science and engineering should have more than 3 academic papers published, among them 1 is written in English. At the same time, 1 academic paper is published in SCI journal, or 2 papers are published in EI journals.

These requirements apply to doctoral candidates enrolled in the autumn semester of 2014 and onwards.

#### **10. The Sub-Academic Degrees Committee of Computer Science and Engineering**

Doctoral candidates within the discipline of computer science and engineering should meet one of the following requirements.

(1) Candidates should have 1 academic paper published in key international academic journals within the discipline (Notice 1)

(2) Candidates should have at least 3 academic papers published in national, international journals or international conference proceedings. At the same time, the followings are also needed to meet. One or more of them must be published in international SCI journals (notice 2). Others must be published in first-class national journals or EI journals (notice 3) or international conferences thesis in the conference list designated by department or recommended by China Computer Federation.

#### **Notice 1**

Key international academic journals within the discipline included journals accepted by department such as ACM Transaction on XX, IEEE Transaction on XX or international journals with the SCI impact factor over 2.0 (including 2.0).

#### **Notice 2**

It includes international academic journals listed by ESI, international academic journals recommended by China Computer Federation or international academic journals equivalent to those admitted by the department.

#### **Notice 3**

One of academic papers must be published in EI journals (excluding Journal of Harbin Institute of Technology (English or Chinese edition)).

These requirements apply to doctoral candidates enrolled in the year of 2012 and onwards (for more details see the announcements of the School of Computer Science and Engineering).

### **11. The Sub-Academic Degrees Committee of Civil Engineering and Mechanics**

Doctoral candidates within the discipline of civil engineering and mechanics should meet one of the following basic requirements.

(1) Candidates should have 1 academic paper published in SCI journals with an influential factor over 0.6.

(2) 2 academic papers are published in SCI (journal articles).

(3) 1 academic paper is published in SCI journals; At least one paper is published in EI [excluding *Journal of Harbin Institute of Technology* (English or Chinese edition), and *Journal of Material Science and Technique*]. At least one paper is published in core journals or above (including SCI, EI or ISTP international conference proceedings). Out of the total, at least 2 journal papers are published.

Note: (1) At least 1 academic paper is written in a foreign language.

(2) 1 patent is equivalent to 1 EI journal article, and if the candidate have

more than 1 patent, only 1 is counted.

These requirements apply to doctoral candidates enrolled in the autumn semester of 2014 and onwards.

## **12. The Sub-Academic Degrees Committee of Municipal Engineering, Heating and Ventilation**

Doctoral candidates within the discipline of municipal engineering, heating and ventilation should have no less than 3 academic papers published in core academic journals (including ISTP international conference proceedings), with at least one of which written in a foreign language. At least 1 academic paper is published in the domestic journal approved by the discipline. Moreover, they must meet one of the following requirements.

(1) 2 academic papers are published in SCI journals.

(2) 1 academic paper is published in SCI journals, and 2 papers in EI journals (excluding papers in conference proceedings or university journals);

(3) 1 academic paper is published in SCI journal, and 1 paper in EI journal (excluding papers in conference proceedings). Meanwhile they must meet one of the following requirements.

① 1 patent (authorized and ranked as the second, with the first being his / her supervisor) ;

② At least 2 academic papers are published in the domestic journals approved by the discipline.

Note: Academic journals approved by the disciplines of Municipal Engineering and Urban Water Resources are listed as follows: 《*China Water Supply and Drainage*》 《*Water Supply and Drainage*》 《*Environmental Science*》 《*Journal of Environmental Science*》 《*Environmental Science in China*》 《*Journal of Environmental Engineering*》 ; Academic journals approved by the disciplines of Heating, Gas Supply, Ventilation and Air-Conditioning are displayed as follows: 《*Heating, Ventilation and Air-Conditioning*》 《*Journal of Refrigeration*》 《*Journal of Gas and Heating*》 《*Thermal Energy, Ventilation and Air-Conditioning in Architecture*》 , and 《*Science of Architecture*》 .

These requirements apply to doctoral candidates enrolled in the spring semester of 2014 and onwards.

## **13. The Sub-Academic Degrees Committee of Chemical Engineering and Technology**

Doctoral candidates within the discipline of chemical engineering and technology should have no less than 3 academic papers published in core academic journals (including ISTP international conference proceedings), with at least 1 of which written in a foreign language. They should also meet one of the following requirements: have no less than 1 academic paper published in SCI journals, with impact factor no less than 1.5; have no less than 2 academic papers published in SCI journals (with at least 1 of them whose impact factor is no less than 0.5); have no less than 1 academic paper published in SCI journals, plus 2 academic papers published in EI (or ISTP) journals; have no less than 1 academic papers published in SCI journals, plus 1 patent (which is directly related to the candidate's doctoral dissertation and which ranks first among student inventors); or have no less than 1 academic papers published in EI journals (except the 3 academic journals of HIT). This requirement only applies to confidential doctoral dissertations, who own the confidential proof issued by scientific research office .

Regarding the academic papers of the doctoral candidates under the guidance of international part-time supervisors, they should meet one of the following requirements apart from meeting the above-stated requirements: have no less than 1 academic paper published in SCI journals, with impact factor no less than 2.0; International part-time doctoral supervisors collaborate with faculty of relevant departments in national research projects or national defense key research projects.

These requirements came into force since January 1, 2007 (based on the time of defense).

#### **14. The Sub-Academic Degrees Committee of Traffic and Transportation Engineering**

Doctoral candidates within the discipline of traffic and transportation engineering should have 3 academic papers published in key academic journals and meet the following requirements. Candidates should have 1 academic paper published in international academic journals related to their fields of research (excluding the English version of academic journals in China) or in high level international conference proceedings (see the catalogue provided by the discipline). Candidates should have 1 academic paper published in SCI journals or 2 academic papers published in EI journals (see the list of EI journals in China in 2009).

An academic paper published in EI university journals is equivalent to 1

academic paper published in core academic journals.

These requirements apply to doctoral candidates admitted in the spring semester of 2009 and later.

