

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

2021年9月

## WELCOME AND INTRODUCTIONS

We would like to extend a very warm welcome to all of you as you commence your studies in master or doctoral program at Harbin Institute of Technology. We are looking forward to working and learning with you over the next few years.

You are about to embark on a challenging and exciting program during which you have the opportunity to develop both professionally and personally. It is up to you, individually and as a group, to make the most of the opportunities that will be offered to you during this time!

In order to help you get started, we have put together this Handbook which we hope you will find useful. **It is your responsibility to read and understand the content of the handbook and to use it as a resource as you go through the program.** Please feel free to ask any questions about this handbook and to provide suggestions for future editions.

**It is important to note that International Postgraduate Students are subject to the regulations of HIT;** hard copies of the appropriate regulations will be issued at registration and links below are online versions of these regulations.

**The purpose** of this handbook is to provide Program specific information and to serve as a reference source for participants, namely International Postgraduate Students, supervisors and taught unit directors (secretary). It has been designed to offer information normally required for the duration of the postgraduate program from registration to graduation<sup>1</sup>.

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<sup>1</sup> The information contained in this handbook is correct at the time of publication. Any revisions will be made in hard copy on an annual basis; for the most up to date edition please refer to the Graduate School website at: <http://hitgs.hit.edu.cn/>

# 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.

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# 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，应按照本试行办法第四条、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的有关人员我国硕士、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 Degree 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导师指导小组进行指导。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.

# 哈尔滨工业大学学位授予办法

## 第一章 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》、《哈尔滨工业大学章程》及国务院学位委员会有关文件，结合我校具体情况制定本办法。

**第二条** 依据国务院学位委员会授权的学位类型授予学位，所授学位分为学士、硕士、博士三级。

## 第二章 授予学位的基本要求

**第三条** 学位申请人在学期间必须遵守中华人民共和国宪法、法律和法规，遵守哈尔滨工业大学相关规章制度。

**第四条** 本科毕业生，完成教学计划规定的各项内容，成绩合格，满足所在专业对学士学位的基本要求者，授予学士学位。

**第五条** 硕士生或具有硕士生毕业同等学力人员，通过硕士学位的课程考试和论文答辩，成绩合格，满足所在一级学科对硕士学位的基本要求者，授予硕士学位。

**第六条** 博士生或具有博士生毕业同等学力人员，通过博士学位的课程考试和论文答辩，成绩合格，满足所在一级学科对博士学位的基本要求者，授予博士学位。

## 第三章 学士学位审核程序

**第七条** 本科生完成教学计划规定的各项内容及毕业论文（或毕业设计）后，可申请学士学位。

**第八条** 学院（系）专业（类）教学委员会对学士学位申请人的材料进行审核并表决，通过者报本科生院或继续教育学院。

**第九条** 本科生院、继续教育学院对学士学位申请人的材料进行复审，并将复审通过的建议授予学士学位名单报校学位委员会审核。

**第十条** 校学位委员会对建议授予学士学位的有关材料进行审核，并做出是否授予学位的决议。

## 第四章 硕士学位审核程序

**第十一条** 硕士研究生完成培养计划要求的课程学习和学位论文工作后，可申请硕士学位。具体参照《哈尔滨工业大学硕士研究生申请学位工作细则》。

**第十二条** 学位论文答辩委员会负责审查学位论文、组织答辩，就论文是否符合学位授予条件进行表决并做出决议，通过者报学位分委员会。

**第十三条** 硕士学位论文答辩未通过者，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。

**第十四条** 学位分委员会负责审查硕士学位论文及答辩委员会决议等相关材料，做出是否建议授予学位的决议，并报校学位委员会。

**第十五条** 校学位委员会对建议授予学位的硕士研究生的有关材料进行审核，并做出是否授予学位的决议。

## 第五章 博士学位审核程序

**第十六条** 博士研究生完成培养计划要求的课程学习和学位论文工作后，可提出博士学位申请。具体参照《博士研究生学位论文答辩及学位审查工作细则》。

**第十七条** 学位论文答辩委员会负责审查学位论文、组织答辩，就论文是否符合学位授予条件进行表决并做出决议，通过者报学位分委员会。

**第十八条** 博士学位论文答辩不合格的，经论文答辩委员会同意，可在两年内修改论文，在最长学位申请年限内，重新答辩一次。

**第十九条** 学位分委员会负责审查博士学位论文及答辩委员会决议等相关材料，做出是否建议授予学位的决议，并报校学位委员会。

**第二十条** 校学位委员会对博士学位论文及有关材料进行审核，并做出是否授予学位的决议。

## 第六章 答辩委员会及各级学位委员会决议的表决

**第二十一条** 学位论文答辩委员会需全部委员到会方为有效。学位分委员会、校学位委员会会议需全体委员的三分之二及以上到会方为有效。

**第二十二条** 答辩委员会、学位分委员会、校学位委员会关于是否授予学位的决议，须以不记名投票方式进行表决。到会委员三分之二及以上，且

超过全体委员半数同意时，方为通过。

## 第七章 其他

**第二十三条** 各级学位证书由学校颁发，从校学位委员会做出授予学位决议之日起生效。

**第二十四条** 校学位委员会做出的不授予学位的决定，以书面方式送达学位分委员会，学位分委员会负责告知相应的学位申请人。

**第二十五条** 对发现学位论文存在作假行为的，校学位委员会依据《哈尔滨工业大学学位论文作假行为处理办法实施细则》做出处理决定。

**第二十六条** 学校对于已经授予的学位，如发现有违反本办法的情况，经校学位委员会复议，可以撤销。对撤销的学位，学校通过一定方式进行公告，并将撤销学位决定上报国务院学位委员会备案。

**第二十七条** 学位申请人对学位论文答辩委员会、学科学位分委员会或校学位委员会做出的决议有不同意见时，有权依照有关规定申请复议。

**第二十八条** 本办法由哈尔滨工业大学学位委员会办公室负责解释。

**第二十九条** 本办法自颁布之日起实施。

# Degree Awarding Regulations of HIT

## Chapter 1 General Regulations

**Article 1.** According to the 《*Regulations on Academic Degree of the P. R. China*》, the 《*Interim Measures for Implementing the Regulations on Academic Degree of the P. R. China*》, 《*HIT Charter*》, and the relevant documents of the Degree Committee of the State Council, with the consideration of the specific circumstances of HIT, the following regulations are formulated.

**Article 2.** According to the academic degree types authorized by the Degree Committee of the State Council, the degree is categorized into three types: bachelor's degree, master's degree, and doctoral degree.

## Chapter 2 Basic Requirements for a Degree

**Article 3.** The applicant must abide by the constitution, laws and regulations rules of the P. R. China, coupled with the regulations and rules of HIT.

**Article 4.** Graduates of bachelor if completing a range of the contents of the teaching plan, achieving qualified results, and meeting the basic requirements of the bachelor, shall be awarded bachelor degree.

**Article 5.** Graduates of master or graduates with the same level education, through the master's degree course exam and thesis defense, if achieving qualified results and meeting the basic requirements of the first-level discipline, shall be awarded master's degree.

**Article 6.** Doctoral students or postgraduates with the same level education, through the doctoral degree course exam and thesis defense, if achieving qualified results and meeting the basic requirements of the first-level discipline, shall be awarded doctoral degree, PHD.

## Chapter 3 Examination Procedures for Bachelor Degree

**Article 7.** An undergraduate may apply for a bachelor degree, after completing the contents of the teaching plan and graduation thesis (or graduation design).

**Article 8.** The teaching committee of the school (department) shall review and vote on the material of the applicant for a bachelor degree. If the applicant passed, a report must be submitted to the Undergraduate School or the School of

Continuing Education.

**Article 9.** The Undergraduate School or the School of Continuing Education shall re-examine the material of the applicant for a bachelor degree, and after the review recommend a list of undergraduates to award bachelor degree to HIT Academic Degree Committee for review.

**Article 10.** HIT Academic Degree Committee shall re-examine the related material to award a bachelor degree, and make a resolution to grant a degree or not.

#### **Chapter 4 Examination Procedures for Master's Degree**

**Article 11.** A graduate of master may apply for a master's degree after completing the course studies and academic thesis required by the teaching program. In the light of the 《*Detailed Regulations on the Application for a Master's Degree of HIT*》, the related work can be implemented.

**Article 12.** The thesis defense committee shall be responsible for reviewing the thesis, organizing the defense, voting on whether the thesis meets the requirements, and making a resolution. The applicants who passed shall be reported to the Sub-Academic Degree Committee.

**Article 13.** If a master's thesis is not approved in the defense, with the approval of the thesis defense committee, the applicant may revise the thesis within a year, and do the viva again.

**Article 14.** The Sub-Academic Degree Committee shall re-examine the relevant materials such as the master's degree thesis and the resolution of the defense committee, make the resolution whether or not to grant the degree, and report to HIT Academic Degree Committee.

**Article 15.** HIT Academic Degree Committee shall review the related materials proposed to grant a master's degree, and make a resolution whether or not to grant the degree.

#### **Chapter 5 Examination Procedures for Doctoral Degree**

**Article 16.** A doctoral student may apply for a doctoral degree after completing the course studies and academic dissertation required by the postgraduate program. In the light of the 《*Detailed Regulations on the Doctoral Dissertation Defense and Rules for Degree Review Work of HIT*》, the related



work can be implemented.

**Article 17.** The dissertation defense committee shall be responsible for reviewing the dissertation, organizing the defense, voting on whether the dissertation meets the requirements, and making a resolution. The applicants who passed shall be reported to the Sub-Academic Degree Committee.

**Article 18.** If a dissertation is not approved in the defense, with the approval of the dissertation defense committee, the applicant may revise the dissertation within two years, and do the viva again in the course of the maximum period of degree application.

**Article 19.** The Sub-Academic Degree Committee shall re-examine the relevant materials such as the doctoral dissertation and the resolution of the defense committee, make the resolution whether or not to grant the degree, and report to HIT Academic Degree Committee.

**Article 20.** HIT Academic Degree Committee shall review the related materials proposed to grant a doctoral degree, and make a resolution whether or not to grant the degree.

### **Chapter 6 Oral Defense Committee and the Resolution of Academic Degree Committee at Different Level**

**Article 21.** The resolution is valid only if all members of the thesis defense committee are present. The resolution is valid only if two thirds of the total committee members of the Sub-Academic Degree Committee and HIT Academic Degree Committee are present at the meeting.

**Article 22.** The resolution whether or not to grant the degree made by the defense committee, the Sub-Academic Degree Committee, and HIT Academic Degree Committee must be voted on by secret ballot. If two thirds of the committee members and above the half of the total members agree, the resolution proves to be valid.

### **Chapter 7 Others**

**Article 23.** The degree certificates of all levels shall be issued by the university, and shall come into force from the date of the resolution made by HIT Academic Degree Committee.

**Article 24.** The resolution whether or not to grant the degree made by HIT Academic Degree Committee shall be delivered in written form to the

Sub-Academic Degree Committee who shall inform a specific applicant.

**Article 25.** If a fraud is found in the dissertation, HIT Academic Degree Committee shall make disciplinary sanction in accordance with *«Detailed Regulations on the Fraud in the Dissertation for an Academic Degree of HIT»* .

**Article 26.** If any violation of the above regulations is found, HIT may revoke the degree granted. In the case of a revocation of the degree, HIT shall make a public announcement in a certain manner and report the case to the Degree Committee of the State Council for record.

**Article 27.** If a degree applicant disagrees about the resolution of the dissertation defense committee, the Sub-Academic Degree Committee, HIT Academic Degree Committee, s/he has the right to apply for reconsideration in accordance with the relevant provisions.

**Article 28.** The Office of HIT Academic Degree Committee is entitled to explain the regulations.

**Article 29.** The regulations shall be implemented from the date of announcement.

# 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，注明转引出处。

(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，将本质上相同的科研成果改头换面发表。

（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

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办法

## 第一章 总 则

**第一条** 为保证正常的教育教学秩序，规范对学生的管理，保障学生合法权益，依据教育部《普通高等学校学生管理规定》（教育部令第41号）等有关法律法规的规定，结合我校实际情况，制定本办法。

**第二条** 对有违反法律规定、本办法及学校纪律行为的学生，学校应当给予批评教育并可视情节轻重给予纪律处分。学校给予学生处分，坚持教育与惩戒相结合，与学生违法、违纪行为的性质和过错的严重程度相适应。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. 违反学校规定受到纪律处分 3 次及以上，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** 学生有下列行为的，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法》的规定，被依法给予治安管理处罚的，或应给予治安处罚的，给予记过或留校察看处分，情节严重、性质恶劣的，给予开除学籍处分。

**第十条** 学生在读期间，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，侵害其他个人、组织合法权益者，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利，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** 利用计算机及移动通讯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** 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。



**第二十二条** 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。

**第二十三条** 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。

**第二十四条** 学位论文、公开发表的研究成果存在抄袭、篡改、伪造等学术不端行为，情节严重的，或者为他人代写论文、买卖论文的，给予开除学籍处分。

**第二十五条** 违反学校其它管理规定（如图书馆、教室、校园管理、公寓等规定）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。

**第二十六条** 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规定》《哈尔滨工业大学研究生学籍管理规定》《哈尔滨工业大学学生请假管理办法》《哈尔滨工业大学学生考试纪律及考试违纪处分管理办法》的有关规定执行。

**第二十七条** 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。

**第二十八条** 凡是受到学校纪律处分的学生，处分期内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**

**第二十九条** 对学生违法、违规、违纪事件的调查处理并作出纪律处分的部门如下：

1. 因学生考试违纪作弊、旷课对学生的处分，分别由本科生院教务处、研究生院负责。
2. 学位留学生违规、违纪事件由所在学院和国际教育学院调查取证，形成书面材料报送校级有关部门处理。

3. 其它违纪处理由学生工作部（处）、研究生工作部负责。给予学生警告、严重警告、记过、留校察看、开除学籍处分，需由学院详细调查，形成处分材料，经学院党政联席会讨论提出处分建议，根据学生违纪情况，报学生工作部（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；学校对学生作出开除学籍处分决定报主管校长批准，由校长办公会或者校长授权的专门会议研究决定。处分决定由学校统一下发文件。

**第三十条** 学校要及时对学生违规、违纪事件调查并作出处理。

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；

学生违规、违纪事实调查清楚后，3个工作日内处理完毕；需要由学生工作部（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；

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个工作日内作出相应处理；

有特殊情况不能按时处理的要报学校说明情况。

**第三十一条** 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。

**第三十二条** 除开除学籍处分以外，给予学生处分一般应当设置6到12个月期限，到期按学校规定程序予以解除。解除处分后，学生获得表彰、奖励及其他权益，不再受原处分的影响。

## **第五章 处分程序**

**第三十三条** 在对学生作出处分或者其他不利决定之前，学校应当告知学生作出决定的事实、理由及依据，并告知学生享有陈述和申辩的权利，听取学生的陈述和申辩。

**第三十四条** 学校对学生作出处分决定后，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，即视为留置送达；已离校的，可以采取邮寄方式送达；难于联系、直接送达有困难的，应在学校专门橱窗中发布公告的形式或在学校网站、新闻媒体发布公告的形式送达处分通知书，自公告发出之日起 30 日即视为公告送达。

**第三十五条** 学生对处分有异议的，在接到学校处分决定书之日起 10 日内，可以向学校学生申诉处理委员会提出书面申诉，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。

**第三十六条** 处分决定均由各学院负责装入本人档案。

**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：

- （一）学生的基本信息；
- （二）作出处分的事实和证据；
- （三）处分的种类、依据、期限；
- （四）申诉的途径和期限；
- （五）其他必要内容。

**第四十条** 学生处分决定书、学生处分登记表、学生申诉复查结论及解除处分材料，应真实完整地归入学校文书和学生本人档案。

## **第七章 附 则**

**第四十一条** 本办法适用于哈尔滨工业大学在籍的本科生、研究生、学位留学生。高等学历继续教育学生、港澳台侨学生、非学位留学生的管理参照本办法执行。

**第四十二条** 本办法自 2017 年 9 月 1 日起施行。

# HIT Disciplinary Measures for Student Discipline Violation

## Chapter 1 General Regulations

**Article 1.** To ensure normal education teaching order, regulate the management of students and protect students' legitimate rights and interests, the following measures are formulated in accordance with the 《*Management Regulations of University Students in Higher Education*》 issued by the Ministry of Education, P. R. China (Order No.41) and with a view of the actual situation of HIT.

**Article 2.** For students who have violated the law, the measures, or the disciplinary action, university authority should establish different sanctions, ranging from criticism to penalty according to the seriousness of circumstances. When implementing disciplinary regulations, university authority should insist on the combination of education and punishment, fit with the student's illegal behaviour, disciplinary breach, and the severity of the fault. University authority should carry out disciplinary regulations on the basis of justified procedure, valid and sufficient evidence, accurate evaluation, and appropriate punishment.

## Chapter 2 Types of Punishment and Application

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

**Article 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 as scheduled. If they render meritorious services, they can be unexamined in advance; if they fail to behave themselves well or even violate disciplinary rules again, they will be expelled from HIT.

**Article 5.** Any of the following circumstances may be mitigated on the basis of the original punishment:

1. Offenders admit their mistake, able to make up for their mistake;
2. Have meritorious deeds.

**Article 6.** Any of the following circumstances shall be aggravated upon the basis of the original punishment:

1. Offenders show wrong attitude, refuse to accept education, or repeat

wrong doing;

2. Offenders obstruct investigation;
3. Offenders threaten prosecutors, witnesses and staff, or retaliate against these people;
4. Those repeatedly violating school rules over three times or never changing after punishment will be expelled from HIT.

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

**Article 7.** If conducting the following behavior, causing serious consequences or persisting in the non-reform through education, the students shall be expelled from HIT:

1. Publish articles, speeches, declaration, or statement against the Constitution of the People's Republic of China and the Four Cardinal Principles;
2. Incite, plan, organize illegal gatherings, parade, demonstration and students' strike and other actions or play a major role in the above activities;
3. Illegally make, duplicate, write, post or distribute slogans, flyers and posters, and disturb the stability and unity of the nation;
4. Create and spread rumors on purpose;
5. Participate in any kind of reactionary or cult organizations.

**Article 8.** Students who violate the state law, constituting a criminal offense and subject to criminal responsibility according to law, will be expelled from HIT.

**Article 9.** In accordance with the *Law of P.R. China on Public Security Administration Punishment Regulations*, students who are considered threats to national or public security, who violate others' personal and democratic rights, misappropriate others' property, disrupt social order will be expelled from HIT. Students who experience the punishment of public security administration or subject to such punishment, and those who experience a demerit or probation, if the circumstances are serious, would be expelled from the university.

**Article 10.** Students who participate in any form of gambling or gambling in disguised form will be punished according to the following rules.

1. Those who provide venue, money and equipment for gambling shall be punished, ranging from warning, serious warning to recording a demerit;
2. Those who watch other people gamble will be given warning;
3. Those who organize gambling will be given punishment ranging from recording a demerit to probation. Usually those who participate in gambling will

be given punishment ranging from serious warning to recording a demerit, if the case is serious with baneful influence, will be expelled from the university.

4. Those who participate in gambling many times and refuse to change will be expelled.

5. Punishment for those who get involved in fighting because of gambling will be aggravated.

**Article 11.** Students who insult, defame or trouble other individuals or infringe upon the legitimate rights and interest of other individuals and organizations will be punished in the light of seriousness, ranging from warning, serious warning, recording a demerit, or disciplinary probation; After education, students who never change shall be expelled from HIT.

**Article 12.** Students who listen to, watch or read pornographic products will be punished in the light of the seriousness of the case ranging from serious warning, recording a demerit to probation; Those who make, duplicate, rent or spread pornographic products will be punished in the light of seriousness of the case ranging from recording a demerit, or disciplinary probation; Students who are severely punished shall be expelled from the university.

**Article 13.** Students who violate the privacy and personal rights of others though not being punished by the public security or the judicial department shall be punished in the light of seriousness of the case ranging from recording a demerit, or disciplinary probation; be punishment ranging from serious warning and recording a demerit, to probation. After education and criticism, those who never change shall be expelled from the university.

**Article 14.** Students who get involved in pornographic escort but not being punished by the public security or the judicial department shall be punished in the light of seriousness of the case ranging from recording a demerit, disciplinary probation, or even expulsion from the university.

**Article 15.** In case of a brawl or fighting, the following rules are applied:

**1. The perpetrators** (not keeping order, not listening to dissuasion, using language to flirt, or touching others in various ways)

(1) 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;

(2) Those who get involved in fighting without causing the injury of others will be given punishment ranging from recording a demerit to probation;

(3) Those who cause the injury of others will be given punishment ranging from recording a demerit, probation to expulsion;

(4) The student who is the first person or organizer in an affray will be given punishment in the light of seriousness of the case ranging from probation to expulsion.

## **2. Fighter**

(1) Those who fight but do not cause the injury of others will be given warning or serious warning;

(2) Those who fight and cause others injury shall be punished in the light of seriousness of the case from recording a demerit, disciplinary probation, or even expulsion from the university.

## **3. Participant**

Those in the name of “persuading”, taking sides, worsen the situation or cause the undesirable consequences, shall be punished from serious warning to recording a demerit.

## **4. Perjurer**

(1) Those who do not fight but commit perjury and cause difficulties in investigation shall be punished from serious warning to demerit;

(2) Punishment for those who fight and commit perjury will be aggravated.

## **5. Those who provide tools for fighting**

(1) Those who provide tools for fighting but not causing serious consequences shall be punished from warning, serious warning, recording a demerit, or disciplinary probation;

(2) In the case of causing serious consequences, they will be given punishment ranging from probation to expulsion.

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

**Article 16.** Students who have the following violations of fire control safety management shall be punished from warning, serious warning, recording a demerit, probation to expulsion. If the student refuses to change, and if the case is serious, disciplinary sanction of expulsion is implemented.

1. Using electricity or fire against regulations and causing potential safety hazard;

2. Causing fire or fire accidents by illegal use of electricity or other illegal acts;

3. Causing fire due to negligence;

4. Intentionally damaging or removing fire-extinguishing equipment.

**Article 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, or probation; and if the case is serious, expulsion is implemented.

**Article 18.** Those who refuse or obstruct the administration of HIT officials according to laws and regulations; use varied reasons to make troubles; hide, destroy or open others' mail, disturbing the normal teaching and life order, shall be punished in the form of warning or beyond.

**Article 19.** Those who utilize the means such as computers and mobile communication network, intentionally make, duplicate and spread harmful information, steal others' account and password, and pose threat to network system security and information security, shall be punished depending on seriousness of the case from warning to other disciplinary sanction; If causing serious consequences, the student shall be expelled from the university.

**Article 20.** Those who violate confidentiality regulations and disclosure of state secrets without being penalized by public security or judicial authorities shall be punished depending on seriousness of the case ranging from serious warning and recording a demerit to probation. If causing serious consequences, the student shall be expelled from the HIT.

**Article 21. Those who forge documents, alter or forge certificate, practice fraud,** shall be punished depending on seriousness of the case ranging from warning, serious warning, recording a demerit, probation to expulsion.

**Article 22.** Those who disrupt public order, endanger public security, violate others' personal and property rights, though not enough for administrative penalties, shall be punished ranging from warning, serious warning, recording a demerit, probation to expulsion.

**Article 23.** Those who violate regulations concerning accommodation and student dormitory management, affecting others' normal study and life, and refusing to change after criticism, shall be punished depending on seriousness of the case ranging from warning, serious warning to recording a demerit.

**Article 24.** Given that misconduct such as plagiarism, tempering or forging is identified in the degree thesis and the research achievement published, or if writing papers for others, or buying and selling degree thesis, the student shall be expelled from the HIT for causing serious consequences.

**Article 25.** Those who violate other rules (such as library rules, classroom rules and campus rules) shall be punished accordingly with reference to the similar provisions of this ordinance for the seriousness of the case.

**Article 26.** Students who are absent without cause or violate exam



regulations shall be punished in accordance with *HIT Administrative Regulations for Undergraduate Student Status*, *HIT Administrative Regulations for Graduate Student Status*, *HIT Administrative Measures for Student Leave*, *HIT Exam Rules and the Related Penalty Regulations*.

**Article 27.** Those who violate the public order of the campus or the code of university student behavior, together with the regulations not mentioned in this document, with the misconduct causing serious consequences, the student shall be punished accordingly with reference to the similar provisions of the university.

**Article 28.** Students punished are not eligible for any kind of scholarship, award, or honor; and during the penalty, they cannot apply for a grant or state-subsidized student loan.

#### **Chapter 4 Disciplinary Authority and Time Limit**

**Article 29.** The Departments that investigate and dispose the illegal and disciplinary violations are listed as follows:

1. The Office of Teaching Affairs of Undergraduate College and the Graduate School are responsible for the truancies and exam cheating punishment of home students.

2. In the case of international students, the College of International Education and the related School are responsible for investigating the misconduct, and reporting the case to the authority of HIT in written form.

3. HIT Undergraduate Office and Graduate Office are responsible for other misconduct punishment of students. Punishment ranging from warning, serious warning, recording a demerit, probation to expulsion must be based on the detailed investigation of the related school, forming disposing material and suggestion for penalty. The punishment shall be discussed at the joint meeting of the Administration and the Party; in the light of the seriousness of the case reported to HIT Undergraduate Office, Graduate Office, the Office of Teaching Affairs, and other related departments for review. If there is no objection to the review, the punishment of warning, serious warning, demerit, probation is reported to the vice president in charge for approval; the punishment of expulsion must be authorized by HIT President. A special meeting of presidents or a meeting authorized by the President shall be held to make the disciplinary decision, which will be issued by the university.

**Article 30.** The university must promptly investigate and handle the disciplinary violation of students.

The investigation of students' disciplinary violation must be completed within 5 working days; in case of special circumstances, a written report of delay should be submitted to relevant functional divisions;

With a clear the investigation, the treatment of the student's disciplinary violation must be completed within 3 working days; Punishment could be completed within 7 working days if a serious case needs to be handled by the joint efforts of HIT Student Affairs Office, Graduate Education Office and the Security Department.

If students are penalized by the public security or judicial authorities, treatment should be completed within 3 working days after the arrival of the decision of punishment from the public security or judicial authorities. Under special circumstances, if the case cannot be handled timely, a report must be submitted to the university.

**Article 31.** HIT shall provide the students expelled from the university with a study certificate, and they should handle the departure procedure within 10 working days after the final decision of punishment. Otherwise, the university shall do the departure procedure and return their accounts and archives to their household.

**Article 32.** With the exception of expulsion, student penalty should be set a period of 6 to 12 months. At the due time, the punishment is removed. After the removal, the student may receive commendation, reward, and other rights, not being affected by the past punishment.

## **Chapter 5 Disciplinary Procedure**

**Article 33.** Before making a decision of punishment or other adverse decisions, the university should inform the student of the fact, reasons, and basis of making such a decision; and tell the student that s/he has the right to appeal and defend. The university should listen to their statement and argument.