### **15. The Sub-Academic Degrees Committee of Environmental Science and Engineering**

Doctoral candidates within the discipline of environmental science and engineering should have no less than 3 academic papers published in core academic journals (including ISTP international conference proceedings), with at least one of which written in a foreign language. They must also meet one of the following requirements.

(1) Candidates should have 1 academic paper published in SCI journals.

(2) Two academic papers are published in EI journals (excluding papers in conference proceedings or university journals)

(3) Candidates should have 1 academic paper published in EI journals(excluding papers in conference proceedings or university journals), and satisfy the one of the requirements below:1 patent (authorized and ranked as the first two, with their supervisors as the first author); at least 2 academic papers are published in 《*Environmental Science*》《*Journal of Environmental Science*》《*Environmental Science in China*》 .

(4) For doctoral candidates oriented towards Environmental planning and Management, at least 3 papers are allowed to be published in the journals below:

《*China Soft Science*》《*Journal of Management Science*》《*Journal of Management Engineering*》《*China Management Science*》《*Economic Research*》《*Philosophy Studies*》《*Environmental Science in China*》《*Journal of Environmental Science*》《*Journal of Natural Resources*》 .

These requirements apply to doctoral candidates enrolled in the spring semester of 2014 and onwards.

### **16. The Sub-Academic Degrees Committee of Power Engineering and Engineering Thermophysics, Sub-Academic Degrees Committee of Information and Communication Engineering, Sub-Academic Degrees Committee of Aeronautic and Astronautic Science and Technology**

Doctoral candidates within the discipline of the above-listed disciplines should meet one of the following requirements: 1) have 1 academic paper published in key international academic journals (for specific information, see

Appendix 4-6); 2) have 2 academic papers published in SCI or EI international journals or international conference proceedings, with at least one of which published in international academic journals; 3) or have no less than 3 academic papers published in core academic journals (including ISTP international conference proceedings), with at least 1 of which published in EI journals except *Journal of Harbin Institute of Technology* (English or Chinese edition) and *Journal of Materials Science and Technique*, and at least 1 written in a foreign language.

For doctoral candidates within the power engineering and engineering thermophysics who have applied for patent and whose applications have been accepted (ranking among the first 3), the patent is equally effective to academic paper published in core academic journals.

For doctoral candidates within the discipline of information and communication engineering who have applied for patent and whose applications have been accepted (ranking first among student inventor), the patent is equally effective to academic paper published in core academic journals.

#### **17. The Sub-Academic Degrees Committee of Management**

Doctoral candidates within the discipline of management should have no less than 3 academic papers published in core academic journals (including ISTP international conference proceedings), with at least 1 of which published in SSCI, SCI or EI journals, and with at least 1 of which written in a foreign language.

Note: For specific information about SSCI, SCI and EI journals refer to the catalogue made by the university library (excluding *Journal of Harbin Institute of Technology* (in English or Chinese edition) and *Journal of Materials Science and Technique*). Journals accepted can be seen in the *Notes on Updating the Acceptable Journals for Doctoral Candidates of Management Disciplines to Publish Academic Papers*, HIT Academic Degree Office [2008] No. 7 document.

#### **18. The Sub-Academic Degrees Committee of Architecture**

Doctoral candidates within the discipline of architecture should have no less than 3 effective academic papers published in core academic papers, with at least 1 of which published in EI,SCI,SCIE,SSCI,A&HCI journals or other substitute journal (referring to the regulations of school of Architecture concerning Doctoral candidates' Publication of Academic Papers).

## **19. The Sub-Academic Degrees Committee of Biomedical Science and Engineering**

Doctoral candidates within the discipline of Biomedical Science and Engineering should meet the following requirements before pre-defense of thesis.

(1) Doctoral candidates oriented towards basic research should meet one of the following two requirements. Candidates should have academic papers published in SCI journals with a total sum of influential factor reaching at least 3.0.

(2) Doctoral candidates oriented towards engineering should meet all three of the following three requirements. Candidates should have no less than 3 academic papers published, with at least two of which published in academic journals. Candidates should have at least 2 academic papers published in EI journals or 1 academic paper published in SCI journals. Candidates should have at least 1 academic paper written in a foreign language and published in a foreign journal (including foreign journals in China, excluding foreign articles published in Chinese journals), or in ISTP international conference proceedings.

These requirements apply to doctoral candidates who defend their theses in July, 2009 or later.

Note: For specific information about Appendix 1-1 to 6, visit the following website: degree management at <http://hitgs.hit.edu.cn/>.

# 对博士研究生发表学术论文要求的 补充说明

该补充说明适用于学校对博士生在读期间发表学术论文基本要求范围的论文。

## 一、关于论文的署名

1、博士生的学术论文需与博士学位论文密切相关，投稿前应经导师审阅同意。文章署名中一般应有导师或副导师，且博士生必须是所发表论文的第一或第二作者；在博士生作为第二作者时，第一作者应为导师或副导师。

2、在我校注册的博士研究生，学术论文第一作者及通讯作者的第一属名单位均应为哈尔滨工业大学。

3、联合培养的博士研究生、境外及校外兼职导师指导的博士研究生，至少在满足学校、本学科基本要求的学术论文中，其署名须符合前述 1、2 两条。

## 二、关于已录用待发表论文

1、对已被国外期刊录用的学术论文，在文章的DOI号确定后，即可认定为已刊出，在答辩资格审查时，需提交博士研究生已录用待发表文章情况确认表和出版社提供的校对稿；尚无 DOI 号和校对稿，但有其它录用证明的，需提交录用证明及博士研究生已录用待发表文章情况确认表，待有 DOI 号和校对稿后再发博士学位证书。

2、对已被国内期刊录用的学术论文，在提交有确定卷期号的录用通知书、博士研究生已录用待发表文章情况确认表及论文底稿后，可以进行博士学位论文答辩并提交学位委员会讨论。

3、对博士生发表的SCI及EI源刊论文，一般要求至少有1篇刊出后再申请答辩。特殊情况下，经校学位办审批后，可以申请博士学位论文答辩，但其学位论文不能提交各级学位会讨论。待论文正式刊出或在期刊网站上核查到后，其博士学位论文再提交学位分委员会讨论。