**Article 34.** After making a decision of punishment, the university should send the decision to the student directly, and ask the student to fill in the service certificate. If the student refused to do so, two related personnel should be invited to act as witness, explaining the situation, recording the rejected reason and the date. The notice of disciplinary action will be left at the student's residence, with the signature or seal of the process server and the witness, thus viewed as the service done. For those students who have left HIT, the disciplinary notice can be delivered by post; if difficult to contact, the notice can be presented in the school

bulletin board, university website, HIT news media, or announcement in a newspaper. The notice shall be viewed as delivered after 30 days from the date of publication.

**Article 35.** If students object to the decisions of punishment, they may send a written plea to *HIT Appeal Board* within 10 working days after receiving the disciplinary notice. The related regulations for appeal should be observed in *HIT Student Appeal Regulations*.

**Article 36.** The punishment decision will be archived in the student document by the related school.

**Article 37.** If students subject to probation are viewed as eligible for termination, they need to submit an application and undertake the disciplinary procedure aforementioned.

## **Chapter 6 Disciplinary Sanction Materials**

**Article 38.** Punishment materials include the student defendant's admission of facts, collateral evidence, paperwork provided by the Public Security Department or HIT Security Department, decision of punishment, record of student punishment, acknowledgment of receipt form, and student appeal review conclusions.

**Article 39.** The contents of the punishment decision include:

1. Basic information of the student;
2. Facts and collateral evidence for the punishment decision;
3. Type, basis, and duration of the punishment decision;
4. Path and duration of appeal;
5. Other necessary contents.

**Article 40.** The punishment decision, record of student punishment, student's appeal review conclusions, and the termination materials of punishment should be fully filed in the documents of the university and the student as well.

## **Chapter 7 Supplementary Provisions**

**Article 41.** These regulations are applicable to the regular undergraduates, postgraduates, international students for academic degrees at HIT. The management of university students of continued education, the students from Hong Kong, Taiwan, Macao, together with the non-degree students at HIT will be implemented in accordance of these regulations.

**Article 42.** These regulations came into effect on September 1, 2017.

# 哈尔滨工业大学学生考试纪律及考试违纪处分 管理办法

为加强学风考风建设，保障我校各类考试的权威性、严肃性、公平性，依据《普通高等学校学生管理规定》（教育部令第41号）、《哈尔滨工业大学本科生学籍管理规定》以及有关法律、法规，特制定本办法。

**第一条** 学生参加考试，须遵守以下考试纪律：

（一）参加考试，须出示学生卡或学生证。如证件丢失，须出示所在院（系）出具的身份证明和身份证；

（二）考试开始15分钟后不准进入考场，考试开始30分钟后方可交卷离开考场；

（三）进入考场后须服从监考教师安排，并将证件放于桌面上；

（四）发现考场桌面上涂写有与考试内容相关的文字，须及时向监考教师报告；

（五）参加考试，须将考试必备用品以外的所有物品放置讲台等远离座位处；

（六）考试过程中，不得向他人借用文具和计算器等。特殊情况需经监考教师同意；

（七）考试过程中不得与他人讲话，不得干扰监考教师工作，不得擅自离开考场。有特殊情况须及时向监考教师报告；

（八）考试结束即刻结束答题，并遵照监考教师指定的方式交卷。交卷过程要保持安静，不得大声喧哗。

**第二条** 学生在考试中有以下行为，认定为考试违纪：

（一）提前占座，不服从监考教师调动；

（二）携带考试必备用品以外的物品进入考场且未放在指定位置；

（三）不遵守考试时间，提前或延后答题；

- (四) 考试中未经监考教师同意借用文具或计算器等；
- (五) 故意损毁试卷、答题卡、答题纸等；
- (六) 擅自将试卷、答题卡、答题纸等带出考场；
- (七) 未经监考教师同意，在考试过程中擅自离开考场；
- (八) 考试期间在考场内喧哗，干扰监考教师工作。

**第三条** 学生在考试中有以下行为，认定为考试作弊：

- (一) 在桌面上涂写与考试内容相关的文字、公式等；
- (二) 携带与考试内容相关的资料，包括利用文具盒、衣物或其它用品夹带等；
- (三) 与他人交换或抄袭他人试卷、答题卡、答题纸、草纸等，或让他人为自己抄袭提供方便，以及通过手势暗号传递信息等；
- (四) 使用具有存贮功能的电子设备；
- (五) 使用通讯设备或其他器材作弊；
- (六) 代替他人或让他人代替自己参加考试；
- (七) 组织考试作弊。

**第四条** 对学生考试违纪与作弊的处理：

- (一) 对考试违纪者，视情节轻重，给予警告、严重警告或记过处分，处分期限为 6 个月；
- (二) 依据本规定第三条第 1-4 款认定的考试作弊者，给予留校察看处分，处分期限为 12 个月；
- (三) 依据本规定第三条第 5-7 款认定的考试作弊者，给予开除学籍处分。

**第五条** 出现考试违纪或作弊现象，监考教师要认真履行职责，当场填写《哈尔滨工业大学学生考试违纪登记表》，并要求学生确认事实和签字。考试结束后，将《哈尔滨工业大学学生考试违纪登记表》和相关证据送交本科生院或研究生院。

本科生院或研究生院依据事实和学校有关规定程序进行处理，并告知学生有陈述和申辩的权利。

**第六条** 依据规定对考试违纪或作弊的学生作出警告、严重警告、记过、留校察看处分决定的，报主管校长批准。作出开除学籍处分决定的，报主管校长审核，由校长授权的专门会议研究决定。处分决定书送达和学生申诉按《哈尔滨工业大学本科生学籍管理规定》、《哈尔滨工业大学研究生学籍管理规定》以及《哈尔滨工业大学学生申诉处理办法》中有关条款办理。

**第七条** 本规定自 2017 年 9 月 1 日起施行，解释权归本科生院、研究生院。原《哈尔滨工业大学关于本科生考场纪律及考试违纪处分的规定》（校教发[2010]412 号）同时废止。

# **HIT Management Regulations on Student Examination Disciplines and Disciplinary Violations in an Examination**

To strengthen the construction of learning style and exam disciplines, and guarantee the authority, seriousness, and fairness of all kinds of examinations at HIT, the following measures are formulated in accordance with the 《*Management Regulations of University Students in Higher Education*》 issued by the Ministry of Education, P. R. China (Order No.41), 《*HIT Management Regulations of Postgraduate Student Status*》, and other relevant laws and provisions.

**Article 1.** Students are required to observe the following examination rules:

1. To take an exam, a student must show student card or student certificate. If lost, a student certificate issued by the related school is needed;
2. Students shall not be allowed to enter the exam room 15 minutes after the start of the exam, and shall be allowed to hand in their exam papers 30 minutes after the start of the exam and leave the exam room;
3. After entering into the exam room, students should obey the arrangement of the invigilator and place the student card on the desk.
4. Students should report to the invigilator if they find notes in relation to the exam on the desk.
5. Students should place all items other than the necessary exam items on the stage or a place far away from them;
6. Students are not allowed to borrow stationery or calculator from others during the exam. In a special case, permission must be obtained from the invigilator.
7. Students are not allowed to talk with others, disrupt the work of the invigilator, or leave the exam room. In a special case, they need to report to the invigilator.
8. Students should stop writing at the end of the exam, and follow the invigilator's instructions to hand in their exam papers. During this course, students should keep silent, not allowed to talk loudly.

**Article 2.** Students with the following behaviors are deemed to violate

disciplines in the examination:

1. Students seat in advance, not following the invigilator's arrangements.
2. Students bring unnecessary items other than the necessary exam items into the exam room, and fail to place them in a specified place;
3. Students fail to observe the exam time, and do the exam early or late.
4. Without permission of the invigilator, students borrow stationery or calculator from others during the exam
5. Destroying exam papers, answer cards or answer sheets intentionally.
6. Students take exam papers and answer sheets out of the exam room.
7. Without permission of the invigilator, students leave the exam room during the course of examination.
8. During the examination, students talk loudly in the exam room, and interfere with the work of the invigilator.

**Article 3.** Students with the following behaviors are deemed to cheat in an examination:

1. Students are found to have words, formulas, and other exam-related notes on the desk;
2. Students bring exam-related materials, including stationery, clothing and other accessories;
3. Students exchange or copy other's exam paper, answer card, answer sheet, papers, etc.; ask others to facilitate the cheating, or pass information via signals or gestures;
4. Students use electronic devices with storage function;
5. Students use communication equipment and other apparatus;
6. Students ask others to sit exam or sit exams for others;
7. Students organize cheating in an examination.

**Article 4.** Disciplinary Punishment for Disciplinary Violations and Cheating in an Examination

1. Students with disciplinary violations, depending upon the seriousness of the case, shall be punished for a period of six months, ranging from warning and serious warning to demerit;
2. According to the provisions 1-4, Article 3 of the current regulations,



students cheating in an examination shall be punished in terms of probation for a period of twelve months.

3. According to the provisions 5-7, Article 3 of the current regulations, students cheating in an examination shall be punished in terms of expulsion.

**Article 5.** When disciplinary violation and cheating in an examination arise, the invigilator should fill out the *Recording Form for Disciplinary Violation and Cheating Behaviors*, and ask the student to confirm the fact with signature. After the exam, the recording form and the related evidence should be sent to HIT Graduate School or Undergraduate School.

HIT Graduate School or Undergraduate School shall process the disciplinary procedure in the light of the facts and the relevant provisions, and inform the student of the right to state and defend.

**Article 6.** In accordance with the provisions of HIT regulations, students with disciplinary violation and cheating in an examination shall be punished, ranging from warning, serious warning, or demerit to probation, which must be reported to the vice president for approval; in the case of expulsion, the punishment must be reported to and reviewed by HIT President. A special meeting authorized by the President shall be held to make the disciplinary decision. The service of the disciplinary decision and student appeal shall be conducted in accordance with the relevant provisions in 《*HIT Management Regulations on Undergraduate Student Status*》, 《*HIT Management Regulations on Postgraduate Student Status*》 and 《*Student Appeal Handling Regulations of HIT*》.

**Article 7.** The regulations shall be implemented from the date of September 1, 2017. HIT Graduate School and the Undergraduate School are entitled to explain the related matter. The original document of *HIT Management Regulations on Student Examination Discipline and Disciplinary Violations* (HIT issue [2010] No. 412 ) shall be repealed simultaneously.

# 哈尔滨工业大学学生申诉处理办法

## 第一章 总 则

**第一条** 为了维护学生的合法权益和学校的教学秩序，根据教育部《普通高等学校学生管理规定》（教育部令第41号）和有关法规规章，结合我校实际，制定本办法。

**第二条** 本办法适用于哈尔滨工业大学在籍的本科生、研究生、学位留学生。

**第三条** 学生对学校作出的涉及本人的处理或者处分决定不服的，可以向学校提出申诉。

**第四条** 依照本办法提起申诉的学生是申诉人，学校是被申诉人。申诉人和被申诉人可以委托代理人参加申诉处理。

**第五条** 学生应本着严肃、认真的态度进行申诉，学校应当遵循合法、公正、公开、及时和隐私保护的原则对学生申诉予以处理。

## 第二章 申诉处理组织机构

**第六条** 学校成立“哈尔滨工业大学学生申诉处理委员会”（以下简称申诉处理委员会），由学生工作领导小组领导，专门受理学生申诉，组织有关人员对学生申诉事项进行调查，作出申诉处理决定，并向学校提出处理建议。

**第七条** 申诉处理委员会由以下人员组成：

(一)学校相关领导；

(二)学校办公室、组织部、宣传部、纪委办公室、学生工作部（处）、本科生院、研究生院、保卫处、财务处、国际教育学院、人事处、科学与工业技术研究院等部门负责人；

(三)教师代表；

(四)学生代表；

(五)负责法律事务的相关机构负责人。

**第八条** 申诉处理委员会设主任一名，由学校领导担任。

**第九条** 申诉处理委员会中的教师代表和学生代表由各院（系）推荐，每院（系）推荐教师代表、本科生代表、研究生代表各一名，每届任期为二年，可以连选连任。

**第十条** 申诉处理委员会下设办公室，设在学校办公室。申诉处理委员会办公室负责受理申诉申请书的接收、审查，通知当事人参加调查，送达申诉处理决定书，保管申诉卷宗等事宜；并受申诉处理委员会委托，有权要求各院（系）、各职能部门对申诉过程中的审核调查工作予以协助和配合。

**第十一条** 申诉处理委员会根据学生申诉的具体情况，组成申诉处理小组，小组人数应为单数。申诉处理小组由委员会内相关职能部门代表、教师代表、学生代表组成，且不少于 5 人。涉及取消入学资格、退学处理和开除学籍处分的申诉，处理小组人数不少于 7 人，而且应有校领导参加。该小组的职责是：

- （一）受理申诉；
- （二）对学生申诉的问题进行调查；
- （三）向申诉处理委员会提出处理建议。

**第十二条** 经审理，学生申诉处理委员会择期召开工作会议，工作会议委员出席人数不得少于应到会人数的三分之二。根据少数服从多数的原则，形成学生申诉处理委员会申诉处理决定。申诉处理小组成员如果与被申诉事件有直接利害关系的应该回避，当事人也有权申请其回避。

### 第三章 申诉处理程序

**第十三条** 申诉处理程序由提出申诉、受理申诉和作出申诉处理决定三个环节组成，并依次进行。

**第十四条** 学生申诉的提出。学生对学校作出的取消入学资格、取消学籍、退学、开除学籍或者其他涉及学生重大利益的处理或者处分决定有异议的，在处分、处理决定书送达之日起 10 日内，可以向学校申诉处理委员会提出书面申诉。因不可抗力而致逾期者，学生应向申诉处理委员会申明理由，申请延长申诉期限，但最长不能超过 30 日。申诉要以书面形式，写明申诉理由及要求，直接报送申诉处理委员会办公室。经申诉委员会核查属实的，

可视为申诉时限内提出，但作出复查结论的时间仍应以收到书面申诉之日算起。学生在申诉期内未提出申诉的，学校不再受理其提出的申诉。处理、处分或者复查决定书未告知学生申诉期限的，申诉期限自学生知道或者应当知道处理或者处分决定之日起计算，但最长不得超过 6 个月。

**第十五条** 申诉书包括以下内容：

- (一) 申诉人的自然情况：姓名、性别、/年龄、学号、住址、所在院（系）、班级、专业等；
- (二) 被申诉人（单位）的名称、地址；
- (三) 申诉请求；
- (四) 申诉理由；
- (五) 申诉证据，包括处理决定书及其它相关证据；
- (六) 申诉人签名；
- (七) 申诉时间。

**第十六条** 对学生申诉的受理。申诉处理委员会办公室接到申诉书后，应当立即对申诉人的资格和申诉条件进行审查受理，在接到申诉书次日起 2 日内分别作出如下处理：

- (一) 对于符合申诉条件的予以受理并进行登记；
- (二) 对于不符合申诉条件的，向申诉人作出不予受理的书面答复；
- (三) 对于申诉书未说清申诉理由和要求的，要求其重新提交申诉书；
- (四) 申诉材料不齐备，通知申诉人在 5 日内进行补正。逾期没有补正的视为不再申诉。

(五) 受理申诉的处理。申诉人申诉申请生效后，申诉处理委员会在受理申诉次日起 2 日内组成申诉处理小组。申诉处理小组对决定受理的学生申诉进行调查，并在接到书面申诉之日起 15 日内，对受理的申诉进行全面的核实，作出调查结论，并告知申诉人。情况复杂不能在规定限期内作出结论的，经学校负责人批准，可延长 15 日。学生申诉处理委员会认为必要的，可以建议学校暂缓执行有关决定。学生申诉处理委员会经复查，认为作出处理或者处分的事实、依据、程序等存在不当，可以作出建议撤销或变更的复查意见，要求相关职能部门予以研究，重新提交校长办公会或者专门会议作出决定。

**第十七条** 受理申诉期间，原处理决定不停止执行，申诉处理委员会认为有必要暂停执行的除外。

**第十八条** 有下列情形的，不予受理或终止受理：

- （一）超过规定期限的；
- （二）就申诉事项提起行政复议或行政诉讼，并已被受理的；
- （三）申诉人在申诉被受理后，又就申诉事项提起行政复议或者诉讼并被受理的应当终止申诉处理；
- （四）申诉人在申诉处理委员会未作出申诉处理决定书前，自愿撤回申诉的；
- （五）其它不符合法律、法规以及本办法规定的情形。

**第十九条** 处理学生申诉过程中可以召开听证会议，听证会议须通知申诉人、被申诉人（单位）及相关人员到会。

**第二十条** 学生申诉处理小组依据相关法律、法规、规章要求，经集体充分讨论后，并有一半以上成员通过，方能作出申诉处理意见，并出具申诉处理决定书。

**第二十一条** 申诉处理决定书应包括下列内容：

- （一）申诉人的姓名、性别、年龄、学号、住址、所在院（系）、班级、专业等；
- （二）被申诉人（单位）的名称、地址；
- （三）申诉的要求及主要理由；
- （四）被申诉人作出处分或者处理决定以及复查决定所认定的事实、理由及适用的法律、法规、规章和其他依据；
- （五）学校申诉处理委员会认定的事实、理由及适用的法律、法规、规章和其它依据；
- （六）学校申诉处理委员会的处理决定；
- （七）告知申诉人如对申诉处理决定不服，可以向上级机关申诉或依法申请行政复议或者提起行政诉讼；
- （八）决定日期；
- （九）加盖哈尔滨工业大学申诉处理委员会公章。

**第二十二条** 申诉处理决定书可以对学生申诉作出以下决定：

（一）处理决定认定事实清楚、证据确凿、适用依据正确、程序合法、内容适当的，维持原处理；

（二）处理决定有下列情形之一的，建议由被申诉人（单位）重新作出处理决定：违法、违规违纪事实认定不清、证据不足的；违反处分、处理程序的；适用依据错误的；处分或处理决定明显不当的。

**第二十三条** 受理申诉的部门要将申诉处理决定书及时送达申诉人，直接送达有困难的，可采取留置、邮寄、公告等方式送达，申诉处理委员会应当同时将申诉处理决定书送达被申诉人（单位）。

**第二十四条** 申诉处理决定书自送达之日起生效。

**第二十五条** 需要改变原有处分决定的，由申诉处理委员会提交学校重新研究决定。

**第二十六条** 学生向学校提起申诉同一案件以一次为限，对申诉处理决定有异议的，在接到申诉处理决定书次日起 15 日内，可向黑龙江省学生申诉处理委员会提出书面申诉。

## 第四章 附 则

**第二十七条** 高等学历继续教育学生、港澳台侨学生、非学位留学生、借读生、旁听生、外校来我校交流交换生等的管理参照本办法执行。

**第二十八条** 本办法自 2017 年 9 月 1 日起施行。

# HIT Regulations on Student Appeal Handling

## Chapter 1 General Regulations

**Article 1.** In accordance with the 《*Management Regulations of University Students in Higher Education*》 issued by the Ministry of Education, People's Republic of China (Order No.41), with the consideration of the specific circumstances of HIT, the following regulations are formulated in order to protect students' legitimate rights and interest, and guarantee the normal order of teaching and management of the university.

**Article 2.** The regulations are applicable to the undergraduate students, post graduate students, and international students enrolled for academic degrees.

**Article 3.** Students who are not satisfied with the treatment or disciplinary sanction of HIT may appeal to the authority of HIT.

**Article 4.** The student who appeals in accordance with the regulations is the plaintiff, and HIT is the respondent. Both may entrust an agent to participate in the appeal action.

**Article 5.** Students should make complaints in a serious manner, and HIT should comply with the legal, fair, open, timely and privacy-protecting principle, and handle the appeal from the student.

## Chapter 2 Organizations for Handling Complaints

**Article 6.** HIT has established the “Student Appeal Handling Committee of HIT” (abbreviated as HIT SAHC) led by the Student Work Team, who shall handle student complaints, organize the related personnel to investigate the complaint matter, make a decision on the complaint, and propose the solution of the appeal to HIT.

**Article 7.** The “Student Appeal Handling Committee” consists of the following people:

1. HIT leaders;
2. Heads form HIT Office, Organization Department, Publicity Department, Discipline Inspection Commission, Student Work Department, School of Undergraduates, Graduate School, Security Department, Finance Department, College of International Education, Personnel Department, Research Institute of Science and Industrial Technology, and so on.

3. Teachers' representative;
4. Students' representative;
5. People responsible for legal affairs.

**Article 8.** The director of the "Student Appeal Handling Committee of HIT" shall be the leader of HIT.

**Article 9.** The teachers' representative and students' representative of the "Student Appeal Handling Committee of HIT" shall be recommended by each school or department, with one representing undergraduates, one for postgraduates and one for teachers. The representative can be re-elected consecutively with each term of two years.

**Article 10.** The Office of the "Student Appeal Handling Committee of HIT" is located at the HIT Office, which shall be responsible for receiving and reviewing the application for complaints, informing the parties to take a part in the investigation, serving the decision on the complaint, and keeping the petition file. The Office shall have the right to request the school or department to assist and cooperate in the investigation of the complaint raised.

**Article 11.** The "Student Appeal Handling Committee of HIT" shall constitute a complaint handling panel according to the specific circumstances, and odd number is required for the group members. The panel consists of the varied representatives from different departments, teachers and students alike, with no less than 5 members in the committee. With HIT leaders participated in, no less than 7 members in the panel are required for making decisions on the appeal of disqualifying admission, drop out, or expulsion,. The task of the complaint handling panel is:

1. To hear a claim;
2. To investigate the complaint of the students;
3. To make recommendations to the Committee for decisions of the complaint.

**Article 12.** After the investigation, the "Student Appeal Handling Committee" shall hold a meeting on a specified date, and the number of the working committee members shall not be less than two thirds of the total members of the committee. According to the principle of minority subordination, the decision on students' complaints is formulated. If a member of the committee is directly related to the case, s/he shall have the right to apply for a withdrawal.



### Chapter 3 Complaints Processing Procedures

**Article 13.** The complaint handling procedure consists of three stages: appeal, accepting appeal, and making decisions.

**Article 14.** Students raise appeal. If a student disagrees about a decision of disciplinary sanction which involves the vital interests of students such as disqualifying admission or enrollment, drop out, and expulsion, s/he may appeal to the “Student Appeal Handling Committee of HIT” in a written form within 10 days from the date of service delivered. In the case of a force majeure, the student shall make a statement of justification for the “Student Appeal Handling Committee” and apply for an extension of the appeal period, but shall not exceed 30 days. If the case is verified, it may be considered within the time limit for the appeal, but the time for review shall be counted from the date of the receipt of the written appeal. If the student fails to lodge a complaint during the appeal period, HIT shall not handle the case. Given that the student is not informed of the appeal deadline for a disciplinary sanction or a review for the sanction, the date of appeal shall be counted from the date of informing the student, but the longest must not exceed six months.

**Article 15.** The complaint includes the following contents:

1. Bio-data of the complainant: name, gender, age, student number, address, school/department, class, specialty;
2. The name (of the unit) and address of the respondent;
3. The requests;
4. Appeal reasons;
5. The complaint evidence, including the written decision and other relevant evidence;
6. Signature of the complainant;
7. Time for the appeal.

**Article 16.** Acceptance of student complaint. After receiving the complaint letter, the Office of the “Student Appeal Handling Committee of HIT” shall immediately review the qualification and the appeal conditions of the complainant, and make the following treatment within two days from the next day of receiving the complaint:

1. If qualified for appeal, the case shall be accepted and registered;
2. If not qualified for appeal, a written reply shall be sent to the complainant;
3. If the reasons are not made clear in a complaint, the complainant shall be asked to submit the complaint again;

4. If the complaint materials are not adequately prepared, the complainant shall be notified to rectify them within five days. Overdue correction shall be viewed as abandoning the complaint.

5. Complaint Handling. After the complaint application becomes effective, the “Student Appeal Handling Committee of HIT” shall form a panel within two days from the next day of receiving the complaint. The panel shall investigate the case, and within 15 days from the date of receiving the written appeal, carry out a comprehensive verification of the complaint, make conclusions, and inform the complainant. If the circumstances are complicated, the conclusions cannot be reached within the prescribed time limit, authorized by the authority of HIT, may be extended for 15 days. If the “Student Appeal Handling Committee of HIT” considers necessary, it may be recommended to HIT that the related decision can be suspended. After the re-examination of the “Student Appeal Handling Committee of HIT”, if the treatment is deemed to be inadequate in terms of fact, evidence, procedure, the decision may be revoked or re-reviewed. In such case, the related departments should carry out a careful study, and submit to the presents’ meeting of HIT or a special meeting for a final decision.

**Article 17.** During the period of handling the complaint, the original decision shall not be suspended, with the exception of the condition that the “Student Appeal Handling Committee of HIT” considers it necessary.

**Article 18.** Student appeal shall be terminated in any of the following situations:

1. Exceeding the time limit prescribed;
2. Bringing the appeal already accepted to administrative re-consideration or administrative litigation;
3. After the complaint is accepted, the complainant performs an administrative re-consideration or lawsuit.
4. The complainant voluntarily withdraws the complaint before the appeal handling committee makes a decision.
5. Other circumstances that are not fit with the laws, rules and regulations.

**Article 19.** A hearing meeting may be held in the process of appeal handling, and the hearing meeting shall notify the complainant, the plaintiff/unit and the relevant personnel.

**Article 20.** The student complaint handling panel according to the requirements of the related laws, regulations and rules, through a full discussion and with the approval of the members more than half of the total number, can

make a complaint handling decision, and issue a letter of decision.

**Article 21.** The letter of decision on complaint handling includes the following contents:

1. Bio-data of the complainant: name, gender, age, student number, address, school/department, class, specialty;
2. The name (of the unit) and address of the respondent;
3. The requirements and main reasons for the complaint;
4. The facts, reasons, applicable laws, regulations, rules, and other basis for making the decision or the decision to review the case;
5. The facts, reasons, applicable laws, regulations, rules, and other basis acknowledged by HIT;
6. The decision formulated by the “Student Appeal Handling Committee of HIT”;
7. If the complainant is not satisfied with the decision, s/he may file a complaint to a higher authority, or apply for administrative re-consideration or administrative litigation;
8. The date of decision;
9. The official seal of the “Student Appeal Handling Committee of HIT”.

**Article 22.** The letter of decision on complaint handling may make the following statements:

1. The handling decision determines the facts clearly, presents the convincing evidence, observes a legal procedure, and makes an appropriate conclusion. In view of this, the original treatment is maintained.
2. In case of any of the following circumstances, it is recommended that the respondent/unit re-make the decision: the evidence in violation of the laws, regulations and rules is not convincing or inadequate evidence; not fit with the handling procedures; the basis for sanction is wrong; the sanction or treatment is obviously improper.

**Article 23.** The department that handles the appeal shall send the letter of decision to the complainant timely. If there is any difficulty in direct service, it can be delivered by lien, post, notice, etc. At the same time, the complaint handling committee shall deliver the letter of decision to the plaintiff /unit.

**Article 24.** The letter of decision on complaint handling shall come into force from the date of service.

**Article 25.** If the original decision needs to be changed, the complaint handling committee shall submit it to HIT for review.

**Article 26.** A student's appeal to HIT for the same case is limited to once. If objection to the decision on complaint handling arises, after receiving the letter of decision on complaint handling within 15 days, the complainant may submit an appeal in written form to the Student Appeal Handling Committee of Heilongjiang Province, China.

#### **Chapter 4 Supplementary Provisions**

**Article 27.** These regulations are applicable to the management of the university students for continuing education, students from Hong Kong, Tai Wan, Macao, non-degree international students, auditors, guest students, and exchange students from other universities

**Article 28.** These regulations come into force on September 1, 2017.

培 养  
**Cultivation**



# 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

我校研究生基本学习年限（不包含休学和保留学籍时间），硕士生为 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

博士生培养年限为 4 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 23 学分，其中学位课不少于 14 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（14-16 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或中教班学习。

(2) 学科核心课（12-14 学分 根据学科要求）

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（6-10 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。

3. 经典文献阅读及学术交流（2 学分）由各学科确定具体要求。

4. 开题报告（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
	学科核心课	12-14
选修课	学科或跨学科选修课	6-10
经典文献阅读及学术交流		2
学位论文开题		1
总学分		23-29

## 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。必修学分包括：中国文化（2 学分，学位课），初级汉语口语（4 学分，学位课），经典文献阅读及学术交流（2 学分），学位论文开题（1 学分）。

### 其他课程包括：

1. 经管人文类：学科核心课不少于 14 学分，选修课不少于 10 学分。
2. 机械工程类：学科核心课不少于 14 学分，选修课不少于 8 学分。
3. 材料类：学科核心课不少于 14 学分，选修课不少于 8 学分。



4. 土木工程类：学科核心课不少于 13 学分，选修课不少于 6 学分。
5. 电类：学科核心课不少于 10 学分，选修课不少于 8 学分。
6. 生物化工类：学科核心课不少于 10 学分，选修课不少于 10 学分。
7. 一带一路智库项目班：学科核心课不少于 10 学分，选修课不少于 14 学分。

表 2 英文授课体系培养方案学分要求

课程类别		经管	机械	材料	土木	电类	生化	一带一路
学位课	中国文化	2						
	初级汉语口语	4						
	专业学位课	14	14	14	13	10	10	10
选修课	专业选修课	10	8	8	6	8	10	14
经典文献阅读及学术交流		2						
开题报告		1						
总学分		33	31	31	30	27	29	33

## (二) 攻读博士学位留学生学分要求

### I 中文授课博士留学生

中文授课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 6 学分，选修课不少于 2 学分。

表 3 中文授课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
	学科核心课	4
选修课	专业选修课	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	

### 1. 学位课

(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或中教班学习。

(2) 学科核心课(4 学分)。

### 2. 选修课

学科或跨学科选修课不少于 2 学分。

**3. 必修环节:** 含综合考评(1 学分), 学位论文开题(1 学分), 学位论文中期(1 学分), 学术活动(1 学分)。

## II 英文授课博士留学生

英文授课博士留学生在其攻读学位期间, 所修学分的总和应不少于 14 学分, 其中初级汉语口语(4 学分), 学科核心课为 4 学分, 专业选修课不少于 2 学分。博士留学生可根据自身语言基础选择硕士生的英文授课课程作为选修课进行学习。

### 1. 学位课

(1) 初级汉语口语(4 学分)。

(2) 学科核心课(4 学分)。

### 2. 选修课

学科或跨学科选修课不少于 2 学分。

**3. 必修环节:** 含综合考评(1 学分), 学位论文开题(1 学分), 学位论文中期(1 学分), 学术活动(1 学分)。

表 4 英文授课留学博士生培养方案学分要求

课程类别		学分
学位课	初级汉语口语	4
	学科核心课	4
选修课	选修课	2
必修环节	综合考评	1
	学位论文开题	1
	学位论文中期	1
	学术活动	1
总学分	≥14	

#### 四、选课

1. 留学生入学后应在导师指导下及时在研究生综合管理系统制定个人培养计划，经导师审核通过，报院（系）主管领导审查批准，于开学初 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。

3. 根据本人学习和科研进展，个人培养计划可有条件调整。学生可在开学初 2 周内于系统内提交申请，经导师及院（系）主管领导签字同意后，申请表由院（系）留存。

#### 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生留学生（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学院协助安排。

参加我校全英文授课项目的硕士生留学生，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，英文授课硕士生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学院或研究生院，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:

攻读博士学位及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两周内完成。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《研究生学位论文写作指南》。

#### 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. 创新性成果

博士留学生在攻读学位期间完成的创新性成果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。我校对博士生创新性成果的基本要求见《关于博士研究生在攻读学位期间取得创新性成果的要求》。

#### 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《研究生学位论文写作指南》。

#### 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《博士研究生学位论文答辩及学位审查工作细则》。

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《博士研究生学位论文答辩及学位审查工作细则》。

# **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 fundamental duration of education for full-time master's candidates lasts 2-3 years (not including the period of suspension of schooling), 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 lasts 4 years.

## **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 23 credits, among which a minimum of 14 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
	Core Coursey	12-14
Optional Courses	Specialized Optional Courses	6-10
Canonical Literature Reading and Academic Communication		2
Thesis Proposal		1
<b>Total Credits</b>		23-29

### **1.1 Degree courses**

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

(2) core courses based on discipline 's requirements, 12-14 credits.

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

### **1.2 Optional courses (6-10credits)**

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.

**1.3 Canonical Literature Reading and Academic Communication** (2 credits) should be determined by each discipline.

**1.5 Thesis proposal** (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 (Degree course, 2 credits), Primary oral Chinese course (Degree Course, 4 credits) , Canonical Literature Reading and Academic Communication (2 credits), Thesis proposal (1 credit).



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

Type of Courses		MH	ME	MSE	CE	E	BC	OB
<b>Degree Courses</b>	Chinese Culture	2						
	Primary oral Chinese course	4						
	Core Courses	14	14	14	13	10	10	10
<b>Optional Courses</b>	Optional Courses	10	8	8	6	8	10	14
Canonical Literature Reading and Academic Communication		2						
Thesis Proposal		1						
<b>Total Credits</b>		33	31	31	30	27	29	33

Other courses include:

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

Core courses for more than 14 credits, optional courses for more than 10 credits.

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

Core courses for more than 14 credits, optional courses for more than 8 credits.

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

Core courses for more than 14 credits, optional courses for more than 8 credits.

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

Core courses for more than 13 credits, optional courses for 6 credits

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

Core courses for more than 10 credits, optional courses for more than 8 credits.

(6) For master candidates specialized in **Biology and Chemical Engineering**

Core courses for more than 10 credits, optional courses for more than 10 credits.

(7) For master candidates specialized in **One Belt and One Road Think-tank Program**

Core courses for more than 10 credits, optional courses for more than 14 credits.

### 3. Doctoral program in Chinese

International doctoral candidates are required to gain a minimum of 12 credits, among which a minimum of 6 credits go to degree courses and a minimum of 2 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.

#### 3.1 Degree courses

(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 or Chinese Teacher Classes on the basis of their English test.

(2) Core courses (4 credits compulsory)

#### 3.2 Optional courses

2 credits go to specialized optional courses.

**3.3 Required Parts** including Comprehensive Assessment at the end of 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.

**Table3 Credits Requirements for PhD program in Chinese**

Type of Courses		Credits
Degree Courses	First Foreign Language	2
	Core Coursey	4
Optional Courses	Specialized Optional Courses	2
Required Parts	Comprehensive Assessment	1
	Dissertation Proposal	1
	Interim Inspection	1
	Academic Activities	1
Total Credits	≥12	

### 4. Doctoral program in English

International doctoral candidates are required to gain a minimum of 14 credits, Primary oral Chinese course (Degree Courses, 4 credits), 4 credits go to specialized core courses and a minimum of 2 credits go to optional courses, and

based on their own language proficiency, the students can choose English Master Program courses in the related subjects as their optional courses.

**Table4 Credits Requirements for PhD program in English**

Type of Courses		Credits
<b>Degree Courses</b>	Primary oral Chinese course	4
	Specialized Core Courses	4
<b>Optional Courses</b>	Specialized Optional Courses	2
<b>Required Parts</b>	Comprehensive Assessment	1
	Dissertation Proposal	1
	Interim Inspection	1
	Academic Activities	1
<b>Total Credits</b>	<b>≥14</b>	

### 3.1 Degree courses

- (1) Primary oral Chinese course (4 credits)
- (2) Specialized Core Courses (4 credits)

### 3.2 Optional courses

2 credits go to specialized optional courses.

**3.3 Required Parts** including Comprehensive Assessment at the end of 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 make their own training program in the *HIT Graduate Education Integrated Management System* under the guidance of their supervisors, which should be signed by their supervisors, 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.

3. The personal training program cannot be changed except under exceptional circumstances. 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, which would then be solved by the discipline or school after being approved and signed by the supervisor and the dean.

## **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 school 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 school or Graduate School about the problems difficult to handle, in order to ensure the quality of 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 usually assessed based on a **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 postgraduate 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 “详细摘要”.

### **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 two 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 *Dissertation Writing Guide for Graduate Students*.

#### 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 Innovative Achievements

The quantity and quality of innovative achievements attained by international doctoral candidates is an important criterion for the conferring of doctoral degree. For more information concerning the innovative achievements attained by doctoral candidates, see *HIT Requirements concerning innovative achievements of Doctoral Candidates*.

### 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 *Dissertation Writing Guide for Graduate Students*.

### 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 of dissertation defense and degree examination for doctoral students*.

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 of dissertation defense and degree examination for doctoral students*.

# 哈尔滨工业大学研究生课程考核与 成绩记载管理办法 (试行)

## 第一章 总 则

**第一条** 为有效达成学校及各学科人才培养目标,依据《哈尔滨工业大学研究生学籍管理规定》制定本办法。

**第二条** 凡在我校学习的各类研究生均须在研究生教育综合管理系统进行选课,参加所选课程的学习和考核,且成绩合格方可取得学分。

## 第二章 考核及成绩记载

**第三条** 课程考核方式分“考试”和“考查”两种。

**第四条** 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不低于25%。课程考试成绩可累加记载。

**第五条** 选修课一般进行考查,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。

**第六条** 经典文献阅读及学术交流、专业实践、学术活动、社会实践按各学科相应要求及考核办法执行,成绩以二级分制评定,记为“合格”或“不合格”。

**第七条** 考核成绩如实载入研究生成绩单。若按百分制记载,60分及以上为合格。

**第八条** 研究生选课成功须按要求参加教学计划规定的教学活动(包括作业及实践性教学环节等),缺课课时累积达1/3及以上者,不能参加相应课程的考核,成绩按“0”分记载。

**第九条** 对缺少本学科专业基础的研究生所修的补修课程考核成绩记



入研究生成绩单但不计学分。

### 第三章 缓 考

**第十条** 研究生因故不能参加课程考核者，应在考核前以书面形式提出缓考申请，填写《研究生缓考申请表》，并提供有关证明，经任课教师同意，所在院（系）负责人审核，报研究生院批准后生效。

**第十一条** 获准缓考的研究生须参加该门课程下一轮的考核，成绩如实记载。

**第十二条** 研究生申请缓考严禁弄虚作假，若有作假行为按照《哈尔滨工业大学学生违纪处分办法》给予相应处分。

### 第四章 重修与改修

**第十三条** 研究生课程考核成绩不合格，允许其重修。重修的学生需填写《研究生课程重修申请表》，并参加该门课程下一轮的学习和考核。已完成课程学习的，可不参加课程学习只参加考试，不记录平时成绩，成绩按卷面分数折合。

**第十四条** 重修课程考核合格后，在研究生成绩单中按实际成绩记载，并标记“重修”。

**第十五条** 特殊情况下，课程考核不合格可在导师指导下改修，最多可改修两门次。原课程考核成绩如实记载在研究生成绩单上。

**第十六条** 研究生课程经重修或改修后仍有两门次课程考核不合格者，予以退学。

**第十七条** 课程成绩考核合格的不允许重修。

### 第五章 免 修

**第十八条** 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系统知识，可在提出免修申请并经过审批同意后，不参加该课程听课，直接参加课程考核，成绩合格可获得该门课程学分。

**第十九条** 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，研究生院批准备案。

## 第六章 考试纪律

**第二十条** 未经批准不参加研究生课程考核者，按旷考处理，成绩按“0”分载入研究生成绩单。

**第二十一条** 研究生须自觉遵守《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《学生考试纪律及考试违纪处分管理办法》进行处理。

## 第七章 成绩管理

**第二十二条** 任课教师一般在考核结束后一周内完成评分工作并提交课程成绩单（特殊情况下不超过两周）。研究生可在研究生教育综合管理系统中查询。

**第二十三条** 研究生对某门课程的成绩有疑问时，可在成绩发布后十个工作日内向所在院（系）提出成绩复核申请。

**第二十四条** 研究生在入学之前的两年内，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。须本人提出申请，经导师同意，学院批准。

## 第八章 附 则

**第二十五条** 学校原有相关规定与本办法相冲突的，以本办法为准。

**第二十六条** 本办法由研究生院负责解释。

**第二十七条** 本办法自 2017 年秋季学期起试行。

# Management Regulations of Course Assessment and Achievement Record for Postgraduates at HIT (Trial Implementation)

## Chapter 1 General Regulations

**Article 1.** The following measures are formulated in accordance with 《*HIT Management Regulations on Postgraduate Status*》 so as to effectively achieve the educating objectives of HIT and the related disciplines.

**Article 2.** All postgraduates at HIT must select courses from the *Comprehensive Management System of Postgraduate Education*, and then take the selected course and the related examination. Credit is gained if academically qualified.

## Chapter 2 Assessment and Achievement Record

**Article 3.** The course assessment falls into two categories: exams and checks.

**Article 4.** For degree courses, postgraduates must take exams, and percentage rating scale is used in the academic assessment. Assessment of postgraduates' grades involves exams and checks. Exams may involve written or oral exams. Written exams must have formal papers, and oral tests must have detailed records. Students' grades must be marked according to a given standard, and reasonable distribution should be guaranteed. In principle, scores of 90 or above should not be more than 25%, *good*, *pass* or *failure* should be no less than 25%. Accumulative scoring system may be adopted.

**Article 5.** For optional courses, checks are normally implemented. Scores may be marked in terms of percentage rating scale or a binary system: *pass* or *failure*. The assessment of optional courses may take one or more of the following forms: written exam, oral exam, book report, research report, etc.

**Article 6.** For classic literature reading, academic exchange, specialty practice, academic activity, social practice, scores may be marked in the light of a specific disciplinary requirement in the form of *Binary System*: *pass* or *failure*.

**Article 7.** The examination results are reported truthfully in the student transcripts. If percentage rating scale is adopted, 60 or above is viewed as qualified.

**Article 8.** For postgraduates who successfully selected the course need to take part in the activities prescribed in the teaching plan (including assignment and practical teaching and so on) . If missing the course and accumulating up to

1/3 or more, the student is not allowed to take the related exam, and the result is recorded as “0”.

**Article 9.** Postgraduates will earn no credit by taking the remedial course due to the shortage of specific disciplinary basics, but the examination results will be recorded in the student transcript.

### **Chapter 3 Delayed Examination**

**Article 10.** Postgraduates who cannot take the exam for certain reasons must fill out and submit *Application Form of Delayed Examination for Graduate Students*, coupled with the related evidence for the approval of the teacher. Moreover, the responsible person of the related department should review the application and submit to the graduate school for approval.

**Article 11.** Those postgraduates being approved for a delayed examination should take the next exam for the course and their scores will be recorded accordingly.

**Article 12.** For postgraduates being approved for a delayed examination, fraud is strictly prohibited. If not, the student will be penalized according to *The Disciplinary Measures of HIT Postgraduates*.

### **Chapter 4 Courses Retaken or Changed**

**Article 13.** Postgraduates who failed in a course are allowed to retake the course. They need to fill out and submit *Application Form for Retaken Course*. Then they are allowed to take the next course and the related exam. Given that they complete the course study, those students are allowed to take the exam without course study. Their grades are equivalent to the test scores if no normal records are provided.

**Article 14.** If postgraduates successfully pass the retaken course, and their examination results are reported truthfully in the student transcripts, but marked with “RETAKEN”.

**Article 15.** Under special circumstances, postgraduates who failed in a course study may be allowed to change a course under the guidance of their supervisor. At most, two changed courses are allowed. However, their original examination results are reported truthfully in the student transcripts.

**Article 16.** If postgraduates failed to pass the retaken or changed course, up to two courses, and they will be dropped out.

**Article 17.** Postgraduates who successfully pass in a course are not allowed to retake the course.

### **Chapter 5 Course Exemption**

**Article 18.** Postgraduates who have already taken a course or mastered the

systematic knowledge of the course through other ways may apply for an exemption, and with the approval they may take the course examination without attending the class. The course credits can be obtained if qualified.

**Article 19.** Procedure for application and approval are stated as follows: Fill out the *HIT Postgraduates Application Form for Directly Taking Course Exams*, and the form must be signed by the supervisor and the teacher in charge of the course, with the approval of the Graduate School of HIT.

### **Chapter 6 Examination Discipline**

**Article 20.** Without prior approval, postgraduates who fail to take the exam for a certain course will be considered as abandoning the exam, and their grade will be recorded as “0”.

**Article 21.** HIT Postgraduates must observe 《*HIT Examination Rules*》. Students who violate discipline or conduct any cheating behavior will be penalized according to *HIT Regulations on Examination Rules and of Disciplinary Violation of Postgraduates*.

### **Chapter 7 Achievement Management**

**Article 22.** Teachers in charge of the course should complete the grading work and submit the transcript within a week (Under special circumstances, no more than 2 weeks). Postgraduates can query *HIT Integrated Management System* for their scores.

**Article 23.** If postgraduates have questions about the results of course, they can apply for a review of the results from the related department within ten working days after the results released.

**Article 24.** If approved by the Graduate School, students can take postgraduate courses two years prior to graduate education; and if they pass the related exams, they can earn their corresponding credits, with their results included in their postgraduate stage. The postgraduate must submit application, which is subject the approval of the supervisor and authorized by the related school.

### **Chapter 8 Supplementary Provisions**

**Article 25.** If the relevant provisions of the Graduate School conflict with these measures, the current regulations shall prevail.

**Article 26.** The Graduate School reserves the right to interpret the above-stated regulations and measures.

**Article 27.** The regulations shall be tried in the fall semester of 2017.

# 留学研究生第一外国语课程免修办法

## 一、留学研究生英语课程免修条件

汉语授课的留学研究生，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：

- (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) (5 年内有效)。
- (3) IELTS 成绩 6.5 分及以上 (5 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、留学研究生汉语口语课程免修条件

英语授课的留学研究生，凡符合以下条件之一者，可申请免修汉语口语课程，并直接获得相应的学分和成绩。具体申请条件和办法如下：

- (1) HSK3 级及以上 (2 年内有效)。
- (2) 在哈尔滨工业大学国际教育学院汉语培训中心完成 B 班及以上汉语课程，且成绩合格。
- (3) 本科或硕士阶段获得中文专业学位或毕业证书。
- (4) 分班测试成绩达到哈尔滨工业大学国际教育学院汉语培训中心 B 班结业水平。

## 三、申请办法

申请免修的硕士和博士留学研究生应于秋季学期第 6-7 周内，到研究生院网上：“硕士（博士）研究生-留学生相关-常见下载-留学生课程相关文件下载”中下载并填写“哈尔滨工业大学留学研究生第一外国语免修申请表”，带齐相关证明材料的原件和复印件到师生服务中心（化学楼 E 栋 1 楼）研究生院窗口办理免修审核手续，逾期不予办理。

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

### **I. Exemption Conditions for the Course of English Language**

For the International Postgraduates in Chinese Program 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:

- (1) International students come from English speaking countries or their official language is English.
- (2) TOEFL score is 80 and above (IBT), valid within 5 years.
- (3) IELTS score is 6.5 and above, valid within 5 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 Exemption Conditions for the Course of Elementary Oral Chinese**

For the International Postgraduates in English Program 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:

- (1) HSK-3 or above, valid within 2 years.
- (2) At the Chinese Training Center of CIE, Complete the Chinese Courses and pass the examination of Class B and above.
- (3) Chinese major certificate or diploma, Bachelor or Master Degree.
- (4) The placement test result is up to Class B level.

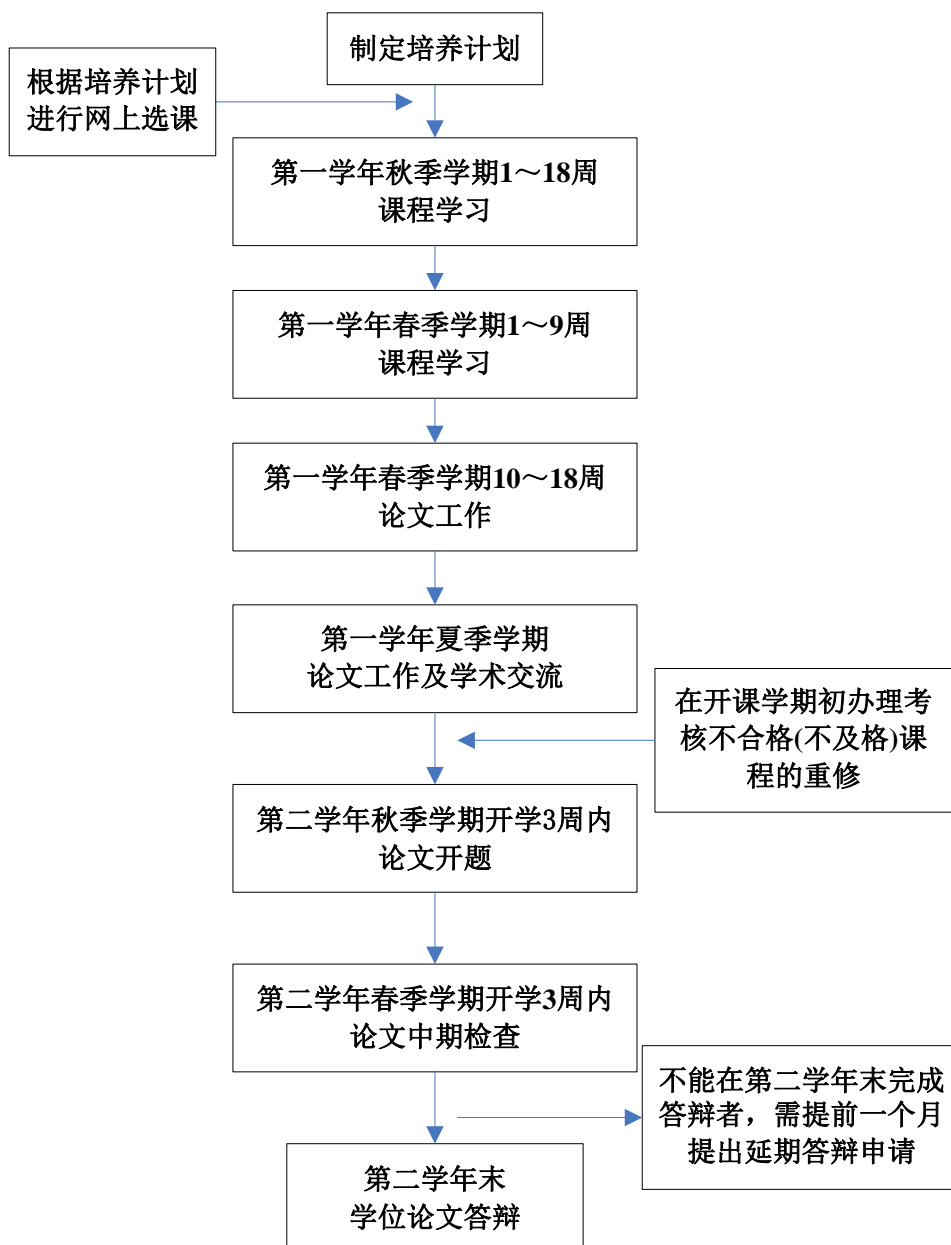
### **III. Application Code**

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 (Download-*Documents about Courses Download for International Students*) within the sixth to seventh weeks of the autumn semester. They need to bring the original documents and related copies to the Graduate

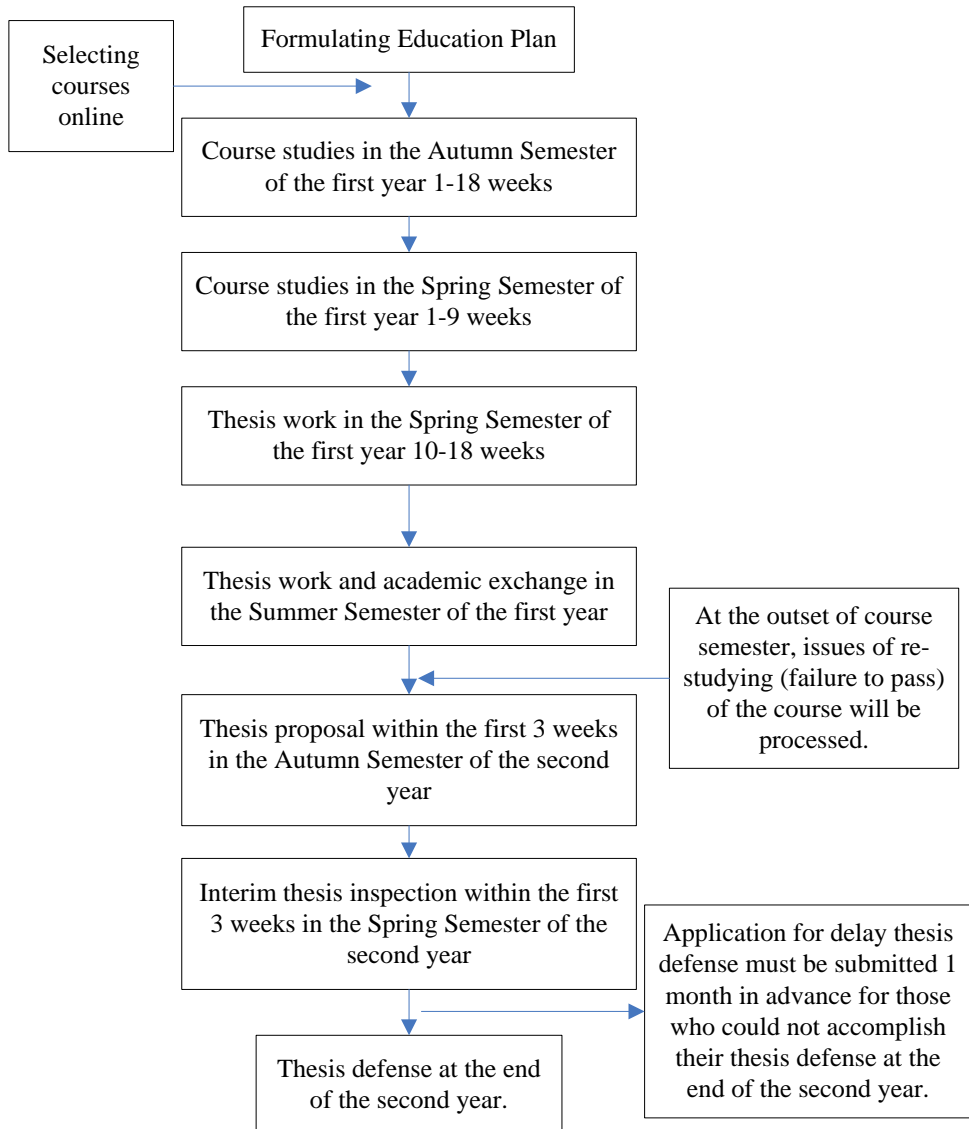
School Windows at Faculty & Student Service Center (1<sup>st</sup> floor of Chemistry Building E) for inspection. After the deadline for exemption, no service is available.