4、博士生发表的满足学校、学科基本要求的学术论文全部刊出后，学生方可领取博士学位证书。学位办对论文的实际发表情况进行核实，如发现与事实不符时，将在全校通报。情节严重的，将由校学位委员会讨论决

定对其处理的方式。

### 三、关于论文类别的认定

核心期刊的认定参照最新版的《中国科技期刊引证报告》（中国科技信息研究所出版）及《中文核心期刊要目总览》。国内 EI 收录期刊的认定参照最新公布的“EI 中国”中 EI 收录的中国期刊（核心）；国外 EI 收录期刊的认定参照最新公布的 Ei 收录出版物(PIE)数据库中 Y-Core 和 P-Partial 两项。SCI 收录期刊的认定参照 ISI 最新版的 JCR（期刊引用报告，从图书馆主页链接）；人文社会科学和管理科学学科的博士研究生发表学术论文的认定，参照图书馆网页“读者服务”栏目下“SCI 咨询”中的“Web of Science(SSCI、A&HCI)收录期刊一览”（社会科学引文索引和艺术与人文引文索引）。

## **Supplementary Requirements concerning Doctoral Candidates' Publication of Academic Papers**

These supplementary requirements apply to doctoral candidates' publication of academic papers.

### **I. Authorship**

1. Doctoral candidates' academic papers published should be closely related to their doctoral dissertations. Their papers should be submitted to their supervisors for approval before being published. Doctoral candidates should be lead-authors or co-authors of the academic papers. When their doctoral candidates are co-authors of the academic papers, the lead-authors should be their supervisors or co-supervisors.

2. For doctoral candidates registered at HIT, the first affiliations of the lead authors and correspondence authors of their academic papers should be HIT.

3. Doctoral candidates through collaborating programs, or under the supervision of overseas / part time advisors need to satisfy at least the basic requirements of HIT and their affiliated discipline, and their authorship must observe the aforementioned articles 1 and 2.

### **II. Papers in print**

1. For papers accepted by overseas journals, given that the DOI of the paper is determined and available online, the paper may be viewed as publication. When checking qualification, doctoral candidates must submit the letter of acceptance and the revised version of the publishing house; without DOI or the revised version, but with other evidence, doctoral candidates must submit the letter of acceptance and the related evidence, and their doctoral certificate will be issued after the DOI of their paper is determined and paper available online.

2. For papers accepted by overseas journals, doctoral candidates must submit the letter of acceptance with definite volume and issue number, and a copy of the paper in print. Doctoral candidates may apply for the viva voce examination, and submit to the Academic Degrees Committee for discussion.

3. For academic papers published in SCI or EI journals, doctoral candidates may apply for the viva examination after at least 1 of their academic papers has been published. Under special circumstances, however, doctoral candidates may apply for the viva examination with the approval of the Academic Degrees Committee of the university. Yet their thesis cannot be submitted to the

sub-Academic Degrees Committee for discussion. After their academic papers are published, or identified on the journal websites, their thesis can be submitted to the sub-Academic Degrees Committee for discussion.

4. Doctoral candidates can obtain their doctoral certificates only after all their academic papers to meet the basic requirements of the university or affiliated discipline are published. The Academic Degrees Office will check on the actual publication status of their academic papers. Any misconduct will be prosecuted university-wide. If the case is viewed as serious, the Senate of the university will discuss and decide how to prosecute.

### **III. Identification of types of academic papers published**

The identification of core academic journals is based on the Chinese S&T Journal Citation Reports (published by China Technological Information Research Institute) and the Guide to Core Academic Journals in China. For core Chinese journals included in EI journals, refer to the “EI China” most recently released. For foreign journals included in EI journals, refer to “Y-Core” and “P-Partial” of “PIE” most recently released. For journals included in SCI journals, refer to “JCR” of “ISI” most recently published. For information about humanities and social sciences as well as management science, refer to the catalogue of “Web of Science (SSCI, A&HCI).”

<http://202.118.250.135/reader1/reader.htm>

## 关于博士研究生在攻读学位期间 取得成果所有权的规定

哈尔滨工业大学有关科研成果的管理办法规定，哈尔滨工业大学的全体教职工及在校学生，执行学校任务或利用学校物资条件所完成的研究成果，其所有权属于学校。据此，特对哈尔滨工业大学博士研究生在攻读学位期间取得研究成果的所有权作如下规定。

哈尔滨工业大学正式录取的博士研究生，在攻读博士学位期间所取得的有关学术、工程技术方面成果的所有权归哈尔滨工业大学。博士生在结束学业离校前，应将一套完整的研究材料（包括搜集的参考文献，工作中建立的实验装置、实验数据、有关软件、各种技术文献等）交给导师或所在学科。博士研究生在毕业离校后，若发表与博士学位论文工作有关的学术文章，需事先与导师协商，并征得导师同意。若发表文章的主要内容是在博士学位论文工作期间取得的成果，文章的第一署名单位必须为哈尔滨工业大学[注]；若发表文章的部分内容为在博士学位论文期间取得的成果，则署名单位必须有哈尔滨工业大学。博士生在离校后，开发与博士学位论文工作有关的技术产品或申请与博士学位论文工作有关的专利等，则需与导师及学校有关部门共同协商成果所有权问题。对任何违反此规定，侵犯学校合法权益的行为，学校有权追究其法律责任。

注：若第一作者已在其它单位工作，文章可用以下方式署名：

第一作者姓名 1, 2

1— 哈尔滨工业大学； 2—（作者所在工作单位）。

## **Regulations of Intellectual Properties Ownership concerning Doctoral Candidates' Achievements during Their Doctoral Studies**

According to the regulations of intellectual properties ownership of HIT, for all staff and students of the university, the ownership of their research achievements which have been attained through utilizing HIT resources or executing the university tasks belongs to HIT. As such, the following ownership regulations concerning doctoral candidates are formulated:

For doctoral candidates enrolled through regular procedures, the ownership regarding academic and engineering achievements obtained during their doctoral studies belongs to HIT. Prior to their departure from the university, doctoral students ought to hand over to their supervisor or affiliated discipline a complete set of research materials (including the collected references, experimental devices, experimental data, related software, and varied technical literature). After their graduation, PhD students intend to publish their papers in relation to their doctoral theses, given that the main contents of the paper are the achievements attained during their doctoral studies, the authorship of the institution should be HIT (see the note below); if partial contents of the paper stem from their doctoral thesis, the authorship of the institution should contain HIT. After their graduation, PhD students develop products or apply for patents related to their doctoral thesis, they should consult their supervisor or the related departments for the ownership of intellectual properties. Anyone in violation of the above regulations or infringing on the legal rights of HIT will be prosecuted.