## 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初三周内完成。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. 硕士论文开题以答辩形式进行，研究生用 10~15 分钟汇报，10~15 分钟接受检查组提问。

#### **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，相关信息需在網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 10 to 15 minutes to report to the evaluation panel, and question time is 10 to 15 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

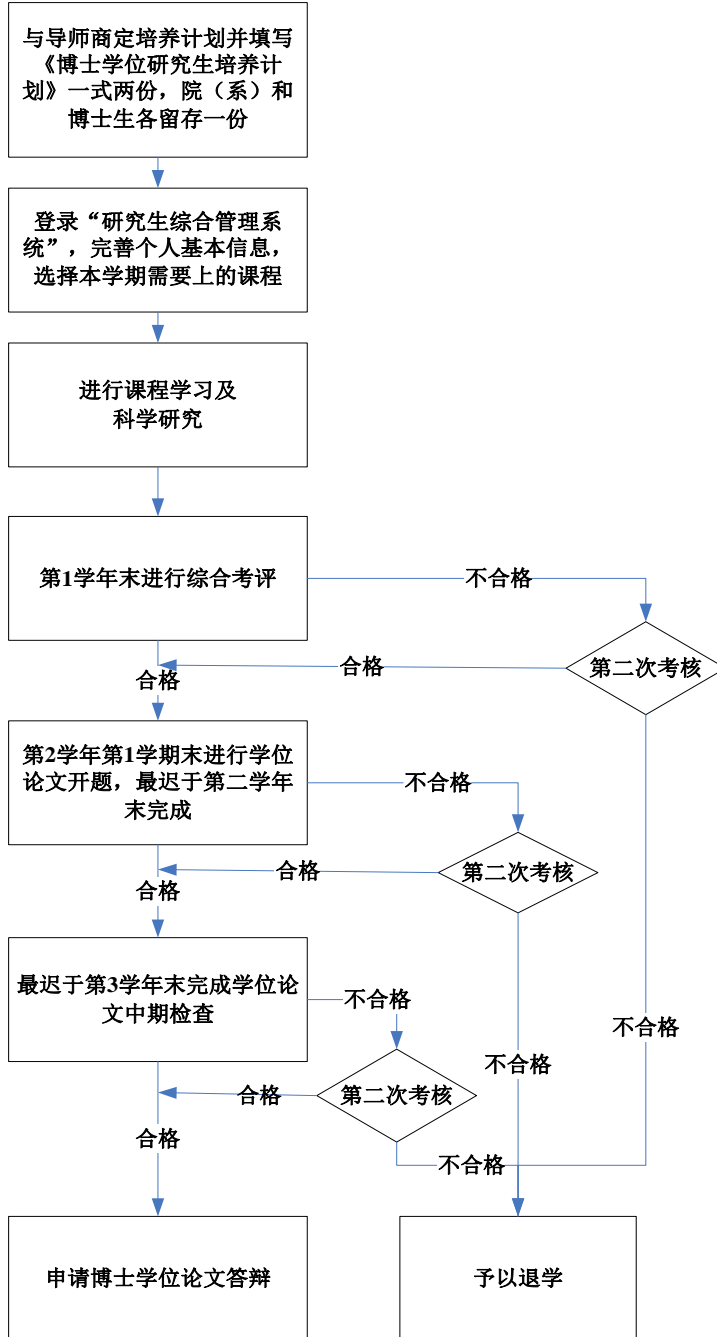


the candidate will be cancelled.

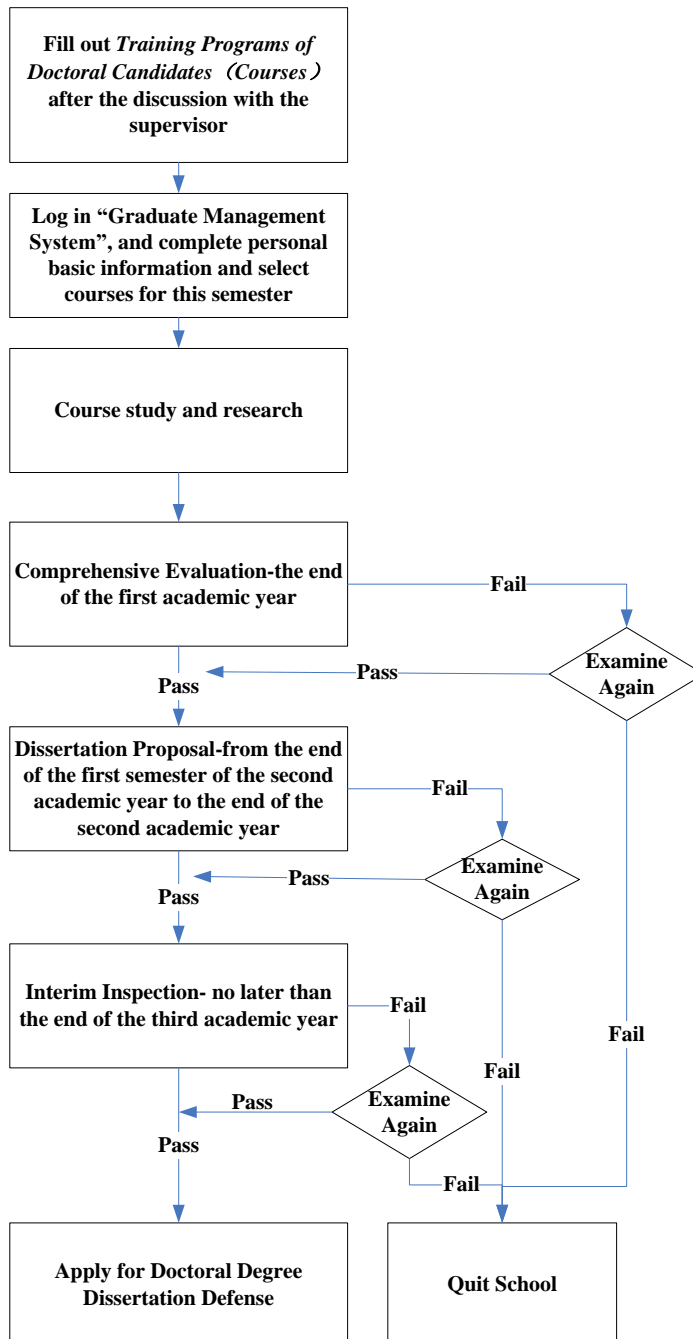
3. Each panel should fill out the *Report Form for Master's Candidates' Interim Inspection* which includes a brief summary, number of candidates that should be inspected, number of candidates' that have been inspected, list of candidates who have passed the inspection, list of candidates who should speed 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须在 3 个月后半年内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 must apply for the second comprehensive evaluation in three months and within six 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，也是师生在所选题目范围内共同切磋，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，须于3个月后半年内再次申请进行。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研究生与涉密学位论文管理实施细则》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 must reapply for doctoral dissertation proposal 3 months later and no longer than 6 months. 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 Graduate student and Dissertation*.

# 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，填写《博士学位论文中期进展考核表》。

## 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. The doctoral candidate must fill out and hand in the *Form for Evaluation of Interim Inspection of Doctoral Dissertation*.

#### **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》、《中华人民共和国学位条例暂行实施办法》和《哈尔滨工业大学学位授予办法》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. 导师审核硕士生对评阅人提出论文存在问题的修改情况；
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）下放学位信息录入权限后填写相关信息。

2. 所在学科需聘请本学科或相关学科的两位于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书》。硕士专业学位研究生学位论文评阅人中，应有相关行业实践领域具有高级专业技术职务的专家。

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书》；
- (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;
- (9) 发表的学术论文;
- (10) 毕业成绩单(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或答辩秘书,答辩秘书不能兼作答辩委员。硕士专业学位研究生答辩委员会成员中,应有相关行业实践领域具有高级专业技术职务的专家。答辩委员会组成由分委员会批准,于答辩前一周报研究生院备案。

5. 答辩前,答辩委员会秘书需到分委会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。

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. 以 PPT 形式展示评阅人对论文提出的具体问题，以及学生针对问题详细修改情况。

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。硕士学位论文答辩未通过者，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。

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*.

### **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. The supervisor should check the master's modifications against the experts' comments.
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, 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 information 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; 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); Master's thesis; published academic papers; transcripts (filled out by secretaries of relevant schools 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 or the secretary of the thesis defense committee. The secretary of the thesis defense cannot be the committee member at the same time. Committee Members of the thesis defense committees should be approved by the Sub-committee of Academic Degrees and should be submitted to the Graduate School for filing.

5. Secretary of the Thesis Defense Committee needs to obtain the following materials from secretaries of Sub-committee of Academic Degrees 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 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, and problems in the dissertation and the modifications should be presented on the Power Point screen.

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 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. The candidates who failed the oral defence can modify their these in one year and take the oral thesis defence the second time with the approval of The Thesis Defense Committee.

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**

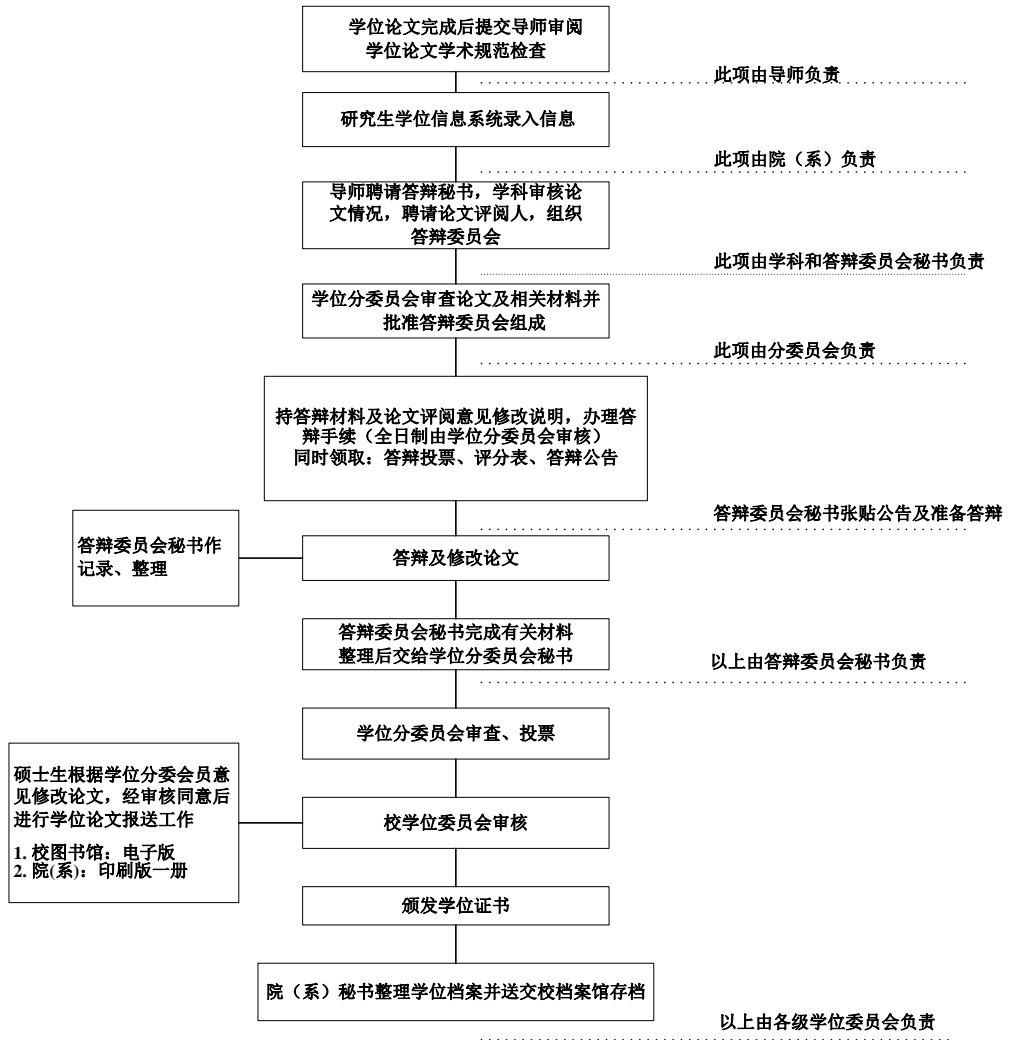
Decision of the Thesis Defense Committee signed by the chairman, together with meeting minutes, votes and defense materials, will be submitted to the Academic Degrees Subcommittee, which by way of secret ballot, will vote again. List of candidates who get two-thirds or more of the total votes signed 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 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**

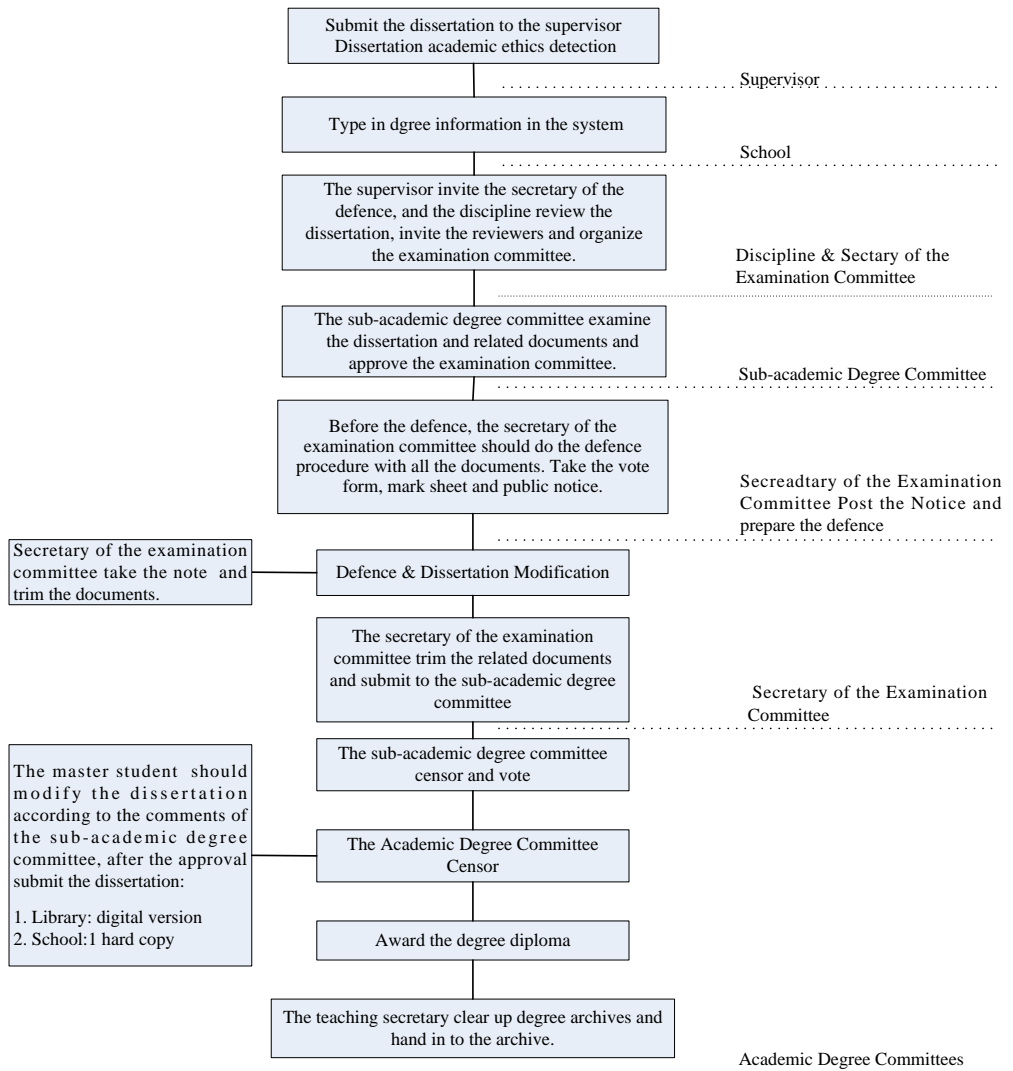
Secretaries of related schools (departments) are responsible for submitting all materials of those master's candidates who have been approved by the Academic Degrees Committee of the university to confer master's degrees to the university archives. For further information about master's degree archives,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



# 硕士研究生申请学位流程图



# Flow Chart of Master Viva Application



# 博士研究生学位论文答辩及学位审查工作细则

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了相应的学术论文及取得了相应的学术成果；
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采用匿名评审、署名评审两种评审方式，评审专家为 2 名。博士学位论文的评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《关于博士学位论文署名评审相关规定》。

2. 涉密博士学位论文、署名评审的博士学位论文及外国留学生的博士学位论文为纸质版送审，其他的博士学位论文均提交电子版通过网络进行评审。送审要求详见《博士学位论文纸质版送审说明》及《博士学位论文网络送审相关说明》。

3. 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逐条给予明确答复，如果认可专家意见，须认真修改完善学位论文，答复时须明确说

明修改补充的内容，并指出论文中修改的相应页码；如不认可专家意见，要详细解释理由，并提供相关的支撑数据或支撑文献。

汇总材料应有导师审阅意见，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，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秘书宣读博士学位论文评审意见及博士生答复意见。

③答辩委员会审议博士生对论文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议。

(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、两年之内且在入学八年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、博士学位审查

博士研究生通过了博士学位论文答辩，并且发表的学术论文及取得的学术成果达到了所在学科授予学位的要求，可向学位分委员会提交相应材料，申请博士学位审查。

学位分委员会须详细审查每位博士生的学位论文及有关材料，确认博士研究生攻读学位期间发表的学术论文及取得的学术成果满足学科要求后，对是否建议授予博士学位进行表决，通过后报校学位委员会。校学位委员会表决通过后，做出是否授予博士学位的决定。

博士生原则上应在学位论文答辩通过后 12 个月内向校学位委员会提交学位论文，进行博士学位审核，逾期不再受理。

对在未满足本学科学术论文（成果）发表要求情况下通过博士学位论文答辩的申请者，受理博士学位审核时间可延长至其学术论文（成果）满足要求后的 6 个月内，但学术论文（成果）须在入学八年内满足学科要求。

经校学位委员会审核未投票表决的博士学位论文，原则上应在 12 个月内完成修改并重新提交校学位委员会审核。学位论文提交校学位委员会审核未投票表决的次数不超过两次。

博士生自取得学籍起超过 8 年的，学校不再受理其博士学位论文答辩和博士学位申请。

## 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 and relevant academic works 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. Expert

evaluations on a doctoral dissertation are anonymous expert's evaluation and onymous expert's 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 Onymous Evaluation on a Doctoral Dissertation*.

2. International doctoral candidates should send hard copy for expert evaluation, details as *Regulations concerning the Evaluation of International Doctoral Students' Dissertation*

3. 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 and the weakness identified by the reviewers. If the reviewers' comments are accepted, the candidates should modify their dissertation earnestly, the modified and supplementary contents and the related page number in the dissertation should be stated definitely; If the reviewers' comments are not accepted, the candidates should give particular reasons and submit related support data or documents.

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 to 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 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* 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).

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

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

④Questions 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.

①Assess 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.

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

③Discuss 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 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. Censorship of Doctoral Degree**

After the final defence has been passed and the published academic papers and achievements have met the requirements for doctoral degree awarding of the discipline, the candidate can submit related documents to the sub-academic degree committee and apply for the degree censoring.

The sub-academic degree committee censor every doctoral dissertation and related documents and confirm that the published academic papers and achievements meet the requirements of the discipline, the sub-academic degree committee vote for the candidates’ application of doctoral degree. The approved application will be submitted to the Academic Degree Committee. After voted

and approved by the Academic Degree Committee, the decision of awarding doctor degree will be made.

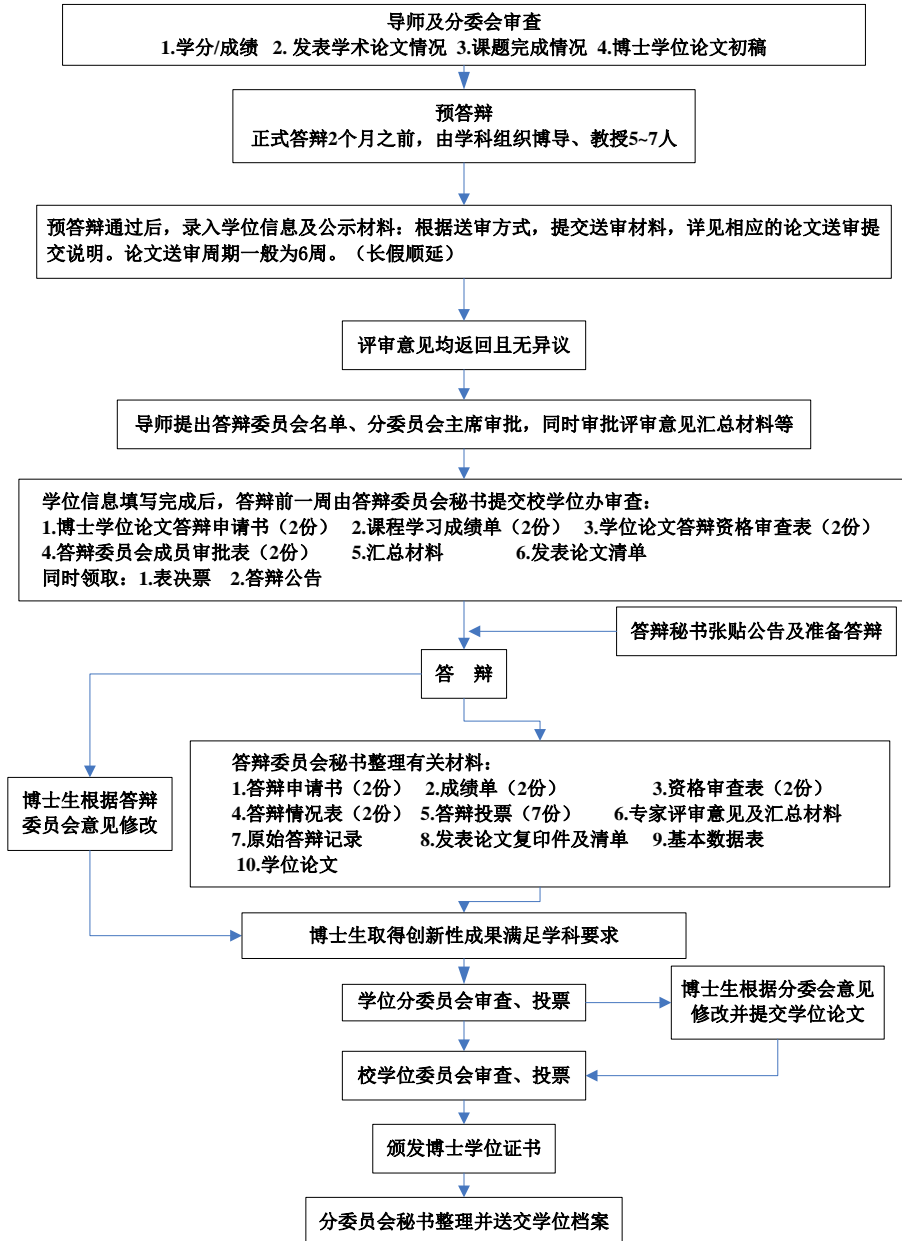
The doctor candidates should hand in the dissertation to the Academic Degree Committee after the viva defence within 12 months to apply for the doctor degree censoring, otherwise the application will not be accepted.

The doctor candidates who passed the viva defence under the situation of unsatisfactory of the academic requirements of the discipline can apply for their degree censoring within 6 months after their academic works match the requirements within 8 years from the enrollment.

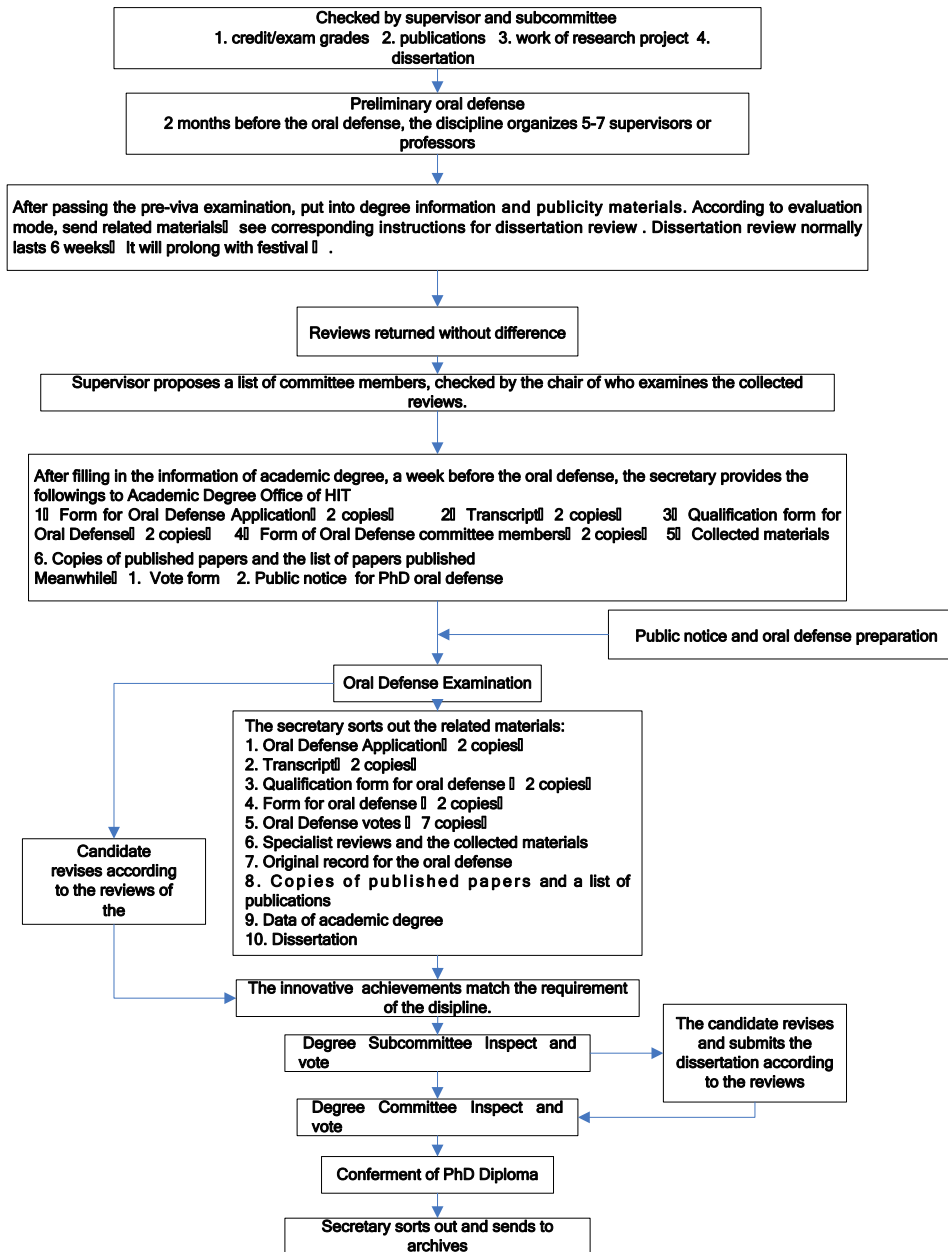
The doctor candidates whose dissertation were not voted by the Academic Degree Committee should modify and hand in their dissertations to the Academic Degree Committee for censoring within 12 months. And the situation of not being voted cannot be more than twice.