Note: Given that the first author has already worked in other institution, the authorship of the research paper may be written as follows: The first author 1, 2

- 1- Harbin Institute of Technology
- 2- the affiliated institution of the author.

# 学籍管理

**Status Management**



# 哈尔滨工业大学研究生学籍管理实施细则

为保证正常的教学与管理秩序，规范和加强研究生学籍管理，提高研究生的培养质量，依据教育部《普通高等学校学生管理规定》（中华人民共和国教育部第 21 号令），结合我校具体情况，制定本实施细则。本实施细则适用于经教育部批准录取的接受学历教育的研究生。

## 第一章 入学与注册

**第一条** 按国家招生规定录取的研究生新生，须持《哈尔滨工业大学攻读硕士/博士学位录取通知书》和学校规定的相关材料，按照规定日期到校办理入学手续。

**第二条** 因故不能按期入学者，应向所在学院请假，并报研究生院批准。事假不得超过一个月。未请假逾期两周不报到者或者假满逾期两周不报到者，除因不可抗力等正当事由以外，视为放弃入学资格。

**第三条** 新生入学后，学校在三个月内按照国家招生规定对其进行复查，复查合格者予以注册取得学籍；复查不合格者，学校将区别情况，予以处理，直至取消其入学资格。

凡属弄虚作假、徇私舞弊取得学籍者，一经查实，学校将取消其学籍。情节恶劣的，报请有关部门查究。

**第四条** 新生未经批准逾期一个月不交学费，不能取得学籍，视为放弃入学资格。

**第五条** 对身体条件不便或患有疾病的新生，经哈工大校医院（或其指定的二级甲等以上医院）诊断不宜在校学习、但在一年内可以治愈恢复的，最长可以保留入学资格一年。保留入学资格的新生应离校进行治疗，不具有学籍，不享受在校研究生待遇。在保留入学资格期限内经治疗康复，可在学期开学前向研究生院提出入学申请，经校医院或其指定医院复查合格后，重新办理入学手续。复查不合格者或者逾期不办理入学手续者，取消其入学资格。

**第六条** 春、秋季学期开学时，研究生应当按学校规定的日期返校，两周内持研究生证和学生卡办理注册手续，夏季学期延续春季学期注册结果。不能如期注册者，必须履行暂缓注册手续。

未按学校规定缴纳学费等其他不符合注册条件的不予注册。

家庭经济困难的研究生可以申请国家助学贷款或者其他形式资助，办理有关手续后注册。

逾期不办理注册手续者，除因不可抗力等正当事由外视为放弃学籍。

## 第二章 考核与成绩记载

**第七条** 研究生应当参加学校教育教学计划规定的课程和各种教育教学环节的考核，考核成绩记入成绩单，并归入本人档案。

**第八条** 研究生课程考核不合格，允许其重修。重修的研究生应参加下一次该门课程的学习和考核，考核成绩正常记载。

**第九条** 在特殊情况下，研究生选修课程考核不合格，可在导师指导下改修，但只能改修一次。

**第十条** 经重修或改修后仍有两门次课程考核不合格者，予以退学。

**第十一条** 研究生课程考核与成绩记载的具体事项按照《研究生课程考核及成绩记载管理办法》办理。

**第十二条** 研究生考试的考场纪律要求及考试作弊处理按照《关于研究生考场纪律及考试违纪处分的规定》办理。

## 第三章 考勤与请假

**第十三条** 研究生在学期间，由于个人外出求职、因病治疗或休养等情况不能参加教育教学计划规定的活动，应当事先请假并获批准。请假时间在两周以内，需经导师批准，院（系）登记备案；请假时间在两周以上、一个月以内，应由本人填写《哈尔滨工业大学研究生请假单》，经导师同意、院（系）主管领导批准，并报研究生院备案。一学期累计事假一般不得超过一个月，如有特殊情况请假时间累计超过一个月时，则需要延长在校学习时间。

**第十四条** 研究生参加由学校、院系组织或导师安排的外出实习、社会实践、科研工作、学术交流等校外活动的属因公外出。研究生因公外出由派出单位负责审批和管理，外出时间超过两周时需报研究生院备案。研究生因公外出办理程序按《哈尔滨工业大学研究生因公外出管理办法》执行。

**第十五条** 研究生未请假或请假未批准擅自离校不超过两周的，根据具体情况给予批评教育、警告、严重警告、记过或留校察看处分；擅自离校超过两周（含两周）的，予以退学。

在研究生请假或擅自离校期间，学校对其行为不承担任何法律责任。

**第十六条** 未经批准，研究生不按时参加教育教学计划规定的教学活动，缺课 1/4 及以上者，不能参加该门课程考核，成绩以“0”分记载，并视情节轻重给予批评教育直至纪律处分。

**第十七条** 研究生在学期间出国（境）留学、联合培养、参加学术会议、探亲等事宜按《研究生出国（境）管理工作的有关规定》办理。

#### 第四章 休学与复学

**第十八条** 研究生可以分阶段完成学业。研究生申请休学或者学校认为应当休学者，由学校批准后，可以休学。研究生休学时间一般以半年或一年为限，累计不得超过一年。休学期间，不享受在校研究生待遇，学校对其行为不承担任何法律责任。休学期间研究生患病的，其医疗费按校医院和国家有关规定处理。

**第十九条** 研究生有下列情况之一者，需申请休学：

- （一）因病不能在校学习者；
- （二）研究生因个人原因出国（境）者；
- （三）经批准，以非毕业生的身份创业或到用人单位全职工作者；
- （四）定向就业类研究生因单位工作需要中断学业者；
- （五）研究生因生育需要者；
- （六）因其他原因需中断学业者。