If the doctoral candidates have been at school over 8 years from enrolled, their application for doctor degree will not be accepted.

# 申请博士学位流程图



# Flow Chart of PhD Viva Application





# 关于博士学位论文同行专家评审的相关规定

(经校学位委员会第 172 次会议审议通过)

经校学位委员会常委会讨论决定,自 2020 年春季学期起,我校每本博士学位论文送 2 名同行专家评审,有关送审程序及专家评审意见的处理办法规定如下。

## 一、有关程序

1. 博士学位论文同行专家评审在博士生预答辩通过后进行。学位论文评审的具体工作由校学位办负责,采用匿名方式送审。

2. 进行博士学位论文同行专家评审前,博士生须提交以下材料:

(1) 博士学位论文;

(2) 为避免不公正评审,可以同时提交不超过 5 名要求回避的专家名单。

3. 为保证评审专家有充分的时间审阅博士学位论文,论文评审时间一般 6 周。

4. 对于涉密学位论文,匿名送审范围为学校保密工作委员会确认的高校及研究所。导师及博士生可以提交不超过 5 名要求回避的单位名单。

## 二、专家评审意见及后续工作

1. 专家评审意见

我校博士学位论文的专家评审意见共分为四档:

A: 创新性成果突出,无须修改或小修后答辩

B: 达到博士学位论文的要求,须进一步修改后答辩

C: 基本达到博士学位论文的要求,须较大修改后答辩

D: 没有达到博士学位论文的要求,不同意答辩

2. 评审后续工作

(1) 评审意见均为 C 及以上时

可以进行答辩。但需参考评审意见认真修改论文,并写出修改说明,经导师及学位分委员会审核同意并签署意见。评审意见为(B, C)修改时间不少于 1 个月,评审意见为(C, C)修改时间不少于 3 个月。

(2) 评审意见为(A, D)、(B, D)时

评审意见为（A，D）、（B，D）时须二次送审。博士学位申请人须参考评审意见认真修改论文（修改时间一般不少于 1 个月）并写出修改说明，经导师、分委会审核并签署意见后，报送校学位办。校学位办将修改后的论文和修改说明转呈提出意见的原专家再次评审，并另请 1 名专家对论文进行再审。再次送审返回的专家评审意见均为 C 及以上，则可以申请答辩；再次送审返回的专家评审意见有一份为 D，则由校学位委员会指定专家组，对该博士学位论文、评审专家意见、博士生及导师回复意见等进行复议并提出处理意见；再次送审返回的专家评审意见均为 D，则执行本项第（4）条。

如博士生及其导师不认可评审意见 D，必须明确提出理由及有关说明，经学位分委员会、学位办聘请专家审核同意后，校学位办将另请 2 名专家对原论文再次送审。再审时将附上初审的 2 份评审意见及博士生的有关说明材料。再次送审返回的专家评审意见均为 C 及以上，则可以申请答辩；再次送审返回的专家评审意见有 D，则执行本项第（4）条。

#### （3）评审意见为（C，D）时

需对论文内容进行认真修改或补充，修改时间不得少于 6 个月，并送原专家再审。

#### （4）评审意见为（D，D）时

本次答辩申请无效。必须对论文内容进行较大调整或补充，论文修改时间不得少于 1 年，重新进行学位论文预答辩。

### 三、其它事项

如存在学术评价之外的极特殊情况，由校学位会裁决。

自本规定执行之日起，原《关于博士学位论文同行专家评审的相关规定》（2008 年）即行废止。

# Regulations on Peer Expert Review of Doctoral Dissertations

(Approved by the HIT Academic Degrees Committee at the 172nd meeting)

The Standing Committee of the HIT Academic Degrees Committee discussed and decided that each doctoral dissertation should be submitted to 2 peer experts to review from the spring semester of 2020. The procedures for submission and the avenues of experts' review opinions are as follows.

## **I. Relevant procedures**

1. The peer expert review of doctoral dissertations is conducted after the doctoral candidate's pre-defense. The specific work of dissertation review shall be carried out by HIT Academic Degree Office. The dissertation will be sent out by anonymous way.
2. Prior to peer expert review of doctoral dissertation, the doctoral student should submit the following materials:
  - (1) The doctoral dissertation.
  - (2) To avoid injustice, the candidate may submit a list of no more than 5 experts to avoid.
3. It will take 6 weeks for the reviewers to review the doctoral dissertations.

## **II. Expert review and the follow-up work**

1. Expert evaluation on the doctoral dissertation falls into four grades:
  - A: The innovative achievements are outstanding, and the viva can be conducted with no amendment or some minor amendments in the dissertation.
  - B: The doctoral dissertation meets the requirements, and the viva can be conducted with some further amendments in the dissertation.
  - C: The doctoral dissertation basically meets the requirements, but the viva can be conducted with major amendments in the dissertation.
  - D: The doctoral dissertation fails to meet the requirements, unfit for viva.
2. Follow-up work
  - (1) **All the evaluation results are "C" or above**

The viva can be conducted. But it is necessary to carefully revise the dissertation with the reference to the experts' evaluation, and justify the modification in written form, approved and signed by the supervisor and sub-Academic Committee. It should take no less than 1 month to modify the dissertation with evaluation result (B,C). It should take no less than 3 months to modify the dissertation with evaluation result (C,C).

**(2) The evaluation results are (A, D) or (B, D)**

The dissertation should be sent out to expert review the second time when the evaluation results **(A, D) or (B, D)**. It is necessary for the doctoral degree applicants to carefully revise the dissertation with the reference to the expert's evaluation (usually the time limit is no less than a month), and justify the modification in written form, which are examined and signed by the supervisor and the Sub-Academic Committee, then reported to HIT Academic Degree Office.

HIT Academic Degree Office shall invite another expert to review the doctoral dissertation, and meanwhile submit the dissertation and modification reports to the original experts to review.

If the secondary review results are C or above, the application for viva can be submitted. If there is a D within the secondary review results, the HIT Academic Degrees Committee will designate an expert group to re-examine the doctoral dissertation, the evaluation opinions of the experts, and the replies from the candidate and the supervisor, and propose the suggestions of settlement. If all the results are D, the case shall be handled in accordance with the article of (4) in the current regulations.

If the candidate and the supervisor disagree with the experts' opinions, explicit and persuasive reasons and justifications must be provided. After the approval of the experts invited by the Sub-Academic Committee and HIT Academic Degree Office, HIT Academic Degree Office will ask another two experts to review the doctoral dissertation.

The re-review shall be accompanied with the evaluations from the first two experts, together with the justification materials from the candidate. If the results are all C or above, the application for viva can be submitted. If there is a D, the case shall be handled in accordance with the article of (4) in the present regulations.

**(3) The evaluation results are (C, D)**

It is necessary to make a serious revision or supplement to the content of the dissertation, and the revision time of the dissertation is usually no less than 6 months. Then the review shall be re-sent to the original experts.

**(5) The evaluation results are (D, D)**

The application for viva is invalid. It is necessary to make a major revision or supplement to the content of the dissertation, and the revision time of the dissertation shall not be less than a year. The dissertation defense shall be re-done.

**III. Others**

If there are extremely special circumstances other than academic evaluation, the HIT Academic Degrees Committee will decide.

As of the date of implementation of these regulations, the original *Regulations on Peer Expert Review of Doctoral Dissertations* (2008) shall be annulled.

# 关于博士学位论文署名评审相关规定

为了进一步加强博士学位论文同行专家评审对我校博士学位论文水平提升的作用，培育优秀博士学位论文，经哈尔滨工业大学学位委员会十届七次常务委员会会议讨论决定对在博士生培养过程中一贯严格要求，并已取得突出成绩的导师认定的其本人指导的优秀博士学位论文，或已经取得突出研究成果且撰写水平高的博士学位论文，由导师自行确定相关研究领域的知名专家进行署名评审。其它学位论文的评审方式不变。署名评审博士学位论文确定及送审办法如下：

## 一、博士学位论文署名评审的基本条件

满足下面两个条件之一的博士学位论文可以署名送审：

在博士生培养方面取得突出成绩的博士生导师所认定的其本人指导的优秀博士学位论文。

在博士生培养方面取得突出成绩是指所指导的博士生有 1 人及以上获得全国优秀博士学位论文奖或全国优秀博士学位论文提名奖，或有 2 人及以上获得校优秀博士学位论文奖。

2. 发表文章达到所在学科署名评审条件的博士学位论文（具体见附件《署名评审博士学位论文发表学术论文的基本要求》）。同时论文应满足学风严谨，结构合理、层次分明，语言文字表达准确、流畅，图表规范等要求。

## 二、署名评审博士学位论文的确定

满足署名评审基本条件的博士学位论文，由导师提出书面推荐意见，经预答辩委员会评定和学位分委员会审核通过的博士学位论文实行署名送审（填写《哈尔滨工业大学博士学位论文署名评审推荐表》）。

## 三、署名评审博士学位论文的送审

为了便于顺利联络到有关同行专家进行博士学位论文评审，对确定为署名评审的博士学位论文，由导师提出 2 名满足学校要求的校外的本领域国内外知名专家名单，校学位办按照导师推荐的专家名单顺序，负责联系其中 2 名专家进行博士学位论文评审。

## 四、其他

1. 各学科每年进行署名评审的博士论文数量（不含外国留学生）不应

超过本学科该年度博士毕业生总人数的 30%。

2. 为保证论文的评审时间和论文的修改时间，学生自提交送审论文至学位办起，15 日后方可办理正式答辩手续。同时为确保博士学位论文质量，学校将加强署名评审博士学位论文工作的监督检查和管理。

# 署名评审博士学位论文发表 学术论文的基本要求

## 1. 数学学科

应满足以下二项基本要求之一：

- (1) 发表国际公认的顶级数学 SCI 期刊 1 篇；
- (2) 发表至少 2 篇中科院 SCI 分区二区及以上期刊（不包括网络和付费期刊）。

## 2. 力学学科

应满足以下二项基本要求之一：

- (1) 在中科院 SCI 期刊分区目录一区的期刊上发表 1 篇以上论文；
- (2) 在 SCI 收录期刊上发表 3 篇以上论文，且影响因子之和大于 4。

## 3. 机械工程学科

在 SCI 检索的学术刊物上发表 4 篇及以上学术论文，或发表 JCR 一区、中科院二区学术论文 2 篇及以上，或单篇学术论文的 SCI 他引次数为 6 次及以上。

## 4. 材料科学与工程学科

(1) 材料学学科、材料物理与化学学科、光电信息科学与工程学科博士论文满足下列条件：

①在如下期刊上发表 1 篇及以上学术论文： Nature 和 Science 及其子刊，Acta Materialia, Advanced Materials, J. American Chemical Society, Proc. of National Academy of Science of USA, Physical Review Letter, Advanced Energy Materials, Advanced Functional Materials, Biomaterials, Angew Chem Int Ed, Energy & Environmental Science。

②在中科院 SCI 期刊分区目录一区的期刊上发表 6 篇及以上学术论文。

(2) 材料加工工程学科、材料与器件空间环境效应科学与技术学科博士论文满足下列条件之一：

①在如下期刊上发表 1 篇及以上学术论文：Nature 和 Science 及其子刊，Acta Materialia, Int. J. of Plasticity, Additive Manufacturing, J. of Mechanics



and Physics of Solids, Int. J. of Machine Tools & Manufacture, Advanced Materials, Advanced Functional Materials, ACS Applied Materials & Interface, Materials Today Physics, Physical Review Letter, Progress in Materials Science, Materials Science & Engineering R。

②在中科院 SCI 期刊分区目录一区的期刊上发表 3 篇及以上学术论文。

#### 5. 动力工程及工程热物理学科

满足以下三项条件之一：

(1) 在本领域知名刊物上，被 SCI 检索不能少于 6 篇；

(2) 如果被 SCI 正面他引频次数量较多，15 次以上，文章数量可少到 5 篇；

(3) 影响因子之和大于 20。

#### 6. 电子科学与技术学科

攻读博士学位期间所发表的 SCI 论文影响因子累计大于等于 6.0，且其中至少有一篇影响因子大于等于 3.0。

#### 7. 控制科学与工程学科

需满足以下三个条件之一：

(1) 攻读博士学位期间至少发表 3 篇 SCI 检索论文，其中至少 1 篇发表在学科顶级国际期刊，如 Automatica、IEEE Transactions、AIAA 等；

(2) 攻读博士学位期间发表 SCI 检索论文 2 篇，且系统完成某重要科研项目并已通过国家或省部级鉴定或验收；

(3) 攻读博士学位期间发表 SCI 检索论文 2 篇，且系统完成某重要科研项目并有 2 项以上发明专利获得授权。

注：1. 学生为第一作者或通讯作者；

2. 导师（副导师）为第一作者，学生为第二作者。

#### 8. 计算机科学与技术学科

需同时满足以下要求：

(1) 论文影响力积分超过 4.0 且其中 1 篇为高水平期刊论文<sup>[註 1]</sup>，或发表 2 篇高水平期刊论文<sup>[註 2]</sup>；

(2) 博士学位论文水平整体达到校优秀博士论文的水平。

注 1：“论文影响力积分”的计算方法：SCI 论文按影响因子折合为等值积分（比如 SCI 影响因子为 1.498，则积 1.498 分），顶级国际会议按 1.0 分计算，重要国际会议论文按 0.5 分计算，其他论文不计。

注 2：“高水平期刊论文”指：SCI 影响因子超过 1.0 的 IEEE/ACM Transaction 论文，或影响因子超过 2.0 的 SCI 期刊论文，或 CCF A 类期刊论文。

注：SCI、SSCI、A&HCI 检索源期刊以哈工大图书馆确认的期刊目录为准。

#### 9. 建筑类学科（供热、供燃气、通风及空调工程方向）

应满足以下两项基本要求之一：

- (1) 发表 4 篇 SCI 文章，其中至少 1 篇影响因子 $\geq 4.0$ ；
- (2) 发表 3 篇 SCI 文章，其中至少 1 篇影响因子 $\geq 5.0$ 。

#### 10. 土木工程与力学学科

应满足以下二项基本要求之一：

(1) 在土木工程学院认定的 A 类国际学术期刊上，公开发表 SCI 学术期刊论文 2 篇及以上；

- (2) 发表学术论文的 SCI 影响因子之和达到 3.0 以上。

**备注：**

1. 论文作者排名：学生作者排名前二位；若前二位均为学生，只计第一作者；

2. 2 项发明专利等效为 1 篇 A 类 SCI 论文，排名与发表论文的要求一致；

3. 发表论文与发明专利的主要内容需与博士论文一致。

#### 11. 化学工程与技术学科

在符合化学工程与技术学科博士生答辩发表论文的一般规定和学校有关规定的前提下，还需在 Science、Nature、Nature 子刊、Angewandte Chemie International Edition、Journal of the American Chemical Society、Advanced Materials、Proceedings of the National Academy of Sciences of the United States

of America 发表（或录用）第一作者学术论文一篇；或在 AIChE Journal、Chemical Engineering Science、Industrial & Engineering Chemistry Research 发表（或录用）第一作者学术论文三篇。

## 12. 航天科学与技术

满足以下条件之一：

（1）在航空宇航科学与技术学科、力学学科、材料学科（复合材料方向）公认的各学科三种顶级学术期刊上发表一篇学术论文；

（2）在 SCI 影响因子大于 2.0 的学术期刊上发表一篇学术论文。

## 13. 环境科学与工程学科

应满足以下两项基本要求之一：

（1）发表 4 篇 SCI 文章，其中至少 1 篇影响因子 $\geq 5.0$ ；

（2）发表 3 篇 SCI 文章，其中至少 1 篇影响因子 $\geq 6.0$ 。

## 14. 管理类学科

管理学院现有博士点中，二级学科行政管理继续执行学校现行博士论文全部匿名外审制度，管理科学与工程和工商管理两个一级学科按下列条件执行。

满足以下条件之一：

（1）在管理学院指定的国外顶级学术期刊以第一作者（或导师为第一作者、本人为第二作者）、通讯作者发表一篇论文；

（2）在满足管理类学科博士生发表论文要求的基础上，以第一作者（或导师为第一作者、本人为第二作者）、通讯作者在国外高水平 SCI/SSCI 期刊和国内顶级学术期刊上发表一篇论文；

（3）在满足管理类学科博士生发表论文要求的基础上，以第一作者（或导师为第一作者、本人为第二作者）、通讯作者在 SCI/SSCI（影响因子 0.5 以上）及国内等同期刊上发表两篇论文。

### 注：各类期刊的认定办法

1. 管理学院指定的国外顶级学术期刊

在 UTD、金融时报等三个国际顶尖管理期刊列表中选择 27 本学术期

刊；

## 2. 国外高水平 SCI/SSCI 期刊

(1) Thomson 数据库 ESI 经济管理方向所列的 586 本期刊；

(2) Thomson 数据库 ESI 属于管理类学科覆盖范围但未包括在经济管理方向、经管理学院学位委员会认定的期刊；

(3) 国内顶级学术期刊：《管理科学学报》、《经济研究》、《中国社会科学》；

## 3. 国内等同期刊

国家自然科学基金委管理学部认定的管理类 30 本重要期刊（管理科学学报、公共管理学报、管理科学除外）。

## 15. 生物医学工程学科

偏基础研究博士生发表论文要求：发表 SCI 检索论文 3 篇以上，其中有一篇影响因子达 4.0 以上；或单篇论文影响因子达 7.0 以上；同等条件下，以影响因子高者优先。

偏工程博士生发表论文要求：发表文章在满足匿名评审发表文章要求的基础上，发表 EI 检索论文 3 篇及以上，如有 SCI 论文，影响因子达 1.5 以上；同等条件下，以影响因子高者优先。

物理学学科、仪器科学与技术学科、电气工程学科、信息与通信工程学科、建筑学学科（供热、供燃气、通风及空调工程方向除外）、交通运输工程学科不实行署名评审。

# 关于博士研究生在攻读学位期间 取得创新性成果的要求 (试行)

校学位〔2020〕47号

《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取得创新性成果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。为更准确地评估博士生创新能力和综合素质，鼓励多元评价，激励博士生开展原创性、前沿性、跨学科研究，我校各学位分委会对博士研究生在攻读学位期间取得与博士学位论文工作密切相关的创新性成果做出如下规定：

## 1. 人文与社会科学学位分委会

经社会学学科学位分委会讨论，博士研究生在攻读学位期间取得与博士学位论文工作密切相关的创新性成果，并需提供支撑性成果——在发表1篇高水平期刊和2篇核心期刊（见学院通知附录1）论文后，可以申请博士学位。

博士研究生发表高水平论文的优先推荐优秀博士论文。为此，对博士研究生高水平创新性成果做出如下补充规定：

（1）发表在原社会学学科博士生高水平期刊（见学院通知附录2）的论文被认定为高水平论文。

（2）人文社科与法学院、马克思主义学院认定的A类期刊可认定为高水平论文。

（3）满足以下条件的创新性成果可被认定为1篇高水平论文：

A. 在我校和国家社科基金后期资助项目公告认定的高水平国家级出版社出版专著或合著1部，博士生在作者排序中为前两位且撰写不低于15万字的——视为高水平论文。

B. 获得省部级人文社会科学优秀成果奖三等奖1项以上（含三等奖）（博士研究生在获奖成果中的作者排序应该为：一等奖前四，二等奖前三，

三等奖前二)或参与国家级纵向课题(排前四),可视为高水平论文。排名前四、前三、前二的前述博士生需提供佐证证明相应 1/4、1/3、1/2 的获奖成果或课题的工作量。

C. 2 篇 CSSCI 等同于 1 篇高水平论文。

(4) 主笔(学生为第一作者,或者导师为第一作者、学生为第二作者)撰写社会服务类政策建议,获得一项省部级(含副部级)批示或采纳视为高水平论文一篇;获得一项地厅级(含副地厅级)批示或采纳视为核心期刊论文一篇。同一成果按最高批示计,不重复计算。

其他说明:

(1) 发表的学术论文第一作者及通讯作者的署名单位均须为哈尔滨工业大学;文章署名中一般应有导师,且博士生必须是所发表论文的第一作者或第二作者(第一作者为导师)。

(2) 省部级社会科学优秀成果奖应归属哈尔滨工业大学;非全日制培养的在职博士生创新性成果应归属哈尔滨工业大学或其在职工作单位。

## 2. 数学学科学位分委会

经数学学科学位分委会讨论,对数学、统计学学科博士研究生在攻读学位期间取得与博士学位论文工作密切相关的创新性成果做出如下规定,博士研究生满足以下条件之一可以申请博士学位:

(1) A 类创新性成果 1 项;

(2) B 类创新性成果 2 项;

A 类创新性成果:本学科认定的高水平学术期刊(期刊列表见学院通知附录);

B 类创新性成果:SCI 检索论文(发表或接收发表(需提供接收函))。

为了鼓励博士生潜心从事基础性和原创性研究工作,支持导师安排博士生在某个前沿领域长期攻关力争取得突破性、颠覆性科研成果,虽然部分博士生在攻读博士学位期间没有取得上述 A、B 类等显性科研成果,但在该领域取得了导师认可的阶段性高水平研究成果,且博士学位论文水平高,经 3 名同行专家推荐和学位分委会讨论认定同意,也可以申请博士学位。

涉及成果认定的相关要求,成果署名可依照数学学科的国际惯例,按姓名字母顺序排列。

## 3. 物理学学科学位分委会

经物理学学科学位分委会讨论，对博士研究生在攻读学位期间取得与博士学位论文工作密切相关的创新性成果做出如下规定，满足以下条件之一可以申请博士学位：

(1) 在 SCI 检索源期刊发表四篇以上（含四篇）论文，或所发表的 SCI 检索源论文的影响因子总和在 4.0 以上（包含 4.0）。

(2) 在 SCI 检索源期刊或 EI 检索源期刊或物理学学科认定的中文期刊上发表四篇以上（含四篇）论文，其中至少有两篇（含两篇）论文在 SCI 检索源期刊发表，已授权的专利可替代 EI 源期刊论文。

为了鼓励博士生潜心从事原创性、前沿性、跨学科研究工作，支持导师安排博士生在某个前沿领域长期攻关力争取得突破性、颠覆性科研成果，虽然部分博士生在攻读博士学位期间所取得的创新型成果不满足以上 2 个条件之一，但在该领域取得了导师认可的阶段性高水平研究成果，且博士学位论文水平高，经 3 名国内同行专家推荐和学位分委会讨论认定同意，也可以申请博士学位。

注：物理学学科认定的中文期刊有《光学学报》、《中国激光》、《发光学报》、《应用光学》、《中国光学》、《物理学报》、《核聚变与等离子体物理》、《科学通报》、《中国科学：物理学 力学 天文学》、《硅酸盐学报》、《原子核物理评论》、《天文与天体物理》、《低温物理学报》、《高压物理学报》。

#### 4. 力学学科学位分委会

经航天学院力学学科学位分委员会讨论，本学科对工学博士研究生在攻读学位期间创造性的成果的基本要求如下：

(一) 博士学位论文取得的成果需要满足以下三项要求之一：

(1) 在 JCR 一区期刊上发表 1 篇学术论文。

(2) 发表学术期刊论文 3 篇，其中至少 1 篇为 SCI 收录论文，中文学术期刊应为核心以上期刊。

(3) 发表学术期刊论文 2 篇，其中至少 1 篇为 SCI 或 EI 收录论文，另有 1 项授权发明专利或软件著作权（专利和软件应已在工程中应用并取得成果）。

(4) 发表的 SCI 论文影响因子之和大于等于 5。

(二) 成果替代方案：

(1) 获得国家、省部级科技奖励。国家级科技成果奖（有获奖证书）或部（省）级科技成果奖（一等奖排名前3名、二等奖排名前2名），等同于一篇SCI期刊论文。

(2) 编写国际、国家、行业标准的章节负责人等同1篇SCI期刊论文，一般参编人等同1篇核心期刊论文。

(3) EI收录的国际会议论文等同于1篇核心期刊论文。

(三) 博士生的学术论文及成果需与博士学位论文密切相关，投稿前应经导师审阅同意。论文署名中一般应有导师，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，论文的通讯作者单位应归属哈工大。有关发明专利和软件著作权的署名要求与学术论文相同。

(四) 对已被国外期刊录用的学术论文，在论文的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论文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论文情况确认表，待有DOI号和校对稿后再发博士学位证书。

## 5. 机械工程学科学位分委会

经机械工程学科学位分委会讨论，对机械工程（含航空宇航制造工程）学科博士研究生在攻读学位期间取得与博士学位论文工作密切相关的创新性成果做出如下规定，博士研究生在至少发表1篇SCI检索论文的基础上，研究成果（含上述SCI论文）满足以下条件之一可以申请博士学位：

(1) A类创新性成果1项；

(2) B类创新性成果2项；

(3) B类创新性成果1项和C类创新性成果2项。

A类创新性成果主要包括：中科院二区及以上论文或JCR一区论文；学科认定的国内A类期刊论文（学院通知附件1）；国家级科研奖励（有证书）；省部级一等奖（有证书）；已产生重大效益的授权发明专利（申请日期为博士在读期间）等。

B类创新性成果主要包括：SCI检索论文；高水平国际会议发表并宣读论文（学院通知附件2）；省部级二等奖（有证书）；国际/内授权发明专利（申请日期为博士在读期间）；参与撰写高水平专著（撰写字数1万字以上，



有署名)；参与制定国家或行业标准(有署名)；参与撰写并被采纳的国家或省部级咨询报告(有署名)；排名第1或2获得国际/内重要科技或创新创业大赛特等、一等奖(附件3)；研究成果取得了显著的经济或社会效益(鉴定证书等)等。

C类创新性成果主要包括：EI检索期刊论文或EI检索会议论文；其他国际会议或国内二级以上学会学术会议发表和宣读论文，并获top奖(如会议最佳论文奖等，有证书)；省部级三等奖(有证书)；软件著作权；参与完成重大项目的结题报告、科技报告、国防报告(有署名)；排名第1获得国际/内重要科技或创新创业大赛二等奖(学院通知附件3)等。

为了鼓励博士生潜心从事基础性和原创性研究工作，支持导师通过安排多届博士生在某个前沿领域长期攻关力争取得突破性、颠覆性科研成果，虽然部分博士生在攻读博士学位期间没有取得上述A、B、C类等显性科研成果，但在该领域取得了同行及导师认可的阶段性高水平研究成果，且博士学位论文水平高，经导师推荐和学位分委会讨论认定同意，也可以申请博士学位。

其他说明：

对于博士生所取得的未在本要求所规定目录内(如期刊、会议、大赛等的动态变化)的创新性成果，应由本人申请，导师写出明确的推荐意见，报学位分委会审查认定。

## 6. 仪器科学与技术学科学位分委会

为了更科学地评估仪器科学与技术学科博士生创新能力和综合素质，鼓励多元化创新能力培养，激励博士生瞄准国际重大科技前沿问题、国家和国防重大需求和高端仪器与高端装备制造产业需求，开展基础性、原创性、前沿性和跨学科交叉研究；鼓励博士生挑战科技难题，通过发现新规律，发明新方法，突破关键核心技术，解决关键难题；鼓励博士生进行工程应用，完成创新链，获取货真价实的创新成果；鼓励博士生及时总结创新成果，并以恰当的方式表达创新性成果。创新性成果的表达方式主要包括：用于实际工程中，解决了工程中的关键难题，并取得实际效果，得到有关单位的认可；获取国家、省部级或行业学会科技奖励；获授权国内和国际发明专利，制定国家和国际标准，出版学术专著，在具有重要影响力的国内科技期刊或公认的国际顶级或重要科技期刊上发表学术论文，在国

内外顶级学术会议上做邀请报告并发表论文等。经仪器科学与技术学科学位分委会讨论，对博士生在攻读学位期间取得的与博士学位论文工作密切相关的创新性成果做出如下规定，满足以下三类创新性成果条件之一即可以申请博士学位。

(1) 面向国际重大科技前沿问题，取得的创新性成果

博士生针对国际仪器科学领域重大科技前沿问题，取得基础性或原创性重要突破，成果得到验证。作为创新性成果（以博士论文创新点支撑）的主要贡献者，满足下列条件之一：①获得国家自然科学奖二等奖以上，或省部级自然科学奖一等奖（或二等奖前3名），或行业学会一等奖；②在《中国科技期刊卓越行动计划入选期刊目录》（学院通知附件1）领军期刊、本学科领域顶级或权威国际学术期刊（学院通知附件2）上发表1篇学术论文，或在本学科及密切相关学科中科院一区期刊（按期刊三年平均影响因子排序，JCR期刊引证报告学科排名前5%的期刊）发表1篇学术论文。

(2) 面向国家或国防重大需求，取得的创新性成果

博士生针对仪器科学领域国家或国防重大需求开展研究，取得关键性技术突破，解决重要技术难题，产生重要效果。作为创新成果（以博士论文创新点支撑）的主要贡献者，满足下列条件之一：①成果得到权威部门的认可，如国家级计量部门出具的测试报告，且测试结果表明其成果达到国内领先水平或国际先进水平，或得到应用单位的认可，如验收报告或应用证明；②获得国家技术发明奖二等奖以上，或省部级技术发明奖一等奖以上（或二等奖前3名），或行业学会一等奖以上；③在《中国科技期刊卓越行动计划入选期刊目录》（学院通知附件1）领军期刊或重点期刊、本学科领域顶级、权威或重要国际学术期刊（学院通知附件2）上发表1篇学术论文，或在本学科及密切相关学科JCR期刊引证报告一区期刊发表1篇学术论文，与此同时，在本学科领域权威国际学术年会（学院通知附件3），或JCR期刊引证报告四区及以上期刊，或EI源期刊（学院通知附件4）上发表1篇学术论文。

(3) 面向高端仪器产业或高端装备制造产业需求，取得的创新性成果

博士生针对高端仪器产业或高端装备制造产业需求，在新产品研发或关键核心技术攻关方面取得突破，使产品性能得到明显提升，取得创新性成果。作为创新成果（以博士论文创新点支撑）的主要贡献者，满足下列

条件之一：①创新成果得到市场认可，如获得经济效益，或产品性能得到权威部门的认可，如国家级计量部门出具的测试报告；②获得国家科技进步奖二等奖以上，或省部级科技进步奖一等奖以上（或二等奖前3名），或行业学会一等奖以上；③建立1项国际或国家标准（排序在前二名，若排名第二，导师或副导师应是第一名），同时在附件1、2、4期刊目录规定的期刊中发表1篇论文，或在JCR期刊引证报告四区以上期刊发表1篇论文；④在A：《中国科技期刊卓越行动计划入选期刊目录》（学院通知附件1）、B：JCR期刊引证报告四区及以上期刊、C：EI源期刊（学院通知附件4）、D：本学科领域权威国际学术年会（学院通知附件3）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A、B或C规定的期刊上，且应有1篇用外文撰写。

注：为培养博士生系统总结创新性成果的能力，鼓励博士生在实质性技术创新突破的基础上，在发明专利、专著、标准、科技奖励等多方面取得成绩，以多种方式表达创新性成果。在博士生创新性成果判断中，补充如下内容：在发表1篇附件1、2、4期刊目录中规定的期刊论文的基础上，或发表1篇JCR期刊引证报告四区以上期刊论文的基础上，认同如下与博士论文创新点密切相关的发明专利、专著、标准、科技奖励等学术成果：

（1）授权的中国发明专利（排序在前二名，若排名第二，导师或副导师应是第一名）；外国（主要为美国、德国、英国、日本等技术发达国家）授权或PCT授权的国际发明专利；多项同类发明专利只按1项计算；

（2）专著（排序在前二名，若排名第二，导师或副导师应是第一名）；

（3）国内行业标准、团体标准、地方标准（排序在前二名，若排名第二，导师或副导师应是第一名）；多项同类标准只按1项计算；

（4）省部级二等奖（4-6名）；行业学会科技奖二等奖或省部级科技奖三等奖（排序在前二名，若排名第二，导师应是第一名）。

为了鼓励博士生潜心从事基础性和原创性研究工作，以及涉及国防安全的重要研究性工作，支持博士生在某个前沿领域或国防领域长期攻关力争取得突破性、颠覆性科研成果，虽然部分博士生在攻读博士学位期间没有取得上述1、2、3类等显性科研成果，或成果不宜发表，经学位分委会讨论认定同意，博士生在该领域取得阶段性的高水平研究成果，且博士学位论文水平高，也可以申请博士学位。

## 7. 材料科学与工程学科学位分委会

经材料科学与工程学科学位分委会讨论，考虑到材料科学类学科方向（材料物理与化学、材料学、光电信息科学与工程）和材料加工类学科方向（材料加工工程、材料与器件空间环境效应科学与技术）的差异，对博士研究生在攻读学位期间取得与博士学位论文工作密切相关的创新性成果做出如下规定，博士研究生在至少发表 1 篇 SCI（材料科学类方向）、EI（材料加工类方向）检索论文的基础上，并满足以下条件之一可以申请博士学位（若所选条件中包含 SCI 或 EI 论文，则视为已经满足上述相应学科发表论文的基础条件）：

- (1) A 类创新性成果 1 项；
- (2) B 类创新性成果 2 项；
- (3) B 类创新性成果 1 项和 C 类创新性成果 2 项；
- (4) C 类创新性成果 4 项。

A 类创新性成果主要包括：

- (1) 中科院二区及以上论文或 JCR 一区及以上论文；
- (2) 国家级科研奖励（有证书）；
- (3) 省部级一等奖（有证书）；
- (4) 发表的全部学术论文影响因子之和大于 5（材料科学类方向）或

3.5（材料加工类方向）。

B 类创新性成果主要包括：

- (1) 中科院三区及以下或 JCR 二区及以下 SCI 检索论文；
- (2) 省部级科研奖励（有证书）；
- (3) 国际/国内授权发明专利；
- (4) 授权软件著作权（有证书）。

C 类创新性成果主要包括：

- (1) EI 检索期刊论文；
- (2) 中文核心期刊；

(3) 参与完成重大项目的结题报告/科技报告/国防报告（须经院学位委员会评审认定）。

为了鼓励博士生潜心从事基础性和原创性研究工作，支持导师通过安排多届博士生在某个前沿领域长期攻关力争取得突破性、颠覆性科研成果，

虽然部分博士生在攻读博士学位期间没有取得上述 A、B、C 类等显性科研成果，但在该领域取得了同行认可的阶段性的高水平研究成果，且博士学位论文水平高，经学位分委会讨论认定同意，也可以申请博士学位。

### 8. 动力工程与工程热物理学科学学位分委会

经动力工程及工程热物理学科学学位分委员会讨论，对博士研究生在攻读学位期间取得与博士学位论文工作密切相关的创新性成果做出如下规定：动力工程及工程热物理学科博士生满足以下条件之一可以申请博士学位：

(1) 发表顶级期刊（学院通知附表 1）论文 1 篇；同时具备非匿名评审资格。

(2) 发表中科院二区及以上论文或 JCR 一区论文 1 篇，且同时至少发表一篇 EI 检索论文；或者发表的多篇学术论文 SCI 影响因子之和大于 5。

(3) 在发表 1 篇 SCI 检索论文的基础上，取得 A 类创新性成果 1 项。

(4) 在发表 1 篇 SCI 检索论文的基础上，取得 B 类创新性成果 1 项和 C 类创新性成果 1 项。

A 类创新性成果主要包括：

(1) 国家级科研奖励（有证书）。

(2) 省部级一等奖（有证书）。

(3) 参与编写国家标准或国家行业标准（正式颁布并在主要编写人一栏中有署名）。

(4) 已产生重大效益的授权发明专利<sup>【\*】</sup>。

B 类创新性成果主要包括：

(1) 发表国内一级学会期刊论文 2 篇（学院通知附件 2）。

(2) 省部级二等、三等奖（有证书）。

(3) 国际授权发明专利，1 项；国内授权发明专利，2 项。

(4) 参与撰写高水平专著 8 万字以上，（在封面有署名、或在前言中有说明）。

(5) 参与编写国家标准或编写国家行业标准（章节负责人、有署名）。

(6) 研究成果取得了显著的经济或社会效益<sup>【\*】</sup>。

C 类创新性成果主要包括：

(1) 发表 EI 检索期刊/会议论文 1 篇。

(2) 国内核心期刊或国际/内会议论文，2 篇。

(3) 软件著作权，2 项。

(4) 作为骨干参与完成重大项目结题报告、科技报告、国防报告（需提供佐证材料）。

为鼓励博士生潜心从事基础性和原创性研究工作，支持导师通过安排多届博士生在某个前沿领域长期攻关力争取得突破性、颠覆性科研成果，虽然博士生在攻读博士学位期间没有取得上述 A、B、C 类显性科研成果，但在该领域取得了阶段性的高水平研究成果，且博士学位论文水平高，经学位分委会讨论认定同意，也可申请博士学位。

其他说明：

(1) 共同第一作者、多通讯作者学术论文的认定方法：该期刊的影响因子在 6.0 以上（含 6.0，以论文发表的年份为依据）或该期刊为中科院分区确认的 Top 期刊。

(2) A 类第（4）及 B 类第（6）创新成果，要求有明确的佐证材料，并由动力工程及工程热物理学科学学位分委员会讨论认定。

### 9. 电气工程科学学位分委会

经电气工程科学学位分委员会讨论，对博士研究生在攻读学位期间取得与博士学位论文工作密切相关的创新性成果做出如下规定，博士研究生在至少发表 1 篇 SCI 检索论文的基础上，含该论文在内的全部研究成果满足以下条件之一可以申请博士学位：

(1) A 类创新性成果 1 项；

(2) B 类创新性成果 2 项；

(3) B 类创新性成果 1 项和 C 类创新性成果 2 项。

A 类创新性成果主要包括：中科院二区及以上论文或 JCR 一区论文；发表的多篇学术论文影响因子之和大于 6；国家级科研奖励（有证书）；省部级一等奖（有证书）。

B 类创新性成果主要包括：SCI 检索论文；学科认定期刊（中国电机工程学报、电工技术学报、电力系统自动化）论文；国际/内会议论文（获得最佳论文奖）；省部级科研奖励（有证书）；国际/内授权发明专利；参与撰写专著至少一章（有学生署名）；参与制定国家或行业标准（学生中前三）；作为主要人员参与撰写国家或省部级科研项目申请书，并且获批（国

国家级学生中前二，省部级学生中前一）；或作为主要完成人参与撰写国家或省部级项目的结题报告或科技报告（由导师出具证明，国家级每个项目不超过 2 人，省部级每个项目不超过 1 人）；获得国际/内重要奖项。

C 类创新性成果主要包括：EI 检索期刊论文或会议论文；软件著作权（排名情况由导师出具证明）；获得国家或省部级学生科技创新奖励。

## **10. 电子科学与技术及光学工程学科学位分委会**

### **电子科学与技术学科：**

经电子科学与技术及光学工程学科学位分委会讨论，对博士研究生在攻读学位期间取得与博士学位论文工作密切相关的创新性成果做出如下规定，博士研究生在至少发表 1 篇 SCI、EI 检索论文的基础上，全部研究成果满足以下条件之一可以申请博士学位：

- (1) A 类创新性成果 1 项；
- (2) B 类创新性成果 2 项；
- (3) B 类创新性成果 1 项和 C 类创新性成果 2 项；
- (4) C 类创新性成果 5 项，且至少一篇发表在学术刊物上。

A 类创新性成果主要包括：中科院二区及以上论文或 JCR 一区论文；学科 A 类期刊或国际会议论文（包括附录《电子科学与技术学科 A 类期刊名称目录》中全部期刊和会议及其他 SCI 影响因子大于 2.0 的期刊论文）；发表的多篇学术论文影响因子之和大于 6；国家级科研奖励（有证书）；省部级科研一等奖（有证书）。

B 类创新性成果主要包括：SCI 检索期刊论文或 SCI 检索会议论文；省部级科研奖励（有证书）；国际/国内授权发明专利（前三名）。

C 类创新性成果主要包括：EI 检索期刊论文或 EI 检索会议论文。

其他说明：

(1) 排序为第一或第二的共同第一作者论文可视为有效论文，但有效论文数量=1/共同第一作者总数。

(2) 科研奖励要有奖励证书。

### **光学工程学科：**

经电子科学与技术及光学工程学科学位分委会讨论，对博士研究生在

攻读学位期间取得与博士学位论文工作密切相关的创新性成果做出如下规定，博士研究生在至少发表 1 篇 SCI、EI 检索论文的基础上，全部研究成果满足以下条件之一可以申请博士学位：

- (1) A 类创新性成果 1 项；
- (2) B 类创新性成果 2 项；
- (3) B 类创新性成果 1 项和 C 类创新性成果 2 项；
- (4) C 类创新性成果 5 项，且至少一篇发表在学术刊物上。

A 类创新性成果主要包括：中科院二区及以上论文或 JCR 一区论文；学科 A 类期刊或国际会议论文（包括附录《电子科学与技术学科 A 类期刊名称目录》中全部期刊和会议及其他 SCI 影响因子大于 2.0 的期刊论文）；发表的多篇学术论文影响因子之和大于 6；国家级科研奖励（有证书）；省部级科研一等奖（有证书）。

B 类创新性成果主要包括：SCI 检索期刊论文或 SCI 检索会议论文；省部级科研奖励（有证书）；国际/国内授权发明专利（前三名）。

C 类创新性成果主要包括：EI 检索期刊论文或 EI 检索会议论文。

其他说明：

(1) 排序为第一或第二的共同第一作者论文可视为有效论文，但有效论文数量=1/共同第一作者总数。

(2) 科研奖励要有奖励证书。

### 11. 信息与通信工程学科学位分委会

经信息与通信工程学科学位分委员会讨论，对博士研究生在攻读学位期间取得与博士学位论文工作密切相关的创新性成果做出如下规定，信息与通信工程学科博士生满足以下条件之一可以申请博士学位论文答辩：

(1) 发表 2 篇 SCI 检索论文，其中 JCR 二区（含）以上 SCI 检索论文 1 篇。

(2) 发表 3 篇 SCI、EI 检索论文，其中 JCR 三区（含）以上 SCI 检索论文 1 篇，SCI 检索论文 1 篇，EI 检索论文 1 篇。

(3) 发表 3 篇 SCI、EI 检索论文，其中 SCI 检索论文 1 篇，我学科规定的顶级国际会议或 A/B 类国际会议（见国际项目管理中心网站公布的信



息与通信工程学科国际会议列表)EI 检索论文 1 篇,其它 EI 检索论文 1 篇。

如有其他创新性成果可用以下形式替代(限一项),包括但不限于:

(1) 国家/省部级或一级学会科技奖励(有证书)等同于 1 篇 SCI 检索论文;

(2) 授权的国际/国家发明专利等同于 1 篇 EI;

(3) 我学科规定的中文期刊(见信息与通信工程学科公布的中文期刊列表)等同于 1 篇 SCI 检索论文。

如有特殊情况可由导师和博士生本人提出申请,经学位分委员会审核并决定是否可以申请答辩。

## 12. 控制科学与工程学科学位分委会

经控制科学与工程学科学位分委会讨论,对博士研究生在攻读学位期间取得与博士学位论文工作密切相关的创新性成果做出如下规定,博士研究生在至少发表 1 篇 SCI 检索论文的基础上,满足以下条件之一可以申请博士学位:

(1) A 类创新性成果 1 项;

(2) B 类创新性成果 2 项;

(3) B 类创新性成果 1 项和 C 类创新性成果 3 项。(第三条是 B 类和 C 类成果的累计,计算成果时,原则上要求 B 类和 C 类成果的属性不一样)

A 类创新性成果主要包括:在学科领域内的权威期刊,如 Automatica、IEEE Transactions on Automatic Control,以及 IEEE Transactions 系列其他汇刊、AIAA 系列期刊、SIAM Journals 系列期刊、SCIENCE CHINA 等(参考当年最新中科院期刊分区二区及以上或 JCR 一区及以上论文),发表与博士学位论文密切相关的学术论文(综述类论文不计算在内);或国家级科研奖励(有证书);或省部级一等奖(有证书)。

B 类创新性成果主要包括:在学科领域内的优秀期刊和会议,如 SCI 检索期刊、《自动化学报》、《中国科学》、《控制理论与应用》、《宇航学报》、《电子学报》等,发表与博士学位论文密切相关的学术论文(综述类论文不计算在内),以及在国际/内会议发表论文并获得最佳论文奖;或以第一完成人(或者导师/副导师为第一完成人,学生为第二完成人)获得授权发明专利 2 项;或获得省部级以上科技奖励一项(有证书,排名前五,且导师/副导师为奖励的第一完成人)。

C类创新性成果主要包括：发表EI检索期刊论文或会议论文；或以第一完成人(或者导师/副导师为第一完成人，学生为第二完成人)获得授权发明专利；或获得国家级学生科技创新奖励（排名第一）。

为鼓励博士生潜心从事基础性和原创性研究工作，支持导师通过安排多届博士生在某个前沿领域长期攻关力争取得突破性、颠覆性科研成果，部分博士生虽然在攻读博士学位期间没有取得上述A、B、C类等显性科研成果，但在该领域取得了突出的阶段性高水平研究成果，且博士学位论文水平高，经学位分委会讨论认定同意，也可以申请博士学位。

### 13. 计算机科学与技术学科学位分委会

博士研究生在读期间，须至少发表1篇ESI检索期刊论文，另外须取得满足以下条件之一的创新性研究成果；全部研究成果应与博士学位论文密切相关。

- (1) A类创新性成果1项；
- (2) B类创新性成果2项；
- (3) B类创新性成果1项和C类创新性成果2项。

A类创新性成果主要包括：本领域顶级国际期刊论文；中科院二区及以上或JCR一区期刊论文；CCFA类会议论文；国家级科研奖励（有证书）；省部级一等奖（有证书）；已产生重大效益的授权发明专利（申请日期为博士在读期间，第1名或第2名（导师第1名））。

B类创新性成果主要包括：中科院三区及以上论文或JCR二区及以上论文；CCF B类会议论文；相关的国内一级学会顶级期刊论文；省部级二等奖（有证书）；国际/国内授权发明专利2项及以上（申请日期为博士在读期间，第1名或第2名（导师第1名））；参与撰写的高水平专著（撰写字数1万字以上，有署名）；参与制定的国际/国家/行业标准（有署名）；参与撰写并被采纳的国家或省部级咨询报告（有署名）；具有显著经济或社会效益的研究成果（鉴定证书等）。

C类创新性成果主要包括：省部级三等奖（有证书）；参与完成的重大项目结题报告、科技报告、国防报告（有署名）；国际/国内重要科技评测或创新创业大赛一等奖（排名第1）。

为了鼓励博士生潜心从事基础性/原创性研究工作，支持导师通过安排多届博士生在某个前沿领域长期攻关力争取得突破性、颠覆性科研成果，

虽然部分博士生在攻读博士学位期间没有取得上述 A、B、C 类科研成果，但在该领域取得了同行及导师认可的阶段性高水平研究成果，且博士学位论文水平高，经导师推荐和学位分委会讨论认定同意，也可以申请博士学位。

#### **14. 建筑学学科学位分委会**

##### **建筑学、城乡规划学、风景园林学学科：**

经建筑类学科学位分委会讨论，对建筑学、城乡规划学、风景园林学学科博士研究生在攻读学位期间取得与博士学位论文工作密切相关的创新性成果做出如下规定：

博士研究生应至少有 1 篇论文发表在 SCI、SCIE、SSCI、A&HCI 等检索源期刊或学科认定的检索源替代期刊上（学院通知附件一）。在此基础上，满足以下创新性成果条件之一可以申请博士学位：

- （1）A 类创新性成果 1 项。
- （2）B 类创新性成果 2 项。
- （3）B 类创新性成果 1 项和 C 类创新性成果 2 项。

A 类创新性成果：SCI、SCIE、SSCI、A&HCI、EI 检索期刊发表论文；学科认定的检索源替代期刊发表论文（学院通知附件一）；国家级科研奖励（有证书）；国内或国际重要设计奖项（有证书，排名前三）（学院通知见附件二）。

B 类创新性成果：学科认定的学术期刊发表论文（学院通知附件一）；顶级国际学术会议发表论文（纸质或光盘版论文集正式出版）并宣讲；省部级二等奖以上科研奖励（有证书）。

C 类创新性成果：在 A 类或 B 类国际学术会议发表论文（纸质或光盘版论文集正式出版）并宣讲，或以中文在由一级学会举办的全国性学术会议发表并宣讲，或在全国博士生论坛发表并宣讲等。

\* 各学科认定的顶级、A 类或 B 类国际学术会议以执行版《哈尔滨工业大学高水平国际学术会议名录》为准。参加交叉课题的国际会议名单及档次由各学科认定。

创新性成果的署名评审见学院通知附件三。

##### **供热、供燃气、通风及空调工程学科：**

经建筑类学科学位分委会讨论，对供热、供燃气、通风及空调工程学

科博士研究生在攻读学位期间取得与博士学位论文工作密切相关的创新性成果做出如下规定：

博士研究生应至少发表 1 篇 SCI 检索期刊论文，在此基础上，满足以下创新性成果条件之一可以申请博士学位：

- (1) A 类创新性成果 1 项。
- (2) B 类创新性成果 2 项。
- (3) B 类创新性成果 1 项和 C 类创新性成果 2 项。

A 类创新性成果：SCI 检索期刊发表论文；国家级科研奖励（有证书）。

B 类创新性成果：EI 检索期刊发表论文；在顶级国际学术会议发表论文（纸质或光盘版论文集正式出版）并宣讲；省部级二等奖以上科研奖励（有证书）。

C 类创新性成果：学科认可的国内学术刊物发表论文：《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》；A 类或 B 类国际学术会议发表论文（纸质或光盘版论文集正式出版）并宣讲；获得国家发明专利（学生排序第一名或第二名（第一名为导师））。

\* 学科认定的顶级、A 类或 B 类国际学术会议以执行版《哈尔滨工业大学高水平国际学术会议名录》为准。参加交叉课题的国际会议名单及档次由各学科认定。

\*\* 获得多项发明专利授权时，只按 1 项成果计算。

为鼓励博士生潜心从事基础性和原创性研究工作，支持导师通过安排多届博士生在某个前沿领域长期攻关力争取得突破性、颠覆性科研成果，虽然博士生在攻读博士学位期间没有取得上述 A、B、C 类显性科研成果，但在该领域取得了阶段性的高水平研究成果，且博士学位论文水平高，经学位分委会讨论认定同意，也可申请博士学位。

### 15. 土木工程与力学学科学位分委会

经土木工程与力学学科学位分委会讨论，对博士研究生在攻读学位期间取得与博士学位论文工作密切相关的创新性成果做出如下规定，博士研究生须至少发表 1 篇 SCI、SSCI、A&HCI、EI 等检索论文，含该篇文章，研究成果还须满足以下条件之一方可申请博士学位：

- (1) A 类创新性成果 1 项；
- (2) B 类创新性成果 2 项；

(3) B 类创新性成果 1 项和 C 类创新性成果 2 项。

A 类创新性成果主要包括：

- (1) 中科院或 JCR 二区及以上 SCI/SSCI 检索论文；
- (2) 学科 A 类期刊论文；
- (3) 发表的多篇学术论文影响因子之和大于 6.0；
- (4) 国家级科技成果奖（有证书）；
- (5) 部（省）级科技成果奖，一等奖排名前 5，二等奖排名前 3；
- (6) 国际、国家及行业标准的参编人（有署名）。

B 类创新性成果主要包括：

- (1) SCI/SSCI 检索期刊（正刊）论文或中文一级期刊（正刊）论文或国家自然科学基金委管理科学部认定的 A 类重要期刊；
- (2) 部（省）级科技成果奖，一等奖排名前 9，二等奖排名前 7；
- (3) 团体标准的参编人（有署名）；
- (4) 博士论文主要成果获得省部级以上有关部门采纳（需要提交采纳证明）。

C 类创新性成果主要包括：

- (1) EI 检索期刊论文（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）；
- (2) 核心期刊（正刊）论文或 SCI、SSCI、EI、ISTP 检索的国际会议学术论文，如多篇只按 1 篇计算；
- (3) 获得授权并已取得良好应用效果的发明专利或软件著作权（第 1 名或第 2 名（导师第 1 名）），多项发明专利或软件著作权只按 1 项计算；
- (4) 在国内外系列学术会议上获得优秀论文奖（一等或二等），如多项奖励只按 1 项计算。

为了鼓励博士生潜心从事基础性和原创性研究工作，支持导师通过安排多届博士生在某个前沿领域长期攻关力争取得突破性、颠覆性科研成果，虽然部分博士生在攻读博士学位期间没有取得上述 A、B、C 类等显性科研成果，但在该领域取得了同行及导师认可的阶段性高水平研究成果，且博士学位论文水平高，经学位分委会讨论认定同意，也可以申请博士学位。

## 16. 化学工程与技术学科学位分委会

经化学工程与技术学科学位分委会讨论，博士研究生在攻读学位期间取得与博士学位论文工作密切相关的创新性成果满足以下条件之一可以申请博士学位：

(1) A类：在学科顶级期刊（学院通知附件1）上发表1篇学术论文。

(2) B类：发表2篇中科院二区及以上论文或JCR一区论文或中国重要期刊（附件2）论文或ESI高被引论文（至少1篇英文论文）。

(3) C类：为鼓励博士生潜心从事国家重大需求的工程科学研究工作，支持导师通过安排多届博士生在某个领域长期攻关力争取得重大成果，博士生在攻读博士学位期间至少在EI以上学术期刊发表1篇英文研究论文，参加与博士学位论文直接相关的重要项目并取得了阶段性成果（项目及成果的具体要求见附件3）。