**第二十条** 研究生如因上述原因休学，由本人填写《哈尔滨工业大学研究生休学申请表》并附相关证明，经导师同意、所在院（系）及研究生院批准后，方可休学。定向就业类研究生申请休学还须经所在单位同意，出具单位同意证明。

**第二十一条** 研究生应当于休学期满前一个月提出复学申请，经导师同意、院（系）主管领导及研究生院备案后方可复学。因病休学者，需附二级甲等以上医院提供的健康证明，经校医院或其指定的医院复查合格后，准予复学。在规定时间内不办理复学手续者，视为放弃学籍，按退学处理。

**第二十二条** 研究生应征参加中国人民解放军（含中国人民武装警察部队），学校保留其学籍至退役后一年；保留学籍期间，不享受在校研究生待遇，学校对其不承担任何法律责任。

**第二十三条** 研究生休学期间违法乱纪情节严重的，取消其复学资格。

## 第五章 退学

**第二十四条** 研究生有下列情形之一者，应予退学：

- （一）在学校规定年限内未完成学业者；
- （二）经重修或改修后仍有两门次课程不合格者；
- （三）博士研究生综合考评成绩不合格者；
- （四）学位论文开题成绩不合格者；
- （五）学位论文中期检查成绩不合格者；
- （六）因业务能力等原因，难以坚持完成学业者；
- （七）未请假逾期两周不到校注册者；
- （八）擅自离校超过两周或假满逾期两周不返校者；
- （九）休学期满在学校规定期限内未提出复学申请或者申请复学经复查不合格者
- （十）保留入学资格期满在学校规定期限内未提出入学申请者；
- （十一）经过指定医院确认，身体条件不便、患有疾病或者意外伤害无法继续在校学习者；
- （十二）未按学校规定缴纳学费者；
- （十三）档案存在弄虚作假、缺少关键材料等情况者；
- （十四）学校认定应当退学者；
- （十五）在对学校和导师的工作不产生影响的情况下，本人申请退学者。

**第二十五条** 对研究生的退学处理，由校长办公会议研究决定。对退学的研究生，由学校出具退学决定书并送交本人，同时报学校所在地省级教育行政部门备案。

**第二十六条** 研究生退学的后续问题按下列办法处理：

- （一）入学前为在职人员的，档案、户口退回到原单位；
- （二）入学前为应届毕业生，因学业成绩不合格退学者，按已有毕业学历和就业政策可以就业的，由学校报黑龙江省毕业生就业部门办理相关手续；在学校规定期限内没有聘用单位的，档案、户口退回其家庭户籍所在地；
- （三）其他研究生，档案、户口退回其家庭户籍所在地；
- （四）因病退学者，由监护人或抚养人负责领回；

(五) 退学的研究生，自公布之日的下个月起停发奖助学金及各项津贴，并在一周内离校。

**第二十七条** 研究生对退学等处理有异议的，按照《哈尔滨工业大学学生校内申诉处理规定》办理。

**第二十八条** 退学的研究生，不得申请复学。

## 第六章 转学科与转学

**第二十九条** 硕士研究生不得转学科。如导师转换学科，硕士研究生仍应在录取时所在学科完成后续工作。

**第三十条** 博士研究生一般不得转学科。如因导师学科调整、导师变动或其他特殊原因需要转学科的，须由本人填写《博士研究生转学科（专业）申请表》，导师、院（系）主管领导签署意见，研究生院审批，并报省学位办审核备案，同时完成其他相关手续。

**第三十一条** 研究生一般不得转学。如因患病或者有特殊困难必须转学的，可以申请转学。由本人提出申请，经导师、院（系）主管领导及研究生院签署意见，学校同意、省教育厅审批并获得批准后，方可办理转学手续。须转户口的由转入地省级教育行政部门将有关文件抄送转入校所在地公安部门。

**第三十二条** 研究生有下列情形之一，不得转学：

- (一) 入学未满一学期的；
- (二) 招生时确定为定向就业类培养的；
- (三) 应予退学的；
- (四) 其他无正当理由的。

## 第七章 毕业、结业与肄业

**第三十三条** 研究生在校培养年限（不包含休学时间），全日制硕士生为2—3年，非全日制硕士生为2—4年；博士生为4年，最长5年；硕博连读、本博连读生一般为5年，最长6年。

**第三十四条** 硕士研究生有下列情形之一者，需要延长在校学习时间，延长时间根据具体情况确定，可为3个月、6个月或1年。

- (一) 硕士生在规定年限内未完成校内课程学习或学位论文不合格的；
- (二) 硕士生由于个人原因，一学期累计离校时间超过一个月的；
- (三) 学校认定应当延期的。