(4) 涉密论文成果：发表核心以上学术论文2篇，其中至少1篇EI以上英文研究论文，国防报告或授权国防专利经认定可等同于1篇核心论文。

取得其他成果由导师和博士生本人提出申请，经学位分委员会审核并决定是否可以申请答辩。

创新性成果补充要求：

（一）计入满足博士学位申请基本条件的成果必须是博士生在攻读博士学位期间在其导师指导下独立完成，且与博士学位论文工作密切相关：

（1）关于发表综述文章要求：

①发表学术论文中可以有1篇为综述性论文；

②综述性论文须体现在博士学位论文对应章节。

（2）关于SCI收录摘要的要求：

发表SCI收录的摘要（必须可以检索到全文）等同于1篇中文核心。

（二）博士生在申请学位论文预答辩时，需同时提交攻读博士学位期间所发表学术论文的全文或有确定卷期号的录用通知书、版面费收据及文章复印件（国际期刊论文需提供正式录用证明），其他成果应提交相应佐证材料原件，交学位分委员会进行审查及校学位办复查。

## 17. 交通运输工程学科学位分委会

经交通运输工程学位分委员会讨论，对博士研究生在攻读学位期间取得与博士学位论文工作密切相关的创新性成果做出如下规定，满足下列条件之一可以申请博士学位：

(1) A类创新性成果 1 项：

①发表的文章中有列入中科院当年 1 区的 SCI 收录论文或 2 篇 2 区及以上 SCI 收录论文；

②所发表的 SCI/SSCI 收录期刊论文影响因子之和大于 5；

③发表不少于 3 篇的核心以上学术期刊论文，其中至少 2 篇为 SCI/SSCI 收录的期刊论文（国内一级学报等同 SCI 四区文章，限 1 篇）。

(2) 博士研究生在攻读博士学位期间以第一作者在 SCI/SSCI 源刊物发表与博士论文相关的论文 1 篇（刊出或有 DOI 出版号）的基础上，取得 B 类创新性成果 1 项或 C 类创新性成果 2 项：

B 类创新性成果主要包括：

①获得与学位论文课题相关的授权发明专利 2 项或软件著作权 3 项（要求本人排序第 1；或本人排序第 2，导师排序第 1）；

②获得与博士论文密切相关的科研奖励：获省部级二等以上科研成果奖励 1 项或三等奖 2 项（国家级奖、省部级一等奖前 7、二等奖前 5、三等奖前 2）；

③从事国家重点研发计划、国家自然科学基金重点/重大项目、国家社会科学基金重点项目等：本单位排名前 2 或子题负责人以上，需要有独立完成且具有创新性的研究内容，主要研究成果已通过省部级正式鉴定或验收，且学位论文的研究内容是该成果的重要组成部分（需提供相关性证明，并经学位分委员会认定；哈工大应为项目承担或参与单位，以立项合同书为准）；

④参加编写国家标准或行业标准（正式颁布并在主要编写人一栏有署名）；

⑤出版 1 本与学位论文研究内容直接相关的专著（有封面署名，且独立撰写不少于 3 万字）。

C 类创新性成果主要包括：

①学生排名第一参与撰写重要项目申请书并申报成功（申请书提交时就认定）：省自然科学基金重点项目及以上、国家自然科学基金面上项目及以上、国家重点研发计划项目课题级及以上；

②领域内顶级会议口头发言（见学院通知列表）

为了鼓励博士生潜心从事基础性和原创性研究工作，支持导师通过安排多届博士生在某个前沿领域长期攻关力争取得突破性、颠覆性科研成果，虽然部分博士生在攻读博士学位期间没有取得上述 A、B、C 类等显性科研成果，但在该领域取得了阶段性的高水平研究成果，且博士学位论文水平高，经学位分委会讨论认定同意，可以申请博士学位。

在职工程博士学位论文课题创新性成果在实际工程中得到应用（附有导师和博士生署名的创新性成果工程应用证明，应用证明中需体现应用效果、创新性及经济效益等方面），该创新性成果在学位论文中至少以完整一章体现工程实验研究、理论分析和应用效果等内容，经学位分委会讨论认定同意，也可以申请博士学位。

#### **18. 航空宇航科学与技术学科学位分委会**

经航空宇航科学与技术学科学位分委会讨论，对博士研究生在攻读学位期间取得与博士学位论文工作密切相关的创新性成果做出如下规定，博士研究生在至少发表 1 篇 SCI 论文的基础上，满足以下条件之一可以申请博士学位：

- (1) A 类创新性成果 1 项；
- (2) B 类创新性成果 2 项；
- (3) B 类创新性成果 1 项和 C 类创新性成果 2 项
- (4) C 类创新型成果 3 项。

A 类创新性成果主要包括：航空宇航科学与技术学科或相关学科（力学、控制、机械、材料学科）认定的顶级学术刊物论文（见表格 1）；国家级科研奖励（有证书）；省部级一等奖（有证书）。获得 A 类创新性成果，也将同时具备非匿名评审资格。

B 类创新性成果主要包括：SCI 检索论文或国内顶级期刊论文（宇航学报、航空学报、力学学报、自动化学报、机械工程学报）；省部级科研奖励（有证书）；参与撰写高水平专著内容（专著已出版，且明确负责的章节内容）；参与 500 万以上的国家级纵向课题或国家自然科学基金重大/重点项目



(排名前五);取得了重大经济或社会效益的国际/内授权发明专利(具有应用证明或效益证明)。

C类创新性成果主要包括:EI论文或核心期刊论文;参与100万以上的国家级纵向课题((排名前三))或国家自然科学基金项目(排名前三);已授权的国家发明专利;获得国家学生科技创新奖励或省级学生科技创新一等奖。

为了鼓励博士生潜心从事基础性、原创性及国家重大项目等研究工作,虽然部分博士生在攻读博士学位期间未发表SCI检索论文,但取得了高水平的原创研究成果,或在重大项目中取得了突出成绩,且发表了至少1篇EI检索论文,经学位分委会讨论认定同意,也可以申请博士学位。

表格1 航空宇航科学与技术学科顶级国际学术刊物列表

序号	刊名	出版机构	网址
1	Journal of Guidance, Control, and Dynamics	AIAA,USA	<a href="https://arc.aiaa.org/loi/jgcd">https://arc.aiaa.org/loi/jgcd</a>
2	IEEE Transactions on Aerospace and Electronic Systems	IEEE,USA	<a href="http://ieeexplore.ieee.org/xpl/RecentIssue.jsp?punumber=7">http://ieeexplore.ieee.org/xpl/RecentIssue.jsp?punumber=7</a>
3	Aerospace Science and Technology	Elsevier	<a href="https://www.journals.elsevier.com/aerospace-science-and-technology">https://www.journals.elsevier.com/aerospace-science-and-technology</a>
4	中国科学	中国科学院	<a href="http://www.scichina.com/">http://www.scichina.com/</a>

### 19. 环境科学与工程学学位分委会

经环境科学与工程学学位分委员会讨论,制定环境学院博士生攻读学位期间取得创新性成果要求,满足以下条件之一可以申请博士学位:

(1) 在环境领域顶刊 ENVIRONMENTAL SCIENCE & TECHNOLOGY(ES&T)或 WATER RESEARCH(WR)或在影响因子 $\geq 10$ (以论文发表前一年和当年最高影响因子计)SCI源刊物发表学术论文总数1篇;

(2) 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3篇,其中在SCI源刊物发表学术论文2篇;

(3) 在本学科认定的中文核心刊物或SCI源刊物发表1篇学术论文的基础上,取得A类创新性成果1项。

(4) 在本学科认定的中文核心刊物或SCI源刊物发表2篇学术论文的基础上,取得B类创新性成果1项。

A类创新性成果主要包括:

(1) 获得国家级科技成果奖（有证书）或部(省)级科技成果奖（一等奖前 7 名、二等奖前 5 名、三等奖前 3 名）；

(2) 参加编写国家标准或编写国家行业标准（正式颁布并在编写人一栏有署名）；

(3) 出版 1 本专著（有署名，且独立撰写不少于 2 万字的一章）；

(4) 学位论文研究内容覆盖完整的实际工程设计方案论证、现场运行实验、工程项目成果验收等内容且体现创新性和社会效益（附签署的项目合同及有导师和博士生署名的创新性成果工程应用证明，应用证明中需体现项目规模、应用效果、创新性及经济效益等方面）

**B 类创新性成果主要包括：**

(1) 获得部（省）级科技成果奖（有证书）；

(2) 申请公开发明专利（或软件著作权）4 项并取得授权 2 项；

(3) 学位论文课题创新性成果在实际工程中得到应用（附有导师和博士生署名的创新性成果工程应用证明，应用证明中需体现应用效果、创新性、经济效益等方面，该创新性成果在学位论文中至少以完整一章体现工程实验研究、理论分析和应用效果等内容）。

其他说明：

(1) 博士研究生在攻读学位期间取得的全部创新性成果均与博士学位论文密切相关；

(2) 为提升我国在国际生态环境研究领域的学术地位，在国际期刊《Environmental Science & Ecotechnology》（中文译名《环境科学与生态技术》，简称“ESE”）发表的学术论文等同于在 SCI 源刊物发表论文；

(3) 发表学术论文第一作者单位及通讯作者单位为哈尔滨工业大学，论文需刊出或有 DOI 出版号；

(4) 学术论文需以第一作者发表，如果博士生为第二作者且第一作者为自己的导师时，等同于第一作者；

(5) 授权发明专利（或软件著作权）的专利权人需为哈尔滨工业大学，博士研究生排序前两名，导师为第一发明人。

## **20. 管理类学科学位分委会**

根据建设与世界一流高水平大学相适应的管理学院的发展目标，管理

学院学科分委员会经过认真分析讨论，决定对管理类博士生在攻读学位期间发表学术论文的要求进行适当调整。博士生在攻读学位期间，结合博士学位论文研究发表学术论文需满足下列要求之一：

(1) 在学院认定的 A+类高水平期刊发表论文 1 篇，或者在学院认定的 A+类高水平国际期刊投稿论文 1 篇，该论文通过第 1 轮评审、并经修改后已进入第 2 轮评审。附导师及学科/领域负责人签字确认的论文投稿信息、第 1 轮评审意见与结果和进入第 2 轮评审的论文全文。论文署名规定满足下列条件之一：①博士生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；论文第一作者或者通讯作者的署名单位为哈尔滨工业大学。②当论文作者中只有一位我校在读博士研究生时，博士生作为唯一通讯作者可视为第一作者，署名单位为哈尔滨工业大学。

(2) 在学院认定的 A1 或 A2 类高水平国际学术期刊发表论文 1 篇。

(3) 在 SCI/SSCI 检索期刊发表论文 2 篇。

(4) 在 SCI/SSCI 检索期刊发表论文 1 篇，同时在国家自然科学基金委员会管理学部认定的国内高水平期刊(公共管理学报、管理科学除外)发表论文 1 篇。

(5) 在 SCI/SSCI 检索期刊发表论文 1 篇，同时在国际学术会议发表英文论文 1 篇并由博士生本人参会报告。由导师与学科负责人签字确认。

(6) 在国家自然科学基金委员会管理学部认定的国内高水平期刊(公共管理学报、管理科学除外)发表 2 篇论文，同时在国际学术会议发表英文论文 1 篇并由博士生本人参会报告。

(7) 在国家自然科学基金委员会管理学部认定的国内高水平期刊(公共管理学报、管理科学除外)或 SCI/SSCI 检索期刊发表论文 1 篇，同时至少在 CSSCI/CSCD 检索期刊或 EI 检索期刊发表论文 2 篇。上述期刊论文中应至少有一篇为英文论文，否则须另外在国际学术会议发表英文论文 1 篇并由博士生本人参会报告。

其他说明：

(1) 期刊论文发表认定：包括正式发表或给出 DOI 编号的在线发表论文。

(2) 对于第 2、3、4、5、6、7 条发表论文的作者署名办法按照学校

规定执行：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。学术论文第一作者及通讯作者的署名单位均应为哈尔滨工业大学（其中非全日制培养的在职博士研究生，学术论文第一作者及通讯作者的属名单位可以为哈尔滨工业大学或其在职工作单位；也可同时署哈工大及其在职工作单位，且无先后顺序要求）。

（3）对国际学术会议类别不做统一规定，由导师和所在学科/领域确认。

（4）该办法自 2016 年春季入学博士生开始执行，此前入学博士生的发表论文要求可按 2008 年 1 月发布的规定和本规定之间自行选择。

## 21. 生物医学工程科学学位分委会

经生物医学工程科学学位分委会讨论，博士研究生在攻读学位期间需完成一篇系统完整、有一定工作量的博士学位论文，并取得与博士学位论文工作密切相关的成果，具体规定如下：

### （1）偏基础研究博士生成果要求

要求在本学科领域重要学术刊物(SCI 检索且不包括综述类文章)上发表学术论文至少 1 篇，且单篇影响因子 $\geq 3.0$ 。

### （2）偏工程博士生成果要求

在核心及核心以上学术刊物上发表论文总数大于 3 篇（含 3 篇），至少应有 2 篇 EI 检索论文或 1 篇 SCI 检索论文（不包括综述类文章），其中至少有 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)。

注：如发表单篇 SCI 论文影响因子 $\geq 3.0$ ，发表论文总数可不作要求。

关于发表共同一作学术论文要求：作为并列第一作者，对发表的研究论文有同等贡献，且该学术论文应在博士学位论文对应章节中体现：

①影响因子 $\geq 18$ 的文章：并列第一作者第一人满足学位条件，并列第一作者第二人和第三人可视为等同于发表一篇影响因子为 3.0 的 SCI 文章。

②影响因子 $\geq 9$ 的文章：并列第一作者第一人满足学位条件，并列第一作者第二人可视为等同于发表一篇影响因子为 3.0 的 SCI 文章。

为了鼓励博士生潜心从事基础性和原创性研究工作，支持导师通过安排多届博士生在某个前沿领域长期攻关力争取得突破性、颠覆性科研成果，虽然部分博士生在攻读博士学位期间没有取得上述（1）（2）等显性科研成

果，但在该研究领域取得了阶段性的高水平研究成果，如投稿文章影响因子在 18 及以上，一审通过后，且博士学位论文水平高，经学位分委会讨论认定同意，也可以申请博士学位。

注：（1）以上取得的成果均必须和博士学位论文课题相关，不相关的成果不计算在内；（2）发表文章的影响因子以发表当年为准。

其他事宜：

1. 本《要求》由各分委会负责解释，其它未尽事宜参照“关于《博士研究生在攻读博士学位期间取得创新性成果要求》的补充说明”执行。

2. 本《要求》用于 2020 年及之后入学的博士生。2019 年及之前入学的博士生可执行该《要求》，也可执行前《要求》。

# 关于《博士研究生在攻读博士学位期间取得创新性成果要求》的补充说明

校学位〔2020〕48号

计入满足博士学位申请基本条件的创新性成果必须是博士生在攻读博士学位期间在其导师指导下独立完成的创新性成果，且与博士学位论文工作密切相关，创新性成果的署名及相关要求如下。

## 一、关于学术论文的署名

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。共同第一作者、多通讯作者学术论文的认定方法按各学科规定执行。

2. 全日制博士研究生，学术论文第一作者及通讯作者的属名单位均须为哈尔滨工业大学。

## 二、关于其他成果的署名

1. 全日制博士生所取得的科技奖励、国家标准、咨询报告等其他创新性成果的署名单位应为哈尔滨工业大学。

2. 有关发明专利和软件著作权的署名要求与学术论文相同。

## 三、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，需提交录用证明、《博士研究生已录用待发表文章情况确认表》及论文底稿。

2. 对已被国内期刊录用的学术论文，需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。

3. 已录用的文章如果确定了 DOI 号且网上可查，可认定为已刊出，审查时需提交《博士研究生已录用待发表文章情况确认表》及在线打印稿。

4. 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。

5. 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，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。

#### 四、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》，相关信息可在图书馆网页“中外文核心期刊查询系统”进行查询，网址：<http://coreej.cceu.org.cn/index.html>。EI、SCI、SSCI 等参照最新公布的相应的收录期刊目录。

#### 五、关于适用对象

校学位委员会第 174 次会议通过的各学科《博士生攻读学位期间取得创新性成果要求》，自发布之日起执行，适用于 2020 年及之后入学的博士生。2019 年及之前入学的博士生可执行该《要求》，也可执行前《要求》。

本说明未尽之处，按各学科相关规定执行。各学科《博士生攻读学位期间取得创新性成果要求》由各分委会负责解释，本说明由学位委员会办公室负责解释。

## **Reinforcement concerning *HIT Requirements* concerning innovative achievements of Doctoral Candidates**

The innovative achievements included in the basic requirements for doctoral degree application must be the innovative achievements independently completed by doctoral students under the guidance of their supervisors during the doctoral degree, and closely related to the doctoral dissertation work. The authorship and related requirements of the innovative achievements are as follows.

### **I. Authorship of academic papers**

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 the lead-authors or the second author of the academic papers. When the doctoral candidate is the second author of the academic paper, the lead-author should be the supervisor or co-supervisor.

The identification method of academic papers with co-first author and multiple corresponding authors shall be implemented according to the regulations of each discipline.

2. For full-time doctoral candidates registered at HIT, the affiliation of the lead authors and the corresponding authors of the academic papers should be HIT.

### **II. Authorship of other achievements**

1. The affiliation of scientific and technological awards, national standards, consulting reports and other innovative achievements obtained by full-time doctoral students should be Harbin Institute of Technology.

2. The authorship requirements for invention patents and software copyrights are the same as those for academic papers

### **III. Papers in print**



1. For papers accepted by overseas journals, doctoral candidates must submit the certification of acceptance, *Situation Confirmation Form for accepted and unpublished papers of Doctoral Candidates* and a copy of the paper in print.

2. For papers accepted by domestic journals, doctoral candidates must submit the certification of acceptance with definite volume and issue number, *Situation Confirmation Form for accepted and unpublished papers of Doctoral Candidates* and a copy of the paper in print.

3. For papers accepted, given that the DOI of the paper is determined and available on line, the paper may be viewed as publication. When checking qualification, doctoral candidates must submit the *Situation Confirmation Form for accepted and unpublished papers of Doctoral Candidates* and a copy of the paper print on line.

4. For papers accepted by SCI and EI journals, doctoral candidates can apply for the viva defence after at least 1 article was published by journal on hard copy. Under peculiar condition, with the approval of Academic Degree Office doctoral candidates can apply for the viva defence but their dissertation cannot be submitted to any grades of degree committee for discussing. After the article was published or available on line, the dissertation can be submitted to the sub-committee.

5. 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 Degree 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.

#### **IV. Identification of the published academic paper category**

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. The related information can be found on the website <http://coreej.cceu.org.cn/index.html>. EI, SCI, SSCI and etc. can be identified according to the newest announced journal catalogue.

## **V. Objects**

The *HIT Requirements concerning innovative achievements of Doctoral Candidates* in all disciplines will be implemented from the date of promulgation and apply to doctoral students enrolled in 2020 and later, which was adopted by the HIT Degree Committee at the 174th meeting. Doctoral students enrolled in 2019 and before may implement either this requirements or the previous requirements.

If this description is not complete, it shall be carried out according to relevant regulations of each discipline. The *HIT Requirements concerning innovative achievements of Doctoral Candidates* in each discipline shall be interpreted by each sub-committee, and this description shall be interpreted by the Degree Office.

## 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为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规定

## 第一章 总 则

**第一条** 为维护学校正常的教育教学秩序，保障学生合法权益，培养德、智、体、美全面发展的社会主义建设者和接班人，依据《普通高等学校学生管理规定》（教育部令第 41 号）、《哈尔滨工业大学章程》以及有关法律、法规，制定本规定。本规定适用于经教育部批准录取、接受学历教育的研究生。

**第二条** 学校实施人才培养的宗旨是：坚持社会主义办学方向，坚持马克思主义的指导地位，全面贯彻国家教育方针；坚持以立德树人为根本，以理想信念教育为核心，培育和践行社会主义核心价值观，弘扬中华优秀传统文化和革命文化、社会主义先进文化，培养学生的社会责任感、创新精神和实践能力；坚持依法治校，科学管理，健全和完善管理制度，规范管理行为，将管理与育人相结合，不断提高人才培养质量和服务水平。

**第三条** 学生应当拥护中国共产党领导，努力学习马克思列宁主义、毛泽东思想、中国特色社会主义理论体系，深入学习习近平总书记系列重要讲话精神和治国理政新理念新思想新战略，坚定中国特色社会主义道路自信、理论自信、制度自信、文化自信，树立中国特色社会主义共同理想；应当树立爱国主义思想，具有团结统一、爱好和平、勤劳勇敢、自强不息的精神；应当增强法治观念，遵守宪法、法律、法规，遵守公民道德规范，遵守学校管理制度，具有良好的道德品质和行为习惯；应当刻苦学习，勇于探索，积极实践，努力掌握现代科学文化知识和专业技能；应当积极锻炼身体，增进身心健康，提高个人修养，培养审美情趣。

**第四条** 学校实施学生管理的基本原则是：尊重和保护学生的合法权利，教育和引导学生承担应尽的义务与责任，鼓励和支持学生实行自我管理、自我服务、自我教育、自我监督。

## 第二章 入学与注册

**第五条** 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。

**第六条** 因故不能按期入学者，应向所在院（系）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。

**第七条** 新生报到时，学校对新生入学资格进行初步审查，审查合格的办理入学手续，予以注册学籍；审查发现新生的录取通知、考生信息等证明材料，与本人实际情况不符，或者有其他违反国家招生考试规定情形的，取消入学资格。

**第八条** 新生未经批准逾期两周不交学费，不能取得学籍，视为放弃入学资格。

**第九条** 新生因身心健康等原因不适宜在校学习的，最长可申请保留入学资格一年。保留入学资格期间不具有学籍，不享受在校研究生待遇。保留入学资格期满前应向学校申请入学，经学校审查合格后，办理入学手续。审查不合格的，取消其入学资格；逾期两周不办理入学手续且未有因不可抗力延迟等正当理由的，视为放弃入学资格。

**第十条** 新生入学后，学校在三个月内按照国家招生规定进行复查，复查内容主要包括以下方面：

- （一）录取手续及程序等是否合乎国家招生规定；
  - （二）所获得的录取资格是否真实、合乎相关规定；
  - （三）本人及身份证明与录取通知、考生档案等是否一致；
  - （四）身心健康状况是否符合报考专业或者专业类别体检要求，能否保证在校正常学习、生活；
  - （五）艺术、体育等特殊类型录取学生的专业水平是否符合录取要求。
- 复查中发现学生存在弄虚作假、徇私舞弊等情形的，确定为复查不合格，取消学籍；情节严重的，学校将移交有关部门调查处理。



复查中发现学生身心状况不适宜在校学习，经学校指定的二级甲等以上医院诊断，需要在家休养的，按照第九条的规定保留入学资格。

**第十一条** 春、秋季学期开学时，研究生须按学校规定的日期返校，两周内办理注册手续（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。

### 第三章 考核与成绩记载

**第十二条** 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，考核分为考试和考查两种，考核成绩记入成绩单，并归入学籍档案。

**第十三条** 研究生课程考核不合格，允许其重修。重修的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。

**第十四条** 研究生课程考核与成绩记载的具体事项按照《哈尔滨工业大学研究生课程考核与成绩记载管理办法（试行）》办理。

**第十五条** 学校真实、完整地记载、出具学生学业成绩，对通过重修重考获得的成绩，予以标注。

**第十六条** 研究生在考试中违反考试纪律或者作弊，该课程考试成绩无效，成绩单上注明“违纪”或“作弊”。并视其违纪或者作弊情节，给予相应的纪律处分。给予警告、严重警告、记过及留校察看处分的，经教育表现较好，允许参加该门课程的重修。

研究生考试的考场纪律要求及考试作弊处理按照《哈尔滨工业大学学生考场纪律及考试违纪处分管理办法》办理。

**第十七条** 因病、因事等情况不能按时参加教育教学计划规定的活动，应当事先履行请假手续。请假时间在两周以内，需经导师批准，院（系）

登记备案；请假时间在两周及以上、一个月以内，应由本人提交申请，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，则需要延长在校学习时间。

**第十八条** 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属于因公外出。研究生因公外出由派出单位负责审批和管理，外出时间超过两周及以上需报研究生院备案。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。

**第十九条** 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。

**第二十条** 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 1/3 及以上者，不能参加该门课程考核，成绩单上注明“取消考试资格”，并视情节轻重给予批评教育直至纪律处分。

**第二十一条** 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。

**第二十二条** 学校以适当方式记录学生学业、学术、品行等方面的诚信信息。对有严重失信行为的，按有关规定给予相应的纪律处分。

## 第四章 转学科与转学

**第二十三条** 研究生一般应在录取学科完成学业。如因学科调整、导师工作调动等特殊原因需要转学科的，可申请转学科。硕士研究生转学科后，需要完成转入学科课程学习等培养环节，并根据实际情况延长 0.5-1 年学习时间。

**第二十四条** 研究生入学未满一年的，原则上不得转学科。研究生在学期间只允许办理一次转学科事宜。研究生转学科应经转出和转入院（系）、

学科、导师同意，并经转入院（系）考核后报研究生院审批。

**第二十五条** 以特殊招生形式录取的研究生，国家有相关规定或者录取前与学校有明确约定的，不得转学科。

**第二十六条** 研究生一般不得转学。如因患病或者有特殊困难、特别需要，无法继续在本校学习或者不适应本校学习要求的，可以申请转学。有下列情形之一，不得转学：

- （一）入学未满一学期或者毕业前一年的；
- （二）由低学历层次转为高学历层次的；
- （三）以定向就业招生录取的；
- （四）研究生拟转入学校、专业的录取控制标准高于我校、专业的；
- （五）无正当理由的。

学生因学校培养条件改变等非本人原因需要转学的，学校出具证明，由所在地省级教育行政部门协调转学到同层次学校。

**第二十七条** 学生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，经我校和拟转入学校同意，方可办理转学手续。跨省转学的，由转出地省级教育行政部门商转入地省级教育行政部门，按转学条件确认后办理转学手续。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。

我校按照国家有关规定办理转学，对转学情况及时进行公示，转学完成后3个月内，由转入学校报所在地省级教育行政部门备案。

## 第五章 休学与复学

**第二十八条** 研究生可以分阶段完成学业，应当在学校规定的最长学习年限内完成学业。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期，累计最长不得超过两年，其中一般原因休学累计不得超过一年，全日制研究生因创业休学一般累计不得超过两年，关于创业休学的具体办法见学校关于学生创业的有关规定。

**第二十九条** 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。

**第三十条** 研究生如因上述原因休学，由本人通过研究生系统提交休学申请并附相关证明，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。

**第三十一条** 新生和在校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），学校保留其入学资格或者学籍至退役后2年；保留入学资格或者学籍期间，不享受在校研究生待遇，学校对其不承担任何法律责任。

学生保留学籍期间，与其实际所在的部队、学校等组织建立管理关系。

**第三十二条** 休学学生须办理手续离校。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。

**第三十三条** 研究生复学申请应当于休学期满前一个月提出，经导师同意、院（系）主管领导批准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或继续休学手续者，视为放弃学籍，按退学处理。