**第三十五条** 研究生在学校规定年限内，修完教育培养计划规定的内容，完成学位论文并通过学位论文答辩，德、智、体达到毕业要求，准予毕业并颁发毕业证书。

**第三十六条** 硕士生如有两门及两门以上学位课考试不及格，在达到两年基本培养年限时，须由院（系）组织专家组对其进行考评，根据具体考评结果，决定是否延长在校学习时间。

**第三十七条** 研究生在学校规定年限内，修完教育及培养计划规定内容，学位论文审查未通过或答辩未通过者，准予结业，由学校发给结业证书。

**第三十八条** 符合上述条件结业的研究生，两年以内可以再次向学校申请答辩。答辩合格后，在培养年限内的可换发毕业证书，毕业证书按答辩日期填写，符合学位授予条件的可授予相应学位。

**第三十九条** 学满一学年以上退学的研究生，学校发给肄业证书。

**第四十条** 学校按照高等教育学历证书电子注册管理制度，每年将颁发的毕（结）业证书信息报上级主管部门注册，并由上级主管部门报国务院教育行政部门备案。

**第四十一条** 对违反国家招生规定入学者，学校不发给学历证书、学位证书；对已发的学历证书、学位证书，学校予以追回并报教育行政部门宣布证书无效。

**第四十二条** 毕业、结业、肄业证书和学位证书遗失或者损坏，不能补发，经本人申请并经学校核实后，发给相应的证明书。证明书与原证书具有同等效力。

## 第八章 奖励与处分

**第四十三条** 按照国家和学校有关规定，对于品学兼优的研究生经过评选分别采取授予荣誉称号或者颁发奖学金等形式，给予相应的精神鼓励或者物质奖励。

**第四十四条** 对违法、违纪的研究生可视其情节轻重给予批评教育或纪律处分。纪律处分有五种：（一）警告；（二）严重警告；（三）记过；（四）留校察看；（五）开除学籍。具体按照《哈尔滨工业大学学生违纪处分暂行办法》处理。

**第四十五条** 剽窃、抄袭他人研究成果情节严重者，未毕业的给予开除学籍处分；已经毕业的，将追回学历证书、学位证书，并报教育行政主管部门宣布证书无效。

## **第九章 附则**

**第四十六条** 非学历教育研究生的学籍管理，除另有规定外，参照本实施细则执行。

**第四十七条** 对港澳台侨研究生、留学研究生的管理参照本实施细则执行。

**第四十八条** 本细则实施后，原《哈尔滨工业大学研究生学籍管理细则》（校研发[2005]569号）同时废止，其他有关文件规定与本实施细则不一致的，以本实施细则为准。

**第四十九条** 本实施细则由研究生院负责解释。

# **Detailed Rules and Regulations on Postgraduate Status Management of HIT**

To guarantee the normal order of teaching and management, strengthen the postgraduate status management, and enhance the quality of higher education, in the light of the actual situation of HIT, *Detailed Rules and Regulations on Postgraduate Status Management of HIT* are formulated in accordance with *the Management Regulations on Students of Ordinary Universities* (Document No. 21, the Ministry of Education, People's Republic of China. These rules and regulations are applied to all postgraduates who receive formal education authorized by the Ministry of Education of People's Republic of China.

## **Chapter 1 Admission and Registration**

**Article1.** The postgraduates newly enrolled in accordance with national recruitment policy ought to take *Admission Notice from Harbin Institute of Technology (HIT) for Master / Doctoral Studies* and related documents required to go to procedure for admission and registration on the specified date as indicated in the notice.

**Article2.** The candidate who cannot come to study at HIT as scheduled for any reason ought to ask for leave from the school related, and authorized by the Graduate School of HIT. The absence leave to attend private affairs should not exceed a month. Failure to ask for leave over two weeks, or two weeks exceeding the authorized leave is viewed as abandoning the qualification of admission.

**Article3.** After the enrollment, HIT will re-check the admission qualification of new postgraduates within three months as required in national recruitment regulations. These candidates who have passed the double check will have their postgraduate status registered; and those who failed to pass the double check will be treated differentially, with the qualification of admission cancelled for the most serious case.

In the case of deception or malpractice of favoritism, after double check, the postgraduate status registered will be cancelled. The most serious case will be reported to the related authority, and the candidate will be prosecuted accordingly.

**Article4.** The new postgraduates fail to pay tuition fee exceeding one month, without being authorized, could not have his or her postgraduate status. S/he will be treated as relinquishing the qualification of admission.

**Article5.** For the new students whose health is delicate or disabled, diagnosed as inappropriate for leaning on campus, but likely to recover health within a year, being authorized by HIT Hospital (or a specified hospital ranked as the top hospital of the second-class or above hospitals) the candidates are allowed to retain the qualification of admission as long as a year. Those candidates ought to leave HIT for treatment, and without student status, will not enjoy the welfare for the postgraduate on campus. During the course of retaining, given that the candidate recovers, s/he may apply to the Graduate School for admission before the new semester starts. After being re-checked and authorized by HIT Hospital or a specified hospital, the candidate may go to procedure for admission again. Failure to pass the medical re-check or exceeding the date for admission will lead to the cancellation of admission qualification.

**Article6.** At the outset of Spring semester or Autumn semester, postgraduate should return to HIT as scheduled, and go to procedure of registration with student card and postgraduate certificate within two weeks. The Summer semester adopts the Spring semester registration. Failing to register as scheduled, the candidate must go to procedure of delay registration.

Failure to pay tuition fees or to meet the requirements for registration will lead to failure of registration.

Those candidates from poor families are allowed to apply for national financial support or other forms of financial support. After completing related procedures, the candidate will be registered.

For those postgraduates who fail to register as scheduled will be viewed as relinquishing admission qualification, except for sound reasons such as irresistible force.

## **Chapter 2 Examination and Records of Scores**

**Article7.** Postgraduates ought to take part in the examinations of the courses prescribed in the educational programs and varied educational practice. The scores of examination will be recorded in the score reports, and filed in personal archives.

**Article8.** For students failing to pass the examination, they are allowed to re-study the course. Those students should participate in the next examination, and the scores of examination will be normally recorded.

**Article9.** In a special case, the candidate fails in the examination of the course s/he chose, and s/he is allowed to change the course under the guidance of the supervisor. But the change can be made only once.

**Article10.** Given that after re-study or a change of the course, a candidate fails to pass in two course examinations, and s/he will be asked to quit school.

**Article11.** The detailed procedures for examination and scores recording will observe the *Regulations on Course Examination and Scores Recording for Postgraduates of HIT*.

**Article12.** The disciplinary requirements for examination and punishment for cheating in examinations will observe the *Rules and Regulations on the Course Examination and Scores Recording for Postgraduates of HIT*.

### **Chapter 3 Attendance and Asking for Leave**

**Article13.** During the course of postgraduate study, given that a candidate could not participate in activities of educational / teaching programs required, s/he ought to ask for leave in advance for approval, and then deal with personal matters such as hunting for job outside the campus, medical treatment or recuperation. Leaving for less than two weeks, the candidate needs to ask his/her supervisor for approval, and the related school (department) should put on record; and leaving for more than two weeks and within a month, the student needs to fill in the form *Leave Permission of HIT Postgraduate* and obtain the permission from his/her supervisor, approved by the chief of the related school (department) and reported to HIT Graduate School for entering the case in record. Normally, accumulated leave should not exceed a month in a semester. If longer than a month in a special case, the time for a postgraduate study will be prolonged accordingly.