**第三十四条** 研究生休学期间违法乱纪情节严重的，取消其复学资格。

## 第六章 退 学

**第三十五条** 研究生有下列情形之一，予以退学：

- (一) 在规定的学习年限内未完成学业;
  - (二) 经重修或改修后仍有两门次课程不合格;
  - (三) 综合考评、开题、中期检查环节成绩未达到学校要求;
  - (四) 因业务能力等原因, 难以坚持完成学业;
  - (五) 未请假逾期两周不到校注册(因不可抗力等正当事由除外);
  - (六) 擅自离校超过两周、假满逾期两周不返校或未经批准连续两周未参加学校规定的教学活动;
  - (七) 休学、保留学籍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且未办理继续休学手续;
  - (八) 保留入学资格期满在学校规定期限内未提出入学申请;
  - (九) 经学校指定医院诊断, 身体条件不便、患有疾病或者意外伤残无法继续在校学习;
  - (十) 未按学校规定缴纳学费;
  - (十一) 档案存在弄虚作假、缺少关键材料等情况;
  - (十二) 本人自愿申请退学及其他学校认定应当退学的。
- 研究生本人申请退学的, 经学校审核同意后, 办理退学手续。

### **第三十六条** 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;
- (六) 学费退还事宜按国家和学校财务规定执行。

### **第三十七条** 研究生对退学等处理有异议的, 按照《哈尔滨工业大学

学生申诉处理办法》办理，退学的研究生，不得申请复学。

## 第七章 毕业与结业

**第三十八条** 研究生基本学习年限：硕士生为2—3年；博士生为4年；硕博连读、直博生为5年。

研究生最长学习年限（含一般休学时间）：全日制硕士生为3年，非全日制硕士生为5年，博士生为6年，硕博连读、直博生（含硕士阶段）为7年。

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），服兵役期间不计算在学习年限内。

研究生因创业等原因休学的，或者因服兵役经学校批准保留学籍的，最长学习年限相应顺延。

**第三十九条** 全日制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，最长不超过一年，延期后不能超过最长学习年限。

- （一）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）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。

**第四十条** 硕士生如有两门及两门以上学位课考试不及格，在达到两年基本学习年限时，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。

**第四十一条** 研究生在学校规定学习年限内，修完教育培养计划规定的内容，成绩合格，完成学位论文等环节，并通过答辩，达到学校毕业要求的，准予毕业并颁发毕业证书。符合学位授予条件的，颁发学位证书。

学生提前完成教育教学计划规定内容，可以申请提前毕业。学生提前毕业的条件，详见研究生提前答辩的相关规定。

**第四十二条** 研究生在学校规定学习年限内，修完教育教学计划规定内容，学位论文等环节审查未通过或答辩未通过，达到学校结业要求的，

准予结业，由学校发给结业证书。

**第四十三条** 符合上述条件结业的研究生，可在学校规定的申请学位的最长年限之内再次向学校申请答辩。答辩通过后，在学习年限内的可换发毕业证书，毕业证书日期按答辩通过日期填写，符合学位授予条件的可授予相应学位。

**第四十四条** 对退学的研究生，学校发给肄业证书或者写实性学习证明。

**第四十五条** 对毕业、结业、退学的研究生，自相应批准之日起，学生在籍状态自行终止，终止后学校对其行为不承担任何法律责任，学生应于终止学籍之日起一周内办理离校手续。

## 第八章 学业证书管理

**第四十六条** 学校严格按照招生时确定的办学类型和学习形式，以及学生招生录取时填报的个人信息，填写、颁发学历证书、学位证书及其他学业证书。

学生在校期间变更姓名、出生日期等证书需填写的个人信息的，应当有合理、充分的理由，并提供具有法定效力的相应证明文件。学校审查通过后，方可变更。

**第四十七条** 学校按照高等教育学籍学历电子注册管理制度及相关规定完成学生学籍学历电子注册。

**第四十八条** 对违反国家招生规定取得入学资格或者学籍的，取消学籍，学校不发给学历证书、学位证书；对已发的学历证书、学位证书予以撤销。对以作弊、剽窃、抄袭等学术不端行为或者其他不正当手段获得学历证书、学位证书的，学校依法予以撤销。

被撤销的学历证书、学位证书已注册的，学校予以注销并报上级教育行政部门宣布无效。

**第四十九条** 学历证书和学位证书遗失或者损坏，经本人申请，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。

## 第九章 奖励与处分

**第五十条** 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。

**第五十一条** 对有违反法律法规及学校纪律行为的学生，学校给予批评教育，并视情节轻重，给予如下纪律处分：

- (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办法》及学校有关规定处理。

**第五十二条** 研究生有下列情形之一，给予开除学籍处分：

- (一) 违反宪法，反对四项基本原则、破坏安定团结、扰乱社会秩序的；
- (二) 触犯国家法律，构成刑事犯罪的；
- (三) 受到治安管理处罚，情节严重、性质恶劣的；
- (四) 代替他人或者让他人代替自己参加考试、组织作弊、使用通讯设备或其他器材作弊、向他人出售考试试题或答案牟取利益，以及其他严重作弊或扰乱考试秩序行为的；
- (五) 学位论文、公开发表的研究成果存在抄袭、篡改、伪造等学术不端行为，情节严重的，或者代写论文、买卖论文的；
- (六) 违反本规定和学校其他规定，严重影响学校教育教学秩序、生活秩序以及公共场所管理秩序的；
- (七) 侵害其他个人、组织合法权益，造成严重后果的；
- (八) 违反校纪校规受到学校纪律处分达三次的。

**第五十三条** 对学生做出的处理、处分决定以及处分告知书等，学校直接送达学生本人，学生拒绝签收的，以留置方式送达；已离校的，采取



邮寄方式送达；难于联系的，利用学校学院网站等以公告方式送达。

**第五十四条** 对学生做出取消入学资格、取消学籍、退学、开除学籍或者其他涉及学生重大利益的处理或者处分决定，提交校长授权的专门会议研究决定。

**第五十五条** 受到取消入学资格、取消学籍和退学处理或违规、违纪处分的研究生可以提出申诉，具体申诉按《哈尔滨工业大学学生申诉处理办法》办理。

## 第十章 附 则

**第五十六条** 非学历教育研究生的学籍管理，除另有规定外，参照本规定执行。

**第五十七条** 对港澳台侨研究生、留学研究生的管理参照本规定执行。

**第五十八条** 本规定自 2017 年 9 月开始实施，规定实施后，原《哈尔滨工业大学研究生学籍管理实施细则》（校研发[2014]359 号）同时废止，其他有关文件规定与本规定不一致的，以本规定为准。

**第五十九条** 本规定由研究生院负责解释。

# HIT Management Regulations on Postgraduate Status

## Chapter 1 General Regulations

**Article 1.** In accordance with the 《*Management Regulations of University Students in Higher Education*》 issued by the Ministry of Education, People's Republic of China (Order No.41), *HIT Charter*, and relevant laws and provisions, the following regulations are formulated so as to guarantee the normal order of teaching and management, protect students' legitimate rights and interest, educate the socialist builders and successors of all-round development, morally, intellectually, physically, and esthetically. The regulations are applied to all postgraduates who receive formal education authorized by the Ministry of Education of P. R. China.

**Article 2.** The purpose of postgraduate education is: to adhere to the direction of socialist education, the guiding status of Marxism, the national education policy; to adhere to the fundamental establishment of high moral values in talent cultivation, the core of ideal faith education; to promote Chinese excellent traditional culture and the revolutionary culture, coupled with the advanced socialist culture; to cultivate the students' sense of social responsibility, innovative spirit, and practical ability; to adhere to scientific management of the university according to laws, to strengthen management system and standardize management behavior; to combine management and education, and constantly improve the quality of postgraduate education and the level of service.

**Article 3.** Students should uphold the leadership of the communist party of China, double efforts to study Marxism-Leninism, Mao Zedong Thoughts, the theoretical system of socialism with Chinese characteristics, the in-depth learning of General Secretary Jinping Xi's important speeches, together with new ideas and novel strategies of governance, firmly establish a common ideal with Chinese characteristics on the road towards socialism, showing self-confidence in terms of routes, theories, system, and culture.

Students should set up a spirit of patriotism, unity, peace, industry and perseverance. Students should strengthen their law awareness, and abide by the constitution, law, rules, civil code of ethics, and university regulations. Students should study hard, explore bravely, and practice actively so as to master modern scientific knowledge, cultural knowledge, and professional skills. Students should play an active role in physical exercises for health in body and mind,

improve the morality, and cultivate their aesthetic taste.

**Article 4.** The basic principle of student management is: to respect and protect students' legitimate rights, and guide students to assume the obligations and responsibilities, encourage and support the self-management, self-service, self-education, and self-supervision of students.

## **Chapter 2 Admission and Registration**

**Article 5.** The postgraduates newly enrolled in accordance with national recruitment policy should 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.

**Article 6.** 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.

**Article 7.** When freshmen report to the university, HIT shall conduct preliminary examination of their qualifications. These candidates who have passed the preliminary examination will have their postgraduate status registered; and if the preliminary examination finds out that the admission notice, the information of the examinee are not in conformity with the actual situation of the new student, or if there are other violations of national entrance examination regulations, the qualification of admission shall be cancelled.

**Article 8.** If failing to pay tuition fee for two weeks without approval will not be eligible for admission, the new postgraduates shall be treated as relinquishing the qualification of admission.

**Article 9.** A freshman may apply for retention of admission for a year if he or she is not suitable for study at HIT due to reasons of physical or mental health. During the course of retention, these candidates will not enjoy the postgraduate treatment. Prior to the expiration of the qualification period, these candidates should apply for admission. After passing the examination of HIT, the admission procedure shall be processed. If not, the admission qualification shall be revoked; If failing to apply for admission within two weeks and have no due reason for

delay of the force majeure, these candidates will be viewed as give up the admission qualification.

**Article 10.** After the enrollment of freshmen, HIT shall conduct review within three months according to the national enrollment regulations, which mainly include the following aspects:

1. Whether the admission procedures are in accordance with the national enrollment regulations;
2. Whether the admission qualification obtained is true or relevant;
3. Whether the identity certificate are consistent with the admission notice, the file of the examinee, and so on;
4. Whether the physical and mental health condition is consistent with the medical examination requirements of the professional category, and capable of the normal study and life at HIT.
5. Whether the professional level of the special type of admission such as art and sports meets the admission requirements.

In the review, if students are found to conduct fraud or malpractice, they shall be regarded as disqualified, with their admission qualification cancelled; if the case is serious, HIT shall hand the investigation over to the department concerned for treatment.

Given that the medical examination shows that the student is not appropriate for study at HIT, diagnosed by a designated hospital ranked as the second-class or above hospital, the new student needs to recuperate at home. In the light of article 9, the admission qualification shall be retained.

**Article 11.** At the outset of Spring semester or Autumn semester, postgraduates should return to HIT as required, and perform the procedure of registration within two weeks (the Summer semester lasts the Spring semester registration results). Failing to register as scheduled, the candidate must perform the procedure of delay registration.

Failure to pay tuition fees or meet the requirements for registration shall lead to failure of registration.

Those candidates from poor families are allowed to apply for student loan or other forms of financial support. After completing the related procedures, the candidate will be registered.

For those postgraduates who fail to register as scheduled shall be viewed as relinquishing admission qualification, except for the due cause of force majeure.

### Chapter 3 Assessment and Records of Scores

**Article 12.** Postgraduates ought to attend HIT teaching curriculum and all kinds of examinations of the courses prescribed in the educational programs and varied educational practice. The examination falls into two types: exam and check. The related results are recorded in the transcript and the enrollment files.

**Article 13.** For students failing to pass the examination, they are allowed to re-study the course. Those students should participate in the next term course study and examination, and the results of examination will be normally recorded.

**Article 14.** The detailed procedures for examination and results recording shall observe the *HIT Regulations on Course Examination and Scores Recording for Postgraduates* (tentative standard)

**Article 15.** HIT records and issues the real and complete results of examination for students' academic achievement. The results obtained from re-examination shall be marked.

**Article 16.** If a postgraduate violates the examination discipline or cheats in an examination, the exam result of the course shall be invalid, and the report card shall indicate "discipline violation" or "cheating". Disciplinary sanction shall be conducted according to the seriousness of the case. Students with disciplinary sanction such as warning, serious warning, demerit, and probation are allowed for re-examination only if they show better performance after criticism.

The disciplinary requirements of examination room and punishment for cheating in examination shall be handled in accordance with *HIT Regulations on the Examination Discipline and Disciplinary Punishment*.

**Article 17.** Given that postgraduates are unable to take a part in academic activities prescribed in the educational programs due to illness or other causes should perform the leave procedure in advance. The time of leave within two weeks is subject to the approval of the supervisor and the registration of the related department. If the time of leave more than two weeks, within a month, an application is required, approved by the supervisor and authorized by the director of the department. The case must be reported to the Graduate School for record. The cumulative personal leave in a semester is usually no more than one month. If there is a special case of time off for over a month, the study time shall be extended.

**Article 18.** Given that postgraduates participate in off-campus activities

such as off-campus practice, social practice, scientific research, and academic exchange arranged by the university and the related school or the supervisor, they are regarded as official trips. Postgraduates' on-duty trips shall be authorized and managed by the related school. More than two-week official trips need to report to the Graduate School of HIT for record. The procedure for on-duty trips of postgraduates should observe *HIT Regulations on Official Trips of Postgraduates*.

**Article 19.** For unauthorized leave or leave without permission for less than two weeks, the candidate will be punished according to actual situation, ranging from criticism of education, warning, serious warning, recording for demerit to probation; for unauthorized leave for more than two weeks (including two weeks), the candidate shall be expelled from the university.

The university shall take no legal responsibility for the candidate during his or her authorized leave or unauthorized leave from the campus.

**Article 20.** Postgraduates without approval fail to participate in activities of educational / teaching programs required, absent from class for 1/3, are not allowed to take the related course exam. The transcript writes "Disqualification", and disciplinary sanction follows such as criticism of education or disciplinary punishment depending upon the seriousness of the case.

**Article 21.** 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*.

**Article 22.** The university shall record the integrity information of students' academic and moral aspects appropriately. In case of serious breach of trust, corresponding disciplinary sanction shall be conducted according to related provisions.

#### **Chapter 4 Transfer of Subject and University**

**Article 23.** Postgraduates should generally complete their studies in the admission disciplines. If there are special reasons for transfer of subject such as subject adjustment and work transfer of the supervisor, postgraduates may apply for transfer of subject. After the transfer, master students need to complete the training process of transferring into the subject course, and extend the learning

time by 0.5 to 1 year according to the actual situation.

**Article 24.** In principle, a graduate student who has not been studying for one year is not allowed to transfer the subject. During the postgraduate period, only one transfer of subject is allowed. The transfer of subject should be examined and approved by the school related, coupled with the consent of the supervisor and submitted to the Graduate School of HIT for approval.

**Article 25.** A graduate student with a special enrollment, who has a definite agreement with the state or HIT prior to admission, is not allowed to transfer the subject.

**Article 26.** A graduate student generally is not allowed to transfer to another university. In case of illness or special difficulties, the graduate student could not continue his or her study at HIT, s/he may apply for transfer to another university. One of the following situations may not be justified as sound reasons for the transfer:

1. Learning at HIT less than a semester or a year before graduation;
2. Transferring from a low level of education to a higher education level;
3. Enrolled with targeted employment;
4. Transferring to a university with professional admission control standard higher than that of HIT;
5. Showing no sound reason to transfer.

If a graduate student is required to transfer to another university because of the change of educational conditions instead of person reasons, with the certificate issued by HIT, the graduate student may be transferred by the provincial education administrative department to the same level university.

**Article 27.** A graduate student needs to submit an application for transfer to another university. After the approval of the supervisor, the director of the related department and HIT Graduate School, authorized by HIT and the targeted university, the transfer can be done. In case of provincial transfer, both the provincial education administrative departments in charge of the transfer need to collaborate and confirm the transfer criteria, thus handling the transfer procedures. The transfer of the registered permanent residence shall be transferred to the local public security department of the university.

In accordance with the relevant regulations of China, HIT shall make a public announcement on the transfer, within 3 months after the transfer, the targeted university shall report to the Administrative Department of Education of

that province for record.

## **Chapter 5 Suspending and Resuming Schooling**

**Article 28.** Postgraduates are allowed to complete his/her academic work separately, and complete their studies within the maximum period of study required by HIT. 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 two years at most. For general reasons, the suspension accumulated could not exceed a year. Full time postgraduates engaged in entrepreneurship may suspend their study no more than two years. In this regard, the detailed regulations on the suspension of the postgraduates engaged in entrepreneurship can be found in the *HIT Regulations on Students' Entrepreneurship*.

**Article 29.** Postgraduates with one of the following situations should apply for suspension:

1. Postgraduates could not study on campus due to illness;
2. Postgraduates go abroad for personal reasons;
3. Postgraduates authorized to engage in entrepreneurship as unfinished postgraduates or work as full-time employees in an institution or a firm;
4. Postgraduates with targeted employment suspend their studies 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.

**Article 30.** Given that postgraduates need to suspend their schooling for the reasons above, they should fill in the form *HIT Postgraduates' Application for Suspension* via HIT Graduate System, 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 with targeted employment, they need to present the approval of the institution or the firm they will serve after graduation for the suspension.



**Article 31.** For postgraduates who apply for the Chinese People's Liberation Army (including Chinese armed policemen force), HIT shall retain their admission qualification and student status two years after their retirement. During this retaining period, the candidates will not enjoy the treatment for postgraduates, and the university will not assume any legal liability for them.

During the retaining period, the students need to establish management relations with the troops, HIT, and other organizations.

**Article 32.** Postgraduates suspended from HIT must perform the related procedures. During the period of the suspension, they shall not enjoy the treatment for postgraduates, and the university shall not assume any legal liability for them. The medical expenses of the student should be handled in accordance with the relevant regulations of HIT Hospital and the state.

**Article 33.** The application for resuming their schooling must be submitted a month earlier before the expiration of the suspension period. With the approval of his or her supervisor, and authorized by the director 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 the health certificate from the hospital ranked as the second-class or above. After being re-examined and authorized by HIT Hospital or a designated hospital, the candidate will be allowed to resume schooling. Failure to perform procedures as scheduled will be viewed as abandoning postgraduate status, and treated as drop out.

**Article 34.** During the period of the suspension, if the candidate is found in serious violation of regulations or laws, the qualification for resuming school will be disqualified.

## **Chapter 6 Drop Out**

**Article 35.** Postgraduates with one of the following situations should drop out:

1. Postgraduates could not complete their studies as scheduled;
2. Postgraduates fail to pass two course examinations though efforts are made to re-study or change their courses;
3. Postgraduates fail to pass the comprehensive evaluation, research proposal, and intermit examination required by the university;
4. Postgraduates could not continue to complete their studies due to

intellectual inadequacy;

5. Postgraduates without leave permission fail to register exceeding two weeks (except for the cause of force majeure);

6. Postgraduates with unauthorized leave do not attend classes over two weeks, fail to return to school for more than two weeks after the leave permitted, or fail to participate in academic activities stipulated by the university;

7. Postgraduates fail to apply for resuming their schooling as required though their admission qualification or suspension is mature; or postgraduates fail to pass re-examination for resuming their schooling and perform procedures for further suspension;

8. With their admission qualification mature, postgraduates fail to apply for enrollment as scheduled;

9. With the confirmation of the designated hospital of HIT, the candidate could not continue to study due to poor health, illness, or unexpected injury;

10. Postgraduates fail to pay tuition fees;

11. The candidate is recognized as cheating in his or her archive, or could not provide key documents;

12. The candidate voluntarily applies for drop out, and others that HIT decides to drop out.

The candidate who applies for drop out needs to perform the related withdraw procedures after the approval of the university.

**Article 36.** The follow-up issues in relation to drop out shall be handled in the light of the following regulations:

1. For the in-service candidate before drop out, the archive and residence booklet will be returned to the original unit;
2. For the graduate before drop out, the candidate failing in their studies shall be reported to *Graduate Employment Department of Heilongjiang Province* to perform procedures for employment in the light of his/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 shall be returned to the original place where s/he comes from;
3. For other candidates, archives coupled with the residence booklet will be returned to the original place where s/he comes from;

4. For the drop out due to illness, the candidate should be taken home by the family or guardians of the candidate;
5. For the postgraduate of quitting school, the grants plus varied allowances shall be suspended from the next month on the date of official announcement, and the candidate must leave the university within a week;
6. Tuition refund is subject to the financial regulations of HIT and the state.

**Article 37.** If the candidate raises an objection to the resolution of drop out, the university shall perform procedures in accordance with *HIT Regulations on Student Appeal*. The candidate of drop-out is not allowed to apply for re-study.

### **Chapter 7 Graduation and Completion**

**Article 38.** Postgraduates' basic learning years: 2-3 years for master students, 4 years for doctoral students, 5 years for master-doctor students or graduate-doctoral students without entrance examination.

Postgraduates' maximum length of learning years (including general suspension): 3 years for full-time master students, 5 years for part-time master students, 6 years for doctoral students, and 7 years (including master study stage) for master-doctor students or graduate-doctoral students.

For postgraduates who apply for the Chinese People's Liberation Army (including Chinese armed policemen force), the military service time is excluded in the calculation of learning years.

For postgraduates who suspend their learning for starting a business, and those students who engage in military service with their admission qualification authorized by HIT, the maximum length of learning years shall be postponed accordingly.

**Article 39.** Full-time master students need to extend their learning time if they meet one of the following conditions, and the extended time shall be decided according to the specific circumstances. The maximum length should not exceed one year, no more than the longest period of and learning years.

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 HIT exceeds one month;

3. The university decides that the candidate needs to prolong his or her study time.

**Article 40.** Given that candidates for the degree of master fail to pass two or more than two degree courses, on the condition that they satisfy the basic two years of learning, expert team organized by the related school shall examine and assess the performance of the candidate. On the basis of the results of assessment, a decision shall be made as for whether or not to prolong his/her study time.

**Article 41.** Candidates who have accomplished their studies within the prescribed time, academically qualified, completed their dissertations, passed the viva, met HIT graduation requirements, are allowed to graduate with graduation certificate granted. Those who meet the requirements of academic degree shall receive a degree issued by HIT.

For candidates who have completed their postgraduate studies in advance, they can apply for early graduation. For these students to graduate early, please see the relevant provisions of postgraduates' viva in advance.

**Article 42.** Candidates who have accomplished their postgraduate studies within the time prescribed, yet fail to pass the examination of their theses, or fail to pass the viva, are allowed to graduate with a completion certificate.

**Article 43.** Postgraduates who meet the above conditions are allowed to apply for viva again within the maximum number of years stipulated by HIT. After the successful viva, the completion certificate can be changed for the graduation certificate. The date of graduation shall be consistent with the date of viva, and the corresponding degree shall be awarded if meeting the related requirement.

**Article 44.** For candidates who drop out, the non-completion certificate or realistic study certificate shall be issued.

**Article 45.** For students with graduation certificate, completion certificate or drop out, their student status shall terminate itself since the date of the corresponding approval. The university shall take no legal liability for their behaviors. Students should perform the procedures of leaving the university within one week from the date of termination.

## **Chapter 8 Management of Academic Certificate**

**Article 46.** HIT shall strictly follow the type of campus and the form of

learning that is determined in the recruitment, and the personal information that students fill out at the admission. In view of them, HIT confers diploma, degree certificate and other academic certificates.

Reasonable and sufficient reasons are needed, and relevant supporting documents with legal effects are required, if a student wants change his/her name, the date of birth, or other personal information for certificates. After the approval of the university, changer can be made.

**Article 47.** HIT conducts electronic registration of student status and academic degree according to the relevant regulations of higher education on educational electronic registration management system.

**Article 48.** For students who have obtained admission qualifications, academic degrees in violation of China's admission requirements, HIT shall cancel their student status, diploma, degree certificate; If these certificates are granted, they shall be revoked. HIT shall revoke the educational certificates and diplomas in case of cheating, plagiarism, and other malpractice.

The revoked education certificate, degree certificate, if registered, HIT shall cancel them and report to the administrative department of education, declaring null and void.

**Article 49.** If diploma or degree certificate is lost or damaged, after the application of the student and the approval of HIT, the corresponding certificate shall be issued, which is equally authentic as the original one.

## **Chapter 9 Award and Punishment**

**Article 50.** According to the provisions formulated by the country and the university, postgraduates with outstanding virtues and academic achievements through public appraisal shall be rewarded in the form of honorary title or scholarship, rendering spiritual encouragement and materialistic reward.

**Article 51.** For students who have violated the laws, regulations and disciplines, HIT shall criticize, depending upon the seriousness of the case, and conduct the following disciplinary sanction:

1. Warning;
2. Serious warning;
3. Demerit;
4. Probation;
5. Expulsion.

The disciplinary sanction can be exercised according to *HIT Regulations on Students' Breach of Disciplines*.

**Article 52.** If conducting the following behaviors, postgraduates shall be expelled from HIT:

1. Violate the constitution, oppose the Four Cardinal Principles, undermine stability and unity, or disturb social order.
2. Break the law of the state, and constitute a criminal offence.
3. Subject to the punishment of public security, the case is serious.
4. Replace others in an exam, ask others to take exams, or organize cheating; Utilize communication means or other devices to cheat in examinations; Make money through selling exam questions and answers, and disturb examination order.
5. Perform the misconduct such as plagiarism, distorting or forging in the degree thesis and the research achievement published; Write papers for others, or purchase degree theses.
6. Violate the current provisions or other regulations of HIT, seriously affecting the teaching order, life order, and the order of public place management.
7. Violate the legal rights and interests of other individuals and organization, causing serious consequences.
8. Violate the university regulations or rules, being punished for more than three times.

**Article 53.** The university should send the decision of disciplinary sanction to the student directly. If the student refuses to sign the service certificate, the notice of disciplinary action shall be left at the student's residence; for the student who has left HIT, the disciplinary notice can be delivered by post; if difficult to contact, the notice can be presented at the university website in the form of announcement.

**Article 54.** The disciplinary sanctions of cancelling admission qualification, cancelling enrollment, drop out, expulsion from HIT, or other matters vital to the interests of students, need to submit to the special meeting authorized by the President for final decision.

**Article 55.** The student subject to disciplinary decision of cancelling admission qualification, cancelling enrollment, drop out, or other disciplinary

sanction due to violating regulations and rules may appeal to the university. The appeal shall be handled in accordance with *HIT Regulations on Students' Appeal*.

## Chapter 10 Supplementary Provisions

**Article 56.** The student status management of non-academic education postgraduates, except otherwise provided, shall be performed with the reference to the current regulations.

**Article 57.** The management of international postgraduates and postgraduates from *Taiwan, Hong Kong and Macao* ought to be implemented with reference to the current regulations.

**Article 58.** These regulations and rules shall be implemented in September 2017. After the implementation of the current rules and regulations, the original *Detailed Rules and Regulations on HIT Postgraduate Enrollment Management (HIT Graduate School Document [2014] No.359)* shall be abolished simultaneously. If the provisions of other relevant documents are inconsistent with them, the present regulations shall prevail.

**Article 59.** HIT Graduate School is entitled to explain any questions in relation to the current rules and regulations.