**Article14.** Given that postgraduates participate in on-duty activities such as off-campus practice, social practice, scientific research, and academic exchange organized by the university and the related school (department), they are regarded as official trips. Postgraduates' on-duty trips will be authorized and managed by the related school (department). More than two-week official trips need to report to the Graduate School of HIT for recording. The procedure for on-duty trips of postgraduates should observe *HIT Regulations on Official Trips of Postgraduates*.

**Article15.** For unauthorized leave or leave without permission for less than two weeks, the candidate will be punished according to actual situation, ranging from criticizing, warning, serious warning, recording for demerit, to being placed under surveillance at school; for unauthorized leave for more than two weeks (including two weeks), the candidate will be ordered to quit the university.

The university will take no legal responsibility for the candidate during his or her authorized leave or unauthorized leave from the campus.

**Article16.** Postgraduates without approval fail to participate in activities of educational / teaching programs required, absent from class for 1/4, and they are not allowed to take the related course exam. The score will be recorded as “0”. Furthermore, the candidate will be prosecuted in the light of actual situation, ranging from being criticized to discipline punishment.

**Article17.** During the course of postgraduate study, if the candidate is allowed to undertake overseas study, take a part in collaborating program, attend an international conference, or visit family members abroad, the procedure for leave should observe *HIT Regulations on Postgraduates' Leave for Overseas Affairs*.

#### **Chapter 4 Suspending and Resuming Schooling**

**Article18.** Postgraduates are allowed to complete his / her academic work separately (one stage after another). A postgraduate may apply for suspending his or her study, provided that the university considers it necessary. With the approval from the university, the candidate may suspend his or her study. Normally, the time for suspending may last as long as half a year or one year. The accumulated time could not exceed a year. During the course of suspending, the student could not enjoy the welfare for a postgraduate, and the university will take no legal responsibility for the candidate. During the course of suspending, if the student suffers from illness, the medical cost will be treated according to the national regulations, or the regulations of HIT Hospital.

**Article19.** Postgraduates may apply for suspending if they are on one of the following conditions that:

- (1) Postgraduates could not study on campus due to illness;
- (2) Postgraduates go abroad for personal reasons;
- (3) Candidates with permission work as unfinished postgraduates to start a pioneering work or work as full-time employees in an institution or a firm;
- (4) Postgraduates of directive education suspend their schooling on the ground that they are needed to work in the institution or the firm they will serve after graduation;
- (5) Postgraduates need to suspend their schooling for delivery;
- (6) Postgraduates need to suspend their schooling because of other emergency.

**Article20.** Given that postgraduates need to suspend their schooling for the reasons above, they should fill in the form *HIT Postgraduates' Application for Suspending* and provide related documents or certificates. With the approval of his or her supervisor, and authorized by the related school (department) and HIT Graduate School, the student may suspend his or her schooling. For postgraduates of directive education, they need to present the approval of the institution or the firm they will serve after graduation for the suspending.

**Article21.** Postgraduates ought to apply for resuming their schooling a month earlier before they complete their suspending. With the approval of his or her supervisor, and authorized by the chief from the related school (department) and recorded by HIT Graduate School, the student may resume schooling. In the case of suspending for illness, the candidate needs to present health certificate from the top hospital ranked as the second-class or above hospital. After being re-checked and authorized by HIT Hospital or a specified hospital, the candidate will be allowed to resume schooling. Failure to go to procedure as scheduled will be viewed as abandoning postgraduate status, and treated as quitting school.

**Article22.** For postgraduates who are recruited as People's Liberation Army (including Chinese armed policemen), HIT will retain their student status until a year after their being released from military service. During this retaining period, the candidate will not enjoy the welfare for postgraduates, and the university will not assume any legal responsibility for the candidate.

**Article23.** During the retaining period, if the candidate is found in serious violation of disciplines or laws, the qualification for resuming school will be disqualified.

## **Chapter 5 Quitting School**

**Article24.** Postgraduates ought to be quitted from school if they are on one of the following conditions that:

- (1) Postgraduates could not complete their studies as required;
- (2) Postgraduates fail to pass in two course examinations though efforts are made to re-study or change their courses;
- (3) Doctoral candidates fail to pass the comprehensive evaluation;
- (4) Postgraduates fail to pass in their research proposals;
- (5) Postgraduates fail to pass in their intermit evaluation;
- (6) Postgraduates could not continue to complete their studies due to intellectual inadequacy;

(7) Postgraduates without leave permission fail to register exceeding two weeks;

(8) For unauthorized leave over two weeks or failure to return to school for more than two weeks after the leave permitted, the student will be quitted from school;

(9) Postgraduates fail to apply for resuming their schooling as required though their suspending is mature; or postgraduates fail to pass re-check though applying for resuming their schooling;

(10) With their retaining periods mature, postgraduates fail to apply for resuming their schooling as required;

(11) With the confirmation of a specified hospital, the candidate could not continue to study due to poor health, illness, or unexpected injury;

(12) Postgraduates fail to pay tuition fees;

(13) The candidate is recognized as cheating in his or her archive, or could not provide key documents;

(14) The candidate is recognized as disqualified by the authority of HIT;

(15) The candidate applies for quitting from school on the condition that the quitting will not affect the work of the university or his / her supervisor.

**Article25.** The resolution of quitting school will be authorized at the Official Meeting of HIT presidents. For the candidate, the university will provide the resolution of quitting school, and send it to himself or herself. Meanwhile, the resolution of quitting school will be reported to the educational administrative department of the province where the university is located for entering the case in the record.

**Article26.**The follow-up issues in relation to quitting school will be treated in the light of the following rules and regulations:

(1) For the in-service candidate before quitting school, the archive and residence booklet will be returned to the original unit;

(2) For the graduate before quitting school, the candidate failing in their studies will be reported to *Graduate Employment Department of Heilongjiang Province* to go to procedures for employment in the light of his or her diploma acquired or the related employment policies; within the fixed time, the candidate fails to hunt for a job, and the archive coupled with the residence booklet will be returned to the original place where s/he comes from.

(3) For other candidates, the archive coupled with the residence booklet will be returned to the original place where s/he comes from.

(4) For those quitting school due to illness, the candidates should be taken home by the family or guardians of the candidates.

(5) For the postgraduate of quitting school, the scholarship plus varied allowances will not be provided in the next month after the date of official announcement, and the candidate must leave the university within a week.

**Article27.** Given that the candidate raises an objection to the resolution of quitting school, the case will go to procedure according to *HIT Regulations on Student Complaints*.

**Article28.** The candidate of quitting school is not allowed to apply for resuming schooling.

### **Chapter 6 Transferring Discipline and Transferring School**

**Article29.** The candidate working for master degree is not allowed to transfer discipline. Given that the supervisor transfers discipline, the candidate is obliged to work in the original discipline as indicated in the recruitment record, and continue to complete the work left.

**Article30.** In general, the candidate working for doctoral degree is not allowed to transfer discipline. In the case of supervisor's adjustment of discipline, replacement or other special reasons, the candidate who needs to transfer discipline must fill in the *Application Form for Doctoral Candidates to Transfer Discipline*. The transferring should be commented by the supervisor, signed by the chief of the related school, and authorized by HIT Graduate School. Then the transferring should be reported to the Academic Degree Office of Heilongjiang Province for examining and entering the case in the record. Meanwhile other procedures related to the transferring should be completed.

**Article31.** Normally, postgraduates are not allowed to transfer university. In the case of special difficulty or illness, the candidate is allowed to transfer university. The candidate needs to submit application with the comments from the supervisor, signed by the chief of the related school and HIT Graduate School. The transfer may go to procedure with the approval of the university and the authorization of Educational Department of Heilongjiang Province. Given that residence booklet needs transfer, the educational administrative department of the targeted province should send the copies of the related documents to the public security unit of the targeted university.

**Article32.** Postgraduates are not allowed to transfer university on one of the following conditions:

- (1) The candidates entering the university less than a year,

(2) The candidates of directive education as indicated in the recruitment record;

(3) The candidates subject to school quitting;

(4) The candidates unable to provide convincing justifications.

### **Chapter 7 Graduation, Completion, and Non-Completion**

**Article33.** Regarding the duration of postgraduate program (excluding suspending time), full-time candidates for the degree of master shall normally be registered for a continuous program of 2 – 3 years, and part-time candidates for 3- 4 years; full-time candidates for the degree of PhD shall normally be registered for a continuous program of 4 years, no more than 5 years; candidates for successive program upgrading from master to doctoral study or upgrading from undergraduate to doctoral study shall normally be registered for a continuous program of 5 years, no more than 6 years.

**Article34.** Candidates for the degree of master need to prolong their studies if they are on one of the following conditions. The prolonged time depends upon the actual situation, ranging from 3 months and 6 months to a year.

(1) The candidates fail to complete their course studies as required, or the thesis is viewed as disqualified;

(2) For personal reasons, the accumulated time of leaving school exceeds one month;

(3) The university maintains that the candidate needs to prolong his or her study time.

**Article35.** Candidates have accomplished their studies within the prescribed time, completed their theses, passed the viva, and met the graduation requirements in terms of virtues, intelligence, and health, and they are allowed to graduate with graduation certificates.

**Article36.** Given that candidates for the degree of master fail to pass in two or more than two degree courses, on the condition that they satisfy the basic duration of postgraduate program, expert team organized by the related school will examine and assess the performance of the candidate. On the basis of the results of assessment, a decision will be made as for whether to prolong his / her study time or not.

**Article37.** Candidates have accomplished their studies within the prescribed time, yet failed to pass in the examination of their theses, or failed to pass the viva, the candidate is allowed to graduate with completion certificate.

**Article38.** For the candidates with completion certificates, within two years, they are allowed to apply for viva again. After the viva, if within the duration of the program, the candidates may exchange the completion certificate for graduation certificate. The graduation certificate is dated as the viva date. If satisfying the degree requirements, the candidate will be conferred the academic degree accordingly.

**Article39.** For the candidates who study over a year before quitting school, they will be conferred non-completion certificate.

**Article40.** In the light of electronic registration management system of higher education certificates, the information concerning graduation certificates (completion certificates) issued each year will be reported to higher authorities, who will report to the educational administrative departments of the State Council for putting on file.

**Article41.** For the candidate in violation of national recruitment regulations, the university will not issue diploma or degree certificate to him or her; if issued, the diploma or degree certificate will be recovered, reporting to the related educational administrative department who will declare that the diploma or degree certificate is invalid.

**Article42.** For the lost or damaged certificates of graduation, completion or non-completion, they could not be re-issued. Through self-application and the approval of the university, testimonial will be issued which will be viewed as equally valid as the original certificate.

### **Chapter 8 Award and Punishment**

**Article43.** According to the regulations formulated by the country and the university, postgraduates with outstanding virtues and academic achievements through public appraisal will be rewarded in the form of honorary title or scholarship, rendering spiritual encouragement and materialistic reward.

**Article44.** Postgraduates in violation of disciplines or laws will be criticized or punished in the light of the actual offence. Disciplinary treatment falls into five categories: 1) warning; 2) serious warning; 3) recording a demerit; 4) being placed under surveillance at school, and 5) being expelled from school. For a specific case, *HIT Provisional Regulations on Disciplinary Treatment for the Students in Violation of Disciplines* will be applied.

**Article45.** Postgraduates committing serious plagiarism or copying others' academic achievement will be punished: for the un-graduated, the student status will be cancelled; for the graduated, the diploma and degree certificate will be

recovered. Furthermore, the malpractice will be reported to the educational administrative department, who will announce that the certificate is invalid.

### **Chapter 9 Supplementary Articles**

**Article46.** Student status management of postgraduates with non-educational background ought to be implemented with reference to the current rules and regulations unless there are other regulations.

**Article47.** The management of international postgraduates and postgraduates from *Taiwan, Hong Kong and Macao* origin ought to be implemented with reference to the current rules and regulations.

**Article48.** After the implementation of the current rules and regulations, the original *Detailed Rules and Regulations on HIT Postgraduate Status Management* (*HIT Graduate School Document* [2005] No.569) expires. Given that other regulations are in conflict with the current one, the present regulations are viewed as authoritative.

**Article49.** HIT Graduate School is entitled to explain any questions in relation to the current rules and regulations.